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## A Model for Evaluation of the Elementary School Principal

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A MODEL FOR  
EVALUATION OF THE ELEMENTARY SCHOOL PRINCIPAL

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A Dissertation  
Presented to  
The Faculty of the School of Education  
University of Pacific

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In Partial Fulfillment  
of the Requirements for the Degree  
Doctor of Education

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by  
Herbert J. Hemington

April 1977

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This dissertation, written and submitted by

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## Chapter 1

### INTRODUCTION TO THE STUDY

The status and proper role of the elementary school principal has been a subject of extensive consideration. The principal's role is a very large one, as well as being a vitally important one. The principal of today acts as liaison between the school and community, liaison between staff and district office, and occasionally, liaison between student and teacher. The leadership of the principal has a substantial impact on the quality of education the school produces. The principal is responsible for maintaining the goals and objectives of education and seeing to it that they are carried out. The principal must present a firm stand, as well as being sympathetic and understanding. Albert H. Shuster stated that, "The elementary principal has emerged as one of the most important educators on the American scene today. His responsibilities have increased from those of a head teacher to those of a cogent Administrator-Supervisor-Executive."<sup>1</sup>

The principalship in American schools has existed for more than a century. From modest beginnings it has emerged as an extremely important administrative post in

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<sup>1</sup>Albert H. Shuster, "Modified Job Analysis and In-Service Education," American School Board Journal, CL (February, 1965), p. 15.



education. Its significance is registered not only through administrative numbers--there are more principals than any other educational administrative officer--but also by the strength of the educational programs developed under the leadership of the many outstanding men and women who have held these administrative positions.<sup>2</sup>

Much has been said concerning the importance of the position of elementary principal as: (1) educational person, (2) change person, (3) pivotal leader in the management hierarchy. Daniel Griffiths and Associates have summarized the new role of the elementary principal as follows:

He is accountable for the total educational program of the children in the building of which he is chief. Except in the largest school districts, he is a member of the administrative cabinet and high-level line officer in the organization of the school system. He is a policy developer of the highest order. The position, as defined, increased the operational autonomy of the building unit and should result in greater flexibility to meet pupil needs. Only fully prepared, competent administrators should be expected to handle the principalship that carries the above job description.<sup>3</sup>

There is no paucity of studies on the elementary principal's leadership role. However, an ERIC search and a comprehensive study of the literature indicates that

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<sup>2</sup>Samuel Goldman, The School Principal (New York: The Center for Applied Research in Education, Inc., 1966), p. vii.

<sup>3</sup>Daniel E. Griffiths, David L. Clark, D. Richard Wynn, and Laurence Iannaccone, Organizing Schools for Effective Education (Danville, Illinois: Interstate Printers and Publishers, 1962), p. 188.

little has been done in the area of evaluation of elementary principals. John K. Hemphill stated that:

It is a rare textbook in the field of educational administration which discusses the evaluation of the elementary school principal. There may be good reasons for this omission. Very little research has been done, and now school systems must consider introducing a system of formal evaluation of principals.<sup>4</sup>

Other authorities in the field of administration in more current sources tend to describe leadership behaviors but make very little mention of evaluation techniques and practices.<sup>5</sup>

#### STATEMENT OF THE PROBLEM

The elementary school principal occupies one of the most important positions of educational leadership in the entire hierarchy of school administration. He is responsible for the education of young people during the most important period of their educational career. Changing concepts of this role emphasize the responsibility of the principal to exercise instructional leadership rather than to remain in the role of an administrative and managerial

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<sup>4</sup>John K. Hemphill, Daniel E. Griffiths, and Norman Frederiksen, Administrative Performance and Personality (New York: Teachers College, Columbia University, 1962), p. 348.

<sup>5</sup>James D. Logsdon and Robert R. Wiegman, The Principalship--New Perspectives (Englewood Cliffs, New Jersey: Prentice-Hall, Inc., 1972-cl973).

official.<sup>6</sup> With the increasing importance of this position comes the vital necessity for developing models for assessing the effective characteristics necessary for success in the profession. The need for a suitable evaluation process focuses attention on the need to determine and clarify the administrative role. James Lipham, in writing about role effectiveness, states that:

At the present time there exists no ultimate criterion for assessing the extent to which the total institution is effective in achieving its goals. Thus it is even more important to assess the extent by which any one incumbent, whether it be the principal, the teacher, the superintendent, or any other individual, is effective in achievement of institutional goals.<sup>7</sup>

When attempts are made to assess performance, it is essential to think in terms of effects. There is little point in attempting to alter an administrator's behavior unless there is reason to believe that there will be some improvement in the organization. Yet, the requirement to point to the effects of administrative acts--to establish causal relationships between principals' performance and the successful functioning of their schools--confronts us with serious problems. Little dependable, verifiable knowledge about such relationships exists.<sup>8</sup>

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<sup>6</sup>Paul J. Misner, Frederick W. Schneider, and Lowell G. Keith, Elementary School Administration (Columbus, Ohio: Charles E. Merrill Books, Inc., 1964), p. 5.

<sup>7</sup>James M. Lipham, "The Role of Principal: Search and Research," The National Elementary Principal, XLIV (April, 1965), p. 32.

<sup>8</sup>Jack A. Culbertson, Curtis Henson, and Ruel Morrison, Performance Objectives for School Principals (Berkeley: McCutchan Publishing Corp., 1974), p. 197.

The lack of information regarding the relationship between the principal's performance and the actual functioning of the school should not deter us from confronting the need. The mere attempt to apply what is known will serve to dramatize the fact that there is so much more to be learned. The importance of the principal's role and expected behavior are most important in establishing criteria for a successful and positive evaluation procedure. A summary of available information will provide an excellent starting point for determining the direction to be taken in acquiring additional knowledge.

#### PURPOSE OF THE STUDY

The purpose of this study was to develop a model that could be utilized by school districts for the evaluation of the elementary school principal.

#### SAMPLE AND SAMPLE SELECTION

A stratified random sample of ten percent of the elementary school districts in the State of California with the student population over 350 was selected. According to information obtained from the Public School Directory of the Department of Education, State of California, 1975, there were three hundred forty-nine (349) school districts from which this sample was selected.

## SIGNIFICANCE OF THE STUDY

The study is significant for the following reasons:

1. The results of the study will increase the understanding of the competencies necessary for success as an elementary principal.

2. The results of the study will provide the principal with a structural way of viewing his task, help him to understand why certain courses of action, certain behaviors, are likely to be fruitful and others not; to understand factors in the situation which will help or hinder his task; to understand and interpret the consequences of administrative action that has been taken.

3. The results of the study will provide means to improve diagnostic procedures which would in turn make continuing education for school principals more effective.

4. The results of the study will also clarify ideas about the purposes and objectives of preparatory programs as they relate to administrative practice.

## DEFINITIONS OF TERMS USED

For the purpose of this study the following definitions were used:

Average daily attendance. The average daily number of youngsters attending a school during a year.

Content analysis. The critical appraisal of subject matter and materials of instruction based upon

determined criteria.<sup>9</sup>

Criterion. (pl. criteria); (1) a standard norm, or judgment selected as a basis for quantitative and qualitative comparison; (2) the dependent variable in a study; (3) that which one is trying to predict.<sup>10</sup>

Districts handbooks. A typed, mimeographed, or printed booklet containing general information concerning such matters of local school organization and administration as the marking system, school calendar, courses of study, job descriptions, personnel policies, and miscellaneous school regulations.<sup>11</sup>

Evaluation. (1) The process of ascertaining or judging the value of amount of something by careful appraisal, (2) consideration of evidence in the light of the value standards and in terms of the particular situation and the goals which the group or individual is striving to attain.<sup>12</sup>

Role. Behavior patterns of functions expected of or carried out by an individual in a given societal context.<sup>13</sup>

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<sup>9</sup>Carter V. Good, Dictionary of Education, Third Edition, University of Cincinnati (San Francisco: McGraw-Hill, 1973), p. 29.

<sup>10</sup>Ibid., p. 153.

<sup>11</sup>Ibid., p. 220.

<sup>12</sup>Ibid., p. 275.

<sup>13</sup>Ibid., p. 502.

## LIMITATIONS OF THE STUDY

The study has the following limitations:

1. The investigator was concerned only with role statements, formal evaluation procedures, and personnel conducting the evaluations as outlined in district handbooks. This study, therefore, does not include any information pertaining to other materials the districts may supply.

2. The conclusions reached during the course of this investigation are applicable only to districts which match the parameters of the sample group employed.

3. The investigator was not concerned with the literary quality of the role criteria statements and statements of the evaluation procedures. The focus was entirely on the content of the statements.

4. The study is limited to the design of an arbitrary instrument by which to measure the judged presence and frequency of the criterion categories in the materials analyzed.

5. The study is limited to a stratified random sample of ten percent of the elementary school districts in the State of California with the student population over 350.

## ORGANIZATION

The study is organized into five chapters. A description of the contents of each of the chapters follows:

Chapter 1 includes the introduction to the study, the statement of the problem, the purpose of the study, and the significance of the study. It also includes the procedure followed to plan and implement the study. The definitions of selected terms used in the study and the limitations are also included.

Chapter 2 is devoted to a review of the literature and research related to the role of the principal in elementary education. The chapter is divided into three main sections. The first section is a review of the literature on the role of the principal. The second section includes a review of the literature and research on the evaluation of the school principal. The third section includes a review of the literature and elements of an effective evaluation model for assessing the role performance of elementary principals.

The design and procedures of the study are described in Chapter 3. The chapter includes the population and sample selection, and the survey instrument. A brief description of the data analysis and the process used in the development of the model are also included.



Chapter 4 includes the actual findings of the study and the analysis of the sample. A detailed report of the questionnaire is included in this chapter.

Chapter 5 is devoted to the development of the Evaluation Model. The chapter also includes several comprehensive approaches to administrative evaluation and a model which includes the most important elements is presented. The conclusions of the study and recommendations are also included in this chapter.

#### OVERVIEW

In Chapter 1 the problem has been stated and a rationale and purpose for the study presented. Limitations of the research and definitions of terms conclude this portion of the study. In Chapter 2 the literature is reviewed and emphasis is placed on identifying desirable elements of the evaluation process with the goal of incorporating these elements into an evaluation model.

## Chapter 2

### REVIEW OF THE LITERATURE

The review of literature related to this study is presented in the following sections: (1) Historical perspective and review of the role of the elementary principal, (2) Review of the development and the state of the art in personnel evaluation as it applies to the principalship role, and (3) The utilization of models for the effective development of systems in educational administration.

### HISTORICAL PERSPECTIVE

The role of education in a changing society has been defined by many leading educators. Arthur Lewis identified two broad aims of education that were suggested by Wilbur Cohen, past Secretary of Health, Education, and Welfare, that have implications for our schools; first, to provide equality of educational opportunities to all of the nation's citizens; and second, to improve the quality of education for all.<sup>1</sup>

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<sup>1</sup>Arthur J. Lewis, "The Future of the Elementary School Principalship," The National Elementary Principal, XLVIII (September, 1968), p. 10.

The elementary school principal by virtue of his leadership position can do much to fulfill the broad aims of education as identified by Cohen. Neal Gross and Robert E. Herriott, in discussing the executive professional leadership of elementary principals, suggested that, "the elementary school principal is the school executive in closest contact with the central functions of the school: teaching and learning. His position of formal leadership gives him the opportunity to motivate his staff and to improve their standards and performance in teaching."<sup>2</sup>

The need for quality leadership at the elementary school level is further emphasized by the importance of early childhood education. Benjamin Bloom, in his book, Stability and Change in Human Characteristics, states that:

Bloom's classic researches in learning demonstrated the crucial importance of the early childhood years in one's educational development. They revealed that from conception to age 4, the individual develops 50 percent of his mature intelligence; from 4 to 8 he develops another 30 percent, with the remaining 20 percent occurring after age 8.<sup>3</sup>

In the early history of elementary schools, the typical school was one-room, one-teacher. This school remained typical in the rural regions which dominated America

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<sup>2</sup> Neal Gross and Robert E. Herriott, "The E.P.L. of Elementary Principals," The National Elementary Principal, XLV (April, 1966), p. 66.

<sup>3</sup> Benjamin Bloom, Stability and Change in Human Characteristics (New York: John Wiley and Sons, 1964), p.68.

throughout the nineteenth century. However, as some of the hamlets developed into towns and cities and as the proportion of school enrollment increased, multi-room and multi-teacher schools increased in number. As the population of the local school building grew larger and more complex, it was necessary to designate someone as "head teacher" or "principal teacher." In some school districts, where teachers were called "school masters," the term "head master," rather than "head teacher," was used to identify the administrative head of the school. Some private schools still designate the administrative head of the school as "head master."<sup>4</sup>

The modern elementary school principal has few similarities of the "principal teachers" and "headmasters" of the nineteenth century. Except in a few large cities where superintendents were being hired, the principal dealt directly with the board of education and had no central office personnel with additional assigned responsibilities. The principal himself was usually a full-time teacher of an upper grade classroom. The available administrative time was devoted to pedestrian tasks such as meting out punishment, over-seeing school facilities and equipment, keeping school records, and performing such janitorial tasks as securing firewood,

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<sup>4</sup>Willard S. Elsbree, Harold J. McNally, and Richard Wynn, Elementary School Administration and Supervision, Third Edition (New York: American Book Company, 1967), pp. 3-4.

cleaning lamp wicks, and sharpening pen nibs. The principal's qualifications for this job were that he was a man, taught older children, had more seniority, or wielded the hickory stick with more conviction than his fellow colleagues. Professional training in administration was non-existent and special certification was not required. There were no professional organizations for school administrators and little professional literature.<sup>5</sup>

Significant progress toward the professionalization of the elementary school principalship has taken place during the first half of this century. For example, the Department of Elementary School Principals of the National Education Association was established in 1921. It was a few years earlier that university professors began to survey school systems, appraise administrative practices, and offer suggestions for improvement. Although these early surveys marked the beginning of the literature in school administration, they were addressed more to central administration than to the building principal. Their findings, however, had a substantial impact on the role of the school site administrator.<sup>6</sup>

Elsbree, McNally, and Wynn state that:

The term school management, rather than administration, prevailed well into the twentieth century and rather accurately described the fairly mechanistic concept of the job which prevailed. The concept

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<sup>5</sup>Ibid., p. 4.

<sup>6</sup>Ibid., pp. 5-6.

of school management drew heavily on the scientific management movement pioneered by Frederick Taylor. This concept stressed arbitrary standards, economy, orderliness, impersonalization, austerity, obedience, and conformity. It viewed administration largely as the management of an impersonal, mechanical system. Its primary commitment was to the efficiency rather than to the efficacy of the system.<sup>7</sup>

In the 1930's, Chester I. Barnard, an industrial executive and administrative theorist, analyzed organizations and organizational leadership. He viewed organizations as complex social organisms. In the book, The Functions of the Executive, Barnard made an observation about the basic forces within organizations when he pointed out that success of an organization depends upon two factors; (1) the efficiency with which the organization carries on the functions for which it was established; (2) the effectiveness with which the organization meets the social and emotional needs of the people who are employed to perform the functions.<sup>8</sup>

Barnard showed that in every organization these factors come into a kind of balance which determines the level of operation. The role of the leader is to maintain this balance or to improve it. If the leader wished to lift the level of operation he must place emphasis on both

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<sup>7</sup>Ibid., p. 6.

<sup>8</sup>Chester I. Barnard, The Functions of the Executive (Cambridge: Harvard University Press, 1938), as quoted in George Sharp, "The Principal as a Professional Leader," The National Elementary Principal, XLII (November, 1962), p. 62.

the task of improving the efficiency of operation and the effectiveness of meeting the needs of the staff.<sup>9</sup> Barnard pointed out the need for consideration of the personal needs of individuals within an organization which suggest that principals must be people oriented if they are going to have successful schools. The elementary principal's role is to work with people for the improvement of the instructional program.

Prior to World War II, the large majority of elementary schools enrolled fewer than 300 pupils. The role expected of the administrator in these small schools was that of supervisor-manager. Although he was responsible for handling the daily routines, details, and paper work of the school, it was generally agreed that supervision of the classroom teachers was a major responsibility. Studies of the last two decades show little change from the conclusion of a 1948 study of the elementary school principalship by the Department of Elementary School Principals which noted that:

If principals had a free hand they would become supervising principals. They would trim their administrative and clerical duties--and give more time to the improvement of instruction and community leadership.<sup>10</sup>

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<sup>9</sup> Ibid., p. 6.

<sup>10</sup> Stuart E. Dean, Elementary School Administration and Organization, U.S. Department of Health, Education, and Welfare, Office of Education (Washington, D.C., Government Printing Office, 1950), p. 99.

William W. Wayson, writing about the origins of administration in the The National Elementary Principal, suggested that:

The idea that administration was an activity that could be studied separately from content of what was being administered, began with the civil services in Europe. The civil service was founded upon the concept that decisions about the purposes of government were properly political decisions, but those purposes were achieved best by civil servants who were secure from the whims of politics to develop the techniques of efficient public service.<sup>11</sup>

Woodrow Wilson also separated policy and administration when he stated that:

Administration lies outside the proper sphere of politics. Administrative questions are not politics. Administrative questions are not political questions. Although politics sets the tasks for administration, it should be suffered to manipulate its offices.<sup>12</sup>

Wilson further stated that, "The object of administrative study is to rescue executive methods from the confusion and costliness of empirical experiment and set them upon foundations laid deep in stable principal."

Wayson expressed the same conclusion shared by many other authors about the origin of the "new administration" when he stated that:

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<sup>11</sup>William W. Wayson, "The Elementary Principalship-- Will It Be Part of the New Administration?" The National Elementary Principal, XLIV (April, 1965), p. 10.

<sup>12</sup>Woodrow Wilson, "The Study of Administration," Political Science Quarterly, II (June, 1887), as reprinted in Dwight Walds (Ed.), Ideas and Issues in Public Administration (New York: McGraw-Hill Book Company, 1953), p. 72.

<sup>13</sup>Ibid., p. 71.



The beginning of the new administration usually is marked at 1947 when the National Council of Professors of Educational Administration held their first meetings to advance the teaching of administration and the American Association of School Administrators began its drive to enhance the status and professional influence of its members.<sup>14</sup>

In studying the changes and development of the elementary school principalship it is necessary to look also into the future for possible implications. Changes that have been taking place are controlled by the many influential forces of our society. Harold J. McNally suggests that:

A principal of a 1980's school will need to be a scholar in the field of administration and leadership as well as a competent administrative leader. He will be expected to know considerably more in the fields of the behavioral sciences. He will have learned much about organizational theory and operation, and practical aspects of administrative behavior. The principal will be equipped to exercise the demanding role of the administrative leader of a professional group.<sup>15</sup>

When considering the elementary school principal who does not measure up to the expectations of the future administrator, John M. Bahner suggested that:

If principals do not fulfill their responsibilities in curriculum, instruction, and organizational structure, education is likely to create a new position above that of the elementary school principal (but not outside of the

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<sup>14</sup>Wayson, op. cit., p. 14.

<sup>15</sup>Harold J. McNally, "The American Principal Tomorrow," The National Elementary Principal, XLVII (May, 1968), p. 90.

elementary school building) whose incumbent will have direct responsibility for seeing that progress is made in these areas.<sup>16</sup>

The leadership requirements expected of the principals of the future as suggested in the literature will far surpass those of the present or past. All means necessary for understanding the complex problems of the elementary principalship of the future will need to be utilized.

Cunningham proposes that:

Somehow the academician and the practitioner must get into the same ball park and play the same game. It is crucial that we perfect mechanisms for the flow of new ideas, concepts and research findings from the academic community into the field. Equally important are the sounding board, testing ground, and feed-back functions such relationships offer.<sup>17</sup>

#### THE CHANGING ROLE OF THE SCHOOL PRINCIPAL

The schools as social institutions are structured hierarchically in order to achieve their goals. The tasks performed to achieve these goals are organized into relevant roles. Roles are defined according to role expectations, for example, the normative rights and the duties which define within boundaries what a person should or should not do under certain conditions so long as he is the incumbent of a particular role. These role

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<sup>16</sup>John M. Bahner, "The Challenge to Principals--Continuing Education," The National Elementary Principal, XLIV (September, 1964), p. 14.

<sup>17</sup>Luvern L. Cunningham, "Continuing Professional Education for Elementary Principals," The National Elementary Principal, XLIV (April, 1965), p. 62.

expectations are institutional givens; they identify formal relationships within an institution.<sup>18</sup>

Lipham suggested that role expectations are held not only by the role incumbent but also by other significant factors. The incumbent is evaluated as effective to the extent that his actions and reactions meet the role expectations held by others. Roles are flexible when certain behaviors are required and others forbidden.<sup>19</sup> Lipham also stated that, "The foregoing concept of roles is central to most of the recent investigations which purport to examine the behavior of the elementary school principal."<sup>20</sup>

In addition to the historical perspective of the principalship role, researchers have utilized the normative survey. The normative approach requests principals, teachers, superintendents, parents, and pupils to answer a series of descriptive statements in order to secure a measure of the "ideal" role. There is often notable lack of agreement among principals, teachers serving on their respective faculties, and non-educators regarding the characteristics of the effective principal.<sup>21</sup> A study

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<sup>18</sup>James M. Lipham, "The Role of the Principal: Search and Research," The National Elementary Principal, XLIV (April, 1965), p. 29.

<sup>19</sup>Ibid., p. 29

<sup>20</sup>Ibid., p. 30.

<sup>21</sup>John K. Hemphill, Daniel Griffiths, and Norman Fredericksen, Administrative Performance and Personality (New York: Bureau of Publications, Teachers College, Columbia University, 1962), p. 399.

made by Reed L. Buffington and Leland Medsker that involved principals, teachers, and parents from each of thirty schools prompted the following report:

The teachers viewed the principal's most important job as that of providing leadership for teachers. The parents placed major emphasis on the principal and responsibility to develop effective relationships with parents' groups and the community. The teachers viewed such relationships as important but ranked them third in importance among the principal's responsibilities. Both the parents and the teachers ranked the principal's work with, and service to, children as second in importance among his responsibilities, but the elements of such work and service were stated somewhat differently by the two groups. The parents made little reference to the principal's relationship with the superintendent. And, finally, neither group placed any emphasis on the principal's responsibilities in the supervision of instruction or in curriculum development.<sup>22</sup>

There is little doubt that much of the frustration and conflict to be found in the schools is due in large measure to variances in role expectations which individuals hold for themselves and for persons who occupy either different or like positions.<sup>23</sup>

A principal will view his own behavior in terms of the expectations he personally holds for his position. The probability that he may be the only person who holds such expectations may or may not deny the importance to the

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<sup>22</sup>"Teachers and Parents Describe the Effective Principal's Behavior," Administrator's Notebook, IV (September, 1955), pp. 1-4, as reported by William W. Savage, Interpersonal and Group Relations in Educational Administration (Glenview, Illinois: Scott Foresman and Co., 1968), p. 136.

<sup>23</sup>Ibid., pp. 120-153.

principal of having what he does and why he does it accurately perceived and accepted by those around him. Nor does the phenomenon of individual perception render hopeless any effort to explore the principalship in search of basic areas of competence (roles) which can be universally understood and supported.

The school principalship, already complex, is today undergoing a period of change. Perhaps never before has there been so much concern regarding the major role(s) of the principal, and never has the need for basic agreement been greater if the principalship is to serve an important professional function, with the principal in a key leadership role.

During the last two decades numerous changes have occurred in the American social structure. Some of the factors precipitating changes in the general culture have also affected the role of the elementary school principal. In a review of the environment of public schools from 1947 to 1971, Campbell reported that society in the United States twenty-five years ago exhibited social stability; in contrast the period since 1971 shows the United States social structure best characterized as "social chaos." He further related that education had become hopelessly entangled in the social issues of the day--integration, economic opportunity, health care, pollution, and quality

education for the masses.<sup>24</sup>

In a presentation to the American Association of School Administrators, Sanford alluded to the fact that in the United States we have entered a period of crises marked by generational conflict, overt racial hostility, and political polarization. This period of chaos has resulted in general dissatisfaction with public schools, especially on the part of ghetto parents.<sup>25</sup> Saxe suggests:

It can come as a surprise to no one to discover that the schools have lost the confidence and support of substantial numbers of citizens, pupils, and educators. This loss of confidence in the schools is simply a reflection of the chaotic condition in the larger society. Education has been heavily influenced since World War II by the changes in social patterns in the United States. During the late fifties the advent of the Russian satellites resulted in concentration on science and technology. The knowledge expansion during the sixties, the population explosion, the technological revolution, and internal migration have all tremendously affected education. More recently the Vietnam War, the drug cultists, student violence, teacher militancy, parent involvement in the schools, and federal funding have all created additional problems for public school educators.<sup>26</sup>

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<sup>24</sup>R. F. Campbell, "Educational Administrations: A Twenty-five Year Perspective," Educational Administration Quarterly (Spring, 1972, Vol. 8), p. 2.

<sup>25</sup>T. Sanford, "Crisis in Educational Leadership: A Dangerous Opportunity" (A paper presented at the American Association of School Administrators Annual Convention, February 20, 1971).

<sup>26</sup>R. W. Saxe, "Perceptions of the Changing Role of the Urban Elementary School Principal: Report of a Survey" (Unpublished Doctoral Dissertation, University of Toledo, April, 1970), p. 42.

Clearly the social problems of today's society have had some effect upon public education. Atkins says:

The current pressures, internal and external, have visited themselves upon the elementary school with great vigor. The demands being made on the elementary school to teach more (quantity) in a more effective fashion (quality) to a greater number of youth have resulted in frenzied attempts to remodel the elementary school and its programs.<sup>27</sup>

The 1960's will probably be remembered as the era when the various roles of teachers, administrators, and school trustees drastically changed. Teachers have now gained bargaining rights including teacher participation in educational decision making previously limited to administrative personnel.<sup>28</sup> A study by Cooperman attempted to assess the effect that teacher militancy has had upon the principalship role. He surveyed a random sample of principals and teacher-association presidents from New Jersey. By using a questionnaire, Cooperman was able to secure data on the perceptions of these two groups regarding the changing principalship role. He reported that both principals and association presidents believed that there is currently little teacher involvement in the performance of administrative tasks. However, both groups

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<sup>27</sup>T. A. Atkins, "It's Time for a Change--or is it?" The National Principal, Vol. XLVIII (February, 1969), p. 4.

<sup>28</sup>J. C. King, "New Directions for Collective Negotiations," The National Elementary Principal, Vol. XLVII (September, 1967), p. 10.

indicated that in the future, teachers and principals will be sharing administrative responsibilities.<sup>29</sup>

Bargman related that principals must recognize the new power emanating from teacher negotiations. He suggested that administrative patterns of the past will no longer be acceptable and that principals are now being coerced into re-evaluation of their administrative powers, managerial rights, and leadership styles.<sup>30</sup>

Frey surveyed the literature on the role of the elementary school principal from 1921 to 1961. She reported that the objectives of the job have remained basically the same, but the means to reach the goals have changed. Frey concluded that there is a trend towards democratic decision making involving both teachers and principals. The dictatorial role assumed by some principals in the past is no longer acceptable.<sup>31</sup> Lewis stated that:

A decade ago, decision making power in a school system could be portrayed on an

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<sup>29</sup>S. Cooperman, "The Principalship Enlarged or Diminished When Examined Within the Context of Organized Teacher Activity" (Unpublished Doctoral Dissertation, Rutgers University, 1969).

<sup>30</sup>L. K. Bargman, "The Role of the Elementary School Principal: An Analysis of the Literature and Research Since 1960" (Unpublished Doctoral Dissertation, University of Nebraska, 1970).

<sup>31</sup>B. R. Frey, "An Analysis of the Functions of the Elementary School Principal 1921-61" (Unpublished Doctoral Dissertation, Indiana University, 1963).



organizational chart of the school system. Such a chart showed a single axis of decision making connecting the superintendent and the board of education.<sup>32</sup>

Lewis further reported that now the decision making process is a multiple involvement of community, parent, and teacher groups interacting with the principal, superintendent, and the school board.<sup>33</sup>

Campbell's examination of the current educational scene, as previously reported, alluded to the fact that accountability has become the most important educational issue of the 1970's. The public has a general distrust of educational institutions. Critics like Silberman and others have become so disenchanted with the public schools that alternative education is becoming a reality. State and Federal legislation providing funds for education have also increasingly required a demonstration of program success.<sup>34</sup>

Tye confirmed Campbell's conclusion that accountability is affecting public institutions. He reported that the role of the school principal is changing almost daily because of these new pressures. Tye related:

State legislators are calling for more

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<sup>32</sup>A. J. Lewis, "The Future of the Elementary School," The National Elementary Principal, Vol. XLVIII (September, 1968), p. 6.

<sup>33</sup>Ibid., p. 7.

<sup>34</sup>Campbell, Op. Cit., p. 3.

accountability on the part of both the principal and his staff; the community is asking for parity in decision making; teachers are demanding more power; and above all, everyone seems to be suggesting that we decentralize.<sup>35</sup>

Tye also indicated that the individual school is the most appropriate forum for making curriculum decisions. He maintains that bureaucratic central offices, state governments, and the federal government have had limited success in affecting change through their constant intervention in school activities.<sup>36</sup>

In a recent report, Erickson concluded that decentralization of the decision making process is becoming a reality. In the future, principals will have more autonomy in controlling expenditures. The elementary school administrator will also have more latitude in designing curricula geared to the specific needs of the children in his school.<sup>37</sup>

Bargman reported that the qualifications for an elementary school principal have consistently increased during the last decade. In the future he claims, it will not be uncommon for the elementary school principal to hold a doctoral degree. Bargman further reported that

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<sup>35</sup>K. A. Tye, "The School Principal: Key Man and Educational Change," Bulletin of NASSP, Vol. 56 (May, 1972), p. 364.

<sup>36</sup>Ibid., P. 367.

<sup>37</sup>D. A. Erikson, "Forces for Change, A New Role for Principals," Perspectives on the Changing Role of Principals (Richard W. Sax, ed., Springfield, Ill.: Charles C. Thomas, 1963).

the principal will not only be a scholar, but an expert in human relations and group dynamics. Bargman indicated that the changing role of the principal demands that he accept the responsibility of exercising instructional leadership rather than just being a managerial official.<sup>38</sup> Erickson also suggested that the contemporary principal is becoming the instructional leader of the school by virtue of his specialized training. He maintains that principals will become more systems oriented and will employ research experts to obtain data which will facilitate making decisions.<sup>39</sup>

Meiskin related that the elementary school principal during the next decade will have to develop greater competence. For example, the pressures for change will necessitate experimentation with various management techniques. The principal will often find himself preparing curriculum proposals or directing special projects. Meiskin feels that these duties will require more familiarity with research methodology.<sup>40</sup>

Another problem facing an elementary school principal during the 1970's will be conflicting expectations

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<sup>38</sup>L. D. Bargman, "The Role of the Elementary School Principal: An Analysis of the Literature and Research Since 1960" (Unpublished Doctoral Dissertation, University of Nebraska, 1970).

<sup>39</sup>Erickson, Op. Cit.

<sup>40</sup>M. Meiskin, "Elementary Principal and His Curriculum Leadership," Education, Vol. 89 (February, 1969).

of the principal's role. Roberts reported that the perception of the principal's responsibilities is viewed differently by principals, teachers, and parents. However all these groups, including the principals, indicated a general dissatisfaction with the principals' performance.<sup>41</sup>

Carlson studied the role of elementary school principals as perceived by 541 teachers, 42 principals, and 17 superintendents in Montana. He concluded that there was little agreement between these three groups on their perceptions of the principal's role. Superintendents generally felt that principals should assume more responsibility, but principals and teachers felt that responsibilities should be shared.<sup>42</sup>

Moser also reported a role conflict for principals. He interviewed teachers, parents, and central office administrators concerning their perception of the principal's role. All three groups held different sets of leadership expectations for the principal. The author reported that, because of differing role expectations,

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<sup>41</sup>J. G. Roberts, "An Analysis of Elementary School Problems and Goods in a Large Urban Area as Perceived by Principals, Teachers, and Parents" (Unpublished Doctoral Dissertation, Wayne State University, 1971).

<sup>42</sup>R. S. Carlson, "Actual and Ideal Role Perception of the Elementary Principal as seen by Superintendent, Teachers, and Elementary Principals" (Unpublished Doctoral Dissertation, Montana State University, 1971)

principals generally tailored their behavior to the expectations of the groups they were with at the moment.<sup>43</sup>

Several studies have reviewed the role changes of elementary school principals in general terms. Cooperman noted that the duties and responsibilities of public school principals are in a constant state of change. However the author related that the extent and direction of the change is difficult to predict.<sup>44</sup>

Bargman stated that, "The elementary school principalship has developed from the 'principal teacher' designation to that of a professional administrative leader in the last 100 years." He concluded that today the principal's role has evolved into that of a sophisticated manager with specialized training in curriculum, instruction and organizational structure.<sup>45</sup>

Ranniger surveyed the educational literature to discover whether the principalship role is in fact changing. He related that the duties are far more extensive today than in the past. He concluded that

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<sup>43</sup>R. P. Moser, "The Leadership Patterns of School Superintendents and School Principals," Administrators Notebook, Vol. 6 (September, 1967), p. 15.

<sup>44</sup>S. Cooperman, "The Principalship Enlarged or Diminished When Examined Within the Context: Organized Teacher Activities" (Unpublished Doctoral Dissertation, Rutgers University, 1969).

<sup>45</sup>Bargman, Op. Cit., p. 20.

definite responsibilities seem to be continually evolving to meet the needs of the time.<sup>46</sup>

Melton reported that the elementary school principalship is still in a state of flux. However, one thing is clear, principals must learn to cope with time restrictions so that they can truly become instructional leaders.<sup>47</sup>

Eaves effectively summarized the elementary school principalship changes during the years between 1950-1969. He stated:

As I look over the period of 18 years, it seems to me that elementary school principals have attained a higher degree of professionalization. Their responsibilities have increased. The nature of the school staff has changed and has created new responsibilities. The direct instructional leadership job of elementary school principals is changing to a design of coordination and management. Effective coordination of the many activities of the elementary school requires more knowledge about children, about instruction, about organization, about instructional materials, about society.<sup>48</sup>

In summary it would appear that an elementary principal today is faced with many problems not

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<sup>46</sup>B. J. Ranniger, "A Summary Study of the Job Responsibilities of the Elementary School Principals" (An unpublished Doctoral Dissertation, University of Oregon, 1962).

<sup>47</sup>J. Melton, "Role Perception of the Elementary School Principalship," National Elementary School Principal, Vol. 50 (February, 1971).

<sup>48</sup>R. W. Eaves, "The Elementary School Principalship Since 1950--Some Observations," National Elementary Principal, Vol. XLVII ( May, 1969), p. 5.

encountered in the past. Teacher and parent groups have become more militant and are demanding more participation in decision making. Central offices are now employing more administrators to "help" the elementary school principal and it appears that the bureaucracy has only eroded the definiteness of the principal's role. There is substantial literature to support the fact that the elementary principal's role has changed during recent years.

#### PRINCIPAL EVALUATION

An examination of the empirical research and related literature on the evaluation of principals has revealed a rather curious pattern. Quantitatively, a great number of studies and essays were published on the topic between 1922 and 1938. Following this era, very little was published. During recent years, however, a revival of interest concerning the improvement of school administration via formal, evaluative procedures becomes evident.

The majority of the early studies presented two major findings. First, the importance of administrative evaluation as a justification for its occurrence was discussed at length. Second, studies identified the traits, characteristics, and behaviors of supposedly successful principals. An early study by Worth McClure suggested the following areas that should be included

in a model for evaluating principals:

1. Care in grading and classifying pupils
2. Respect secured from teachers as a principal and leader
3. Permanency of the building corps, based on confidence of teachers
4. Influence with pupils and parents
5. Efforts in professional improvement
6. Professional leadership--professional alertness and improvement shown in teachers
7. Careful discrimination in the rating of teachers
8. Care of school plant
9. Promptness and efficiency in handling building routine<sup>49</sup>

Another representative study of this period submitted a list of personality traits as perceived by superintendents in rank order of their importance in describing the effective principal. These traits were:<sup>50</sup>

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|------------------------|---------------------|
| 1. Cooperativeness     | 14. Promptness      |
| 2. Considerateness     | 15. Resourcefulness |
| 3. Breadth of interest | 16. Enthusiasm      |
| 4. Good judgement      | 17. Industry        |
| 5. Broadmindedness     | 18. Morality        |
| 6. Dependability       | 19. Refinement      |
| 7. Poise               | 20. Sociability     |
| 8. Sincerity           | 21. Purposefulness  |
| 9. Leadership          | 22. Optimism        |
| 10. Adaptability       | 23. Definiteness    |
| 11. Health             | 24. Punctuality     |
| 12. Thoroughness       | 25. Magnetism       |
| 13. Intelligence       | 26. Forcefulness    |

Marion E. MacDonald's early study focused on a series of behavioral actions rather than abstract personality traits as a means for describing effective principals. A sample of superintendents determined the

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<sup>49</sup>Worth McClure, "Helping the Principal to Grow Professionally," Elementary School Journal, 96 (February, 1938), p. 344.

<sup>50</sup>E. S. Lide, "Personality Traits of School Administrators," Educational Research Bulletin, No. 8, p. 143.



ranking of characteristics associated with outstanding school principals as follows: <sup>51</sup>

1. Justice and sincerity
2. Tact and cooperation
3. Executive ability
4. Ability to discipline
5. Kindness and sympathy
6. Experience
7. Supervision
8. Community interest
9. Professional up-to-dateness

These prototypes of research were completed by numerous individuals. The major conclusions of this period that are pertinent to the discussion of the importance of administrative evaluation can be summarized by Earl M. Towner's statement:

Because of its value in setting standards and promoting self-analysis and self-improvement in principals, and because of its indirect effect upon instruction, the formation of an adequate rating blank for principals is a matter which should receive the careful consideration of all school systems.<sup>52</sup>

There are a number of basic fallacies underlying these types of studies which constitute bad technique, poorly applied: (1) There was a complete lack of operational definition surrounding any of the traits.

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<sup>51</sup>Marion E. MacDonald, The Significance of Various Kinds of Preparation for the City Elementary School Principalship in Pennsylvania, Teachers College Contributions to Education, No. 416 (New York: Teachers College, Columbia University, 1930), p. 41

<sup>52</sup>Earl M. Towner, "The Formal Rating of Elementary School Principals in the United States" (M. A. Thesis, University of Washington, Seattle, 1934), p. 105.

(2) Although normative studies illustrated the respect for certain traits, there were no studies which did, in fact, investigate whether or not leaders in the field exhibited these traits. (3) The rank ordering of traits could not be acclaimed as a valid statistical approach. (4) The evaluation instruments were designed to elicit opinions rather than to observe specific applications of behavior. (5) The method was never replicated for any set of subjects.<sup>53</sup>

Between 1938 and 1956, little research was published relative to the evaluation of school principals. One notable exception was by W. C. Garland, who concluded that the successful school administrator:

1. Employs a creative approach to matters of educational concern.
2. Promotes and secures the professional growth of people connected with and related to the educational enterprise.
3. Manifests high ability in the assessment of values, purposes, and needs; and in their translation into realistic educational goals.
4. Exhibits skill in appraising the manner in which existing situational factors will affect the attainment of goals.
5. Establishes and maintains an appropriate climate which enables effective contributions by those involved.
6. Initiates and maintains procedures and structures which enable broader participation in the administrative process.
7. Secures an effective utilization of all available resources.

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<sup>53</sup>Ibid., p. 107.

8. Envisions the totality of administration and integrates its component elements to secure established objectives.
9. Provides for systematic review of all phases of the educational venture and effects desirable reconstruction.<sup>54</sup>

Garland's statement tend to be more operationally oriented. His list begins to identify traits and the climate or setting in which they might be applied. However, there is no conclusive evidence to prove whether or not Garland's efforts had much impact in the general field of supervision evaluation.

Since 1956 there has been a renewed interest in the topic of the evaluation of school principals. Several state principals' associations have actively studied the problem, an example being the California Elementary School Administrators' Association. Available from this association are several published sample forms used by California School Districts to evaluate administrative personnel. In stating their position for the formal evaluation of school principals, the association said:

It gives a clearer understanding of the responsibilities assigned administrators when based upon an adequate position description. It provides evaluation which is directed toward definite, stated criteria. It thus tends to cause the persons involved to be more objective in judging performance.<sup>55</sup>

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<sup>54</sup>W. C. Garland, "An Identification of Success Criteria in Educational Administration" (Unpublished Doctoral Dissertation, Ohio State University), p. 1016.

<sup>55</sup>California Elementary School Administrators' Association, "CESAA Reviews Evaluation Procedures for the Elementary School Administrator," Monograph 11 (San Francisco: The Association, 1958), p. 19.

When it became apparent that a list of leadership traits were of little value in evaluating a specific principal's performance, a more systematic approach had to be developed. This position was amply shown when Ralph B. Kimbrough concluded from his study, that eighteen characteristics can be used to describe effective school principals and, conversely, another eighteen characteristics can be used to describe less effective principals. In short, effectiveness was contingent on whose list was chosen.<sup>56</sup>

An extensive study of the principalship has been reported in Administrative Performance and Personality. John K. Hemphill, Daniel E. Griffiths and Norman Frederickson attempted to identify the characteristics associated with effective principals through simulated situations. This meant that responses to operationally defined situations could be observed and quantified. And this placed the emphasis on how the leadership "traits" were applied, instead of simply a knowledge of them.<sup>57</sup> In this study a form was devised for use by

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<sup>56</sup>Ralph B. Kimbrough, "The Behavioral Characteristics of Effectual Educational Administrators," Educational Administration and Supervision, XLIV (November, 1959), pp. 340-41.

<sup>57</sup>John K. Hemphill, Daniel E. Griffiths, and Norman Frederickson, Administrative Performance and Personality (New York: Bureau of Publications, Teachers College, Columbia University, 1962), p. 12.

superintendents in rating principals. The following major criteria were included.<sup>58</sup>

1. Interest in work
2. Capacity to stick to a job in spite of difficulty
3. Ability to get along with teachers
4. Ability to get along with superiors
5. Ability to get along with parents
6. Knowledge of administrative practices and procedures
7. Knowledge of teaching methods and techniques
8. Rapport with school children
9. Written communication skills
10. Understanding written communication
11. Oral communication skills--formal
12. Oral communication skills--informal

The Educational Research Service of the National Education Association sought to assemble data on the practice of evaluating school principals in 1962. This national survey of school districts provided such sparse returns that no meaningful report could be prepared. A second national request in 1964 resulted in returns from fifty school districts which had a program of administrative evaluation. Although the results of this survey are available from the Educational Research Service, no definitive synthesis was attempted by the NEA group.<sup>59</sup>

#### Techniques Used in Evaluative Process

There are at least five general types of techniques used in recording evaluative data on administrative

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<sup>58</sup>Ibid., p. 226.

<sup>59</sup>Educational Research Service, "Evaluation of School Administrative and Supervisory Personnel," National Education Association, Circular No. 5, (October, 1964).

attributes and behaviors in the field of education. These techniques include:

1. Graphic rating scales - the administrator is evaluated according to how frequently a quality or behavior is observed, or by how accurately a statement describes the administrator. The scale is usually a continuum of numbers (such as never, sometimes, usually). Instruments of this type include:

- \* The Washington Principal Evaluation Inventory<sup>60</sup>
- \* The Managerial Grid Scale adapted for education use by Utz<sup>61</sup>
- \* The Leader Behavior Description Questionnaire--Form XII developed by Stogdill<sup>62</sup>
- \* The Executive Professional Leadership Questionnaire<sup>63</sup>

The graphic rating scale technique has been criticized because of the evaluator tendencies to either rate a person favorably on all items ("halo effect") or unfavorably ("horn effect").<sup>64</sup>

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<sup>60</sup>Richard L. Andrews, "The Washington Principal Evaluation Inventory: Preliminary Manual" (Seattle, Washington: Bureau of School Service and Research, University of Washington, 1970), 16 pages.

<sup>61</sup>Robert T. Utz, "Principal Leadership Styles and Effectiveness as Perceived by Teachers" (Paper presented at American Educational Research Association Annual Meeting, Chicago, Illinois, April, 1972), 11 pages.

<sup>62</sup>Ralph M. Stogdill, Manual for the Leader Behavior Description Questionnaire--Form XII (Columbus, Ohio: Bureau of Research, Ohio State University, 1963).

<sup>63</sup>Neal Gross and Robert E. Herriott, Staff Leadership in Public Schools: A Sociological Inquiry (New York: John Wiley and Sons, Inc., 1965), 247 pages.

<sup>64</sup>William L. Pharis, "Evaluation of School Principals," National Elementary Principal, Vol. 52 (February, 1973), p. 38.

2. Essay appraisals - the evaluator writes a narrative description of the administrator, discussing strengths, weaknesses, potential, and other observations. Evaluations of this type are generally not comparable in terms of content or depth.
3. Field review - when reliable and/or comparable evaluations are desired, essay and graphic ratings by several evaluators can be combined through a systematic review process. Ratings are reviewed, areas of inter-rater disagreement are identified, and group consensus is sought. This procedure is designed to control for personal biases.
4. Forced-choice rating - evaluators must choose from two or more statements the one that best or least describes the administrator.
5. Critical incident appraisal - administrative behavior is recorded either at critical periods or when significant incidents, positive or negative, occur. This procedure requires frequent critical observations and recordings of administrative behavior or decisions.

If the administrative role is defined in terms of expected outcomes, the appropriate evaluative data, sources of data, and measurement procedures will depend upon the particular organizational or educational outcomes desired. Such outcomes can pertain to teacher performance, community acceptance or understanding of new programs, teacher morale, student achievement, and many more possible indicators of administrative effectiveness. Evaluative data might include test results, records, self-evaluations, assessments of teacher performance, or opinionnaire results. Specific data collection instruments include Halpin's "Profile of a School," designed to measure organizational

structure,<sup>65</sup> and Stogdill's "Job Expectancy Questionnaire," designed to measure job satisfaction.<sup>66</sup> Other important factors to measure and take into consideration are the availability of support services, student and teacher input, and areas of principal power or control.

Dean Speicher identified the three basic approaches used in developing standards of administrative effectiveness:

1. "The Characteristics of Traits (Input) Approach," which defines administrative effectiveness in terms of personal attributes (knowledge, personality factors, appearance, etc.), considered desirable in the accomplishment of administrative or educational objectives.
2. "The Process-Behavior Approach," which defines administrative effectiveness in terms of specific functions (allocation of resources, supervision of staff, communication with parents and community, etc.), considered essential to the accomplishment of educational and administrative outcomes.
3. "The Administrative Outcomes (Output) Approach," which defines administrative effectiveness in terms of the relative accomplishment of educational or administrative objectives. The output model requires the development of objectives which incorporate measurable or observable criteria.<sup>67</sup>

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<sup>65</sup>Fred C. Feitler, "A Study of Principal Leader Behavior and Contrasting Organizational Environments" (Paper presented at American Educational Research Association Annual Meeting, Chicago, Illinois, April, 1972).

<sup>66</sup>"How to Make Your Staff Accountable for What It Does--Not What It Is," The American School Board Journal, Vol. 161 (March, 1974), pp. 32-36.

<sup>67</sup>Dean Speicher, "Evaluating Administrative and Supervisory Personnel," Personnel News, Vol. 37 (March, 1971), pp. 9-10 (Continued in April, 1971 issue, pp. 7-8, 10).



The "Administrative Outcomes Approach" assumes a direct relationship between performance of the administrative role and educational outcomes. The administrator's effectiveness is assessed by measures of student achievement, program development, cost savings, teacher performance, or whatever criteria indicate the accomplishment of objectives. Valid procedures based on role definitions described in the first two approaches require identification of administrator characteristics or behaviors that actually do affect positive educational or organizational outcomes.

The practice of defining the administrative role and evaluating the administrator in terms of results has sometimes been referred to as a "systems approach" to accountability. This term is applicable since the administrator's total relationship to the educational system is the focus of evaluation. Both the administrator's contribution to school objectives and dependence upon resources, assistance, and input factors are assessed.

The judgmental purposes of evaluation require only: (1) the establishment of criteria defining administrative effectiveness; and (2) the implementation of valid, reliable means of measuring those criteria and any intervening variables. If these two steps are completed successfully, the evaluation process has fulfilled its judgmental purposes.

The evaluation process can serve other, non-judgmental purposes. Increasingly, evaluation is being

viewed by educators as a mechanism for administrative and organizational coordination or development. The earlier distinctions between organizational planning-monitoring and administrator evaluation are being de-emphasized according to the American Association of School Administrators.<sup>68</sup> Assessment procedures are used to stimulate self-development, encourage individual and organizational planning, sensitize the district administration to needs of the school building administrator, facilitate communication between administrators and their staffs, integrate organizational and administrative objectives, clarify job expectancies, and in general encourage the development of the administrator and school organization.

In order to accomplish these broader purposes, assessment procedures themselves must promote an organizational structure and interaction of parts that is conducive to inter-level communication, cooperative planning, clarification of responsibilities, and related functions. There should be "stimuli in the appraisal instrument to encourage self-improvement, positive change in attitude, and an expanded view of educational needs,

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<sup>68</sup>Stephen J. Knezevich, Management by Objectives and Results--A Guidebook for Today's School Executive (Arlington, Virginia: American Association of School Administrators, 1973), p. 52.

including need for possible change at the local, state, and national levels."<sup>69</sup>

The research results of Andersen<sup>70</sup> and Mosher and Purpel<sup>71</sup> indicate that evaluation, if it is to result in improved performance, should be "supportive" and concerned with the professional growth of the administrator. Both refer to a "client-centered counseling approach" through which: (1) the supervisor is a facilitator of self-evaluation, (2) relationships between the administrator's activities and results are explored, (3) consideration is given to obstacles, and (4) the administrator is encouraged to develop revised ways of thinking.

The evaluation process should allow the administrator freedom to initiate and conduct activities for the accomplishment of objectives. The supervisor-administrator relationship should not be restrictive. An evaluator or evaluation team should be trained and skilled in interpersonal interaction if the evaluation process is to provide support and stimulate self-evaluation in a non-directive manner.

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<sup>69</sup>"Administrator Appraisal" (Lincoln, Nebraska: Lincoln Public Schools, n.d.), p. 1.

<sup>70</sup>Hans O. Andersen, "Supervisor as a Facilitator of Self-Evaluation," School Science and Mathematics, Vol. 72 (October, 1972).

<sup>71</sup>Ralph L. Mosher and David E. Purpel, Supervision: The Reluctant Profession (Boston, Massachusetts: Houghton-Mifflin Co., 1972).

Finally, the evaluation process should promote an organizational structure that allows for staff participation and meaningful communication within the organization. Research by Bridges,<sup>72</sup> Browne,<sup>73</sup> and Chung<sup>74</sup> resulted in associations between job satisfaction and participation in decision-making. The evaluation process can facilitate communication and staff participation especially in the identification of needs, establishment of objectives, and assessment of organizational (as well as individual) performance.

One of the most comprehensive approaches to administrative evaluation, and its integration with personnel development and system management, are "management-by-objectives" (MBO). MBO is a relatively common practice in business that recently has been applied both in the literature and in real situations in education.

Management-by-objectives (MBO) is both an approach to management and an evaluation technique. As such, MBO and its many variations should be explored in depth before an attempt is made to implement the system. It is stated

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<sup>72</sup> Edwin M. Bridges, "Teacher Participation in Decision Making," Administrator's Notebook, Vol. 12 (May, 1964), pp. 1-4.

<sup>73</sup> Richard Browne, "The Truth About M.B.O.," Wisconsin Education Association Journal, Vol. 105 (September, 1972), p. 12.

<sup>74</sup> Ki-Suck Chung, "Teacher-Centered Management Style of Public School Principals and Job Satisfaction of Teachers" (Paper presented at American Educational Research Association Annual Meeting, Minneapolis, Minnesota, March, 1970).

repeatedly in the literature on MBO that the entire system, with all of its structural prerequisites and interrelated processes, should be implemented if MBO is to realize its full potential.<sup>75</sup>

A brief definition of MBO was developed by Odiorne, he said:

The system of management by objectives can be described as a process whereby the superior and subordinate jointly identify goals, define individual major areas of responsibility in terms of results expected of him, and use these measures as guides for operating the unit and assessing the contribution of each of its members.<sup>76</sup>

Morrissey defined MBO as a management approach that determines: (1) what must be done, (2) how it must be done (the program steps or plan of action required to accomplish it), (3) when it must be done, (4) how much it will cost, (5) what constitutes satisfactory performance, (6) how much progress is being achieved, and (7) when and how to take corrective action.<sup>77</sup> Steps one through four represent a planning function, while steps five through seven represent a controlling function.

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<sup>75</sup>Richard S. Heisler, Appraising and Improving the Performance of School Administrative Personnel (Philadelphia, Pennsylvania: Center for Field Studies, Graduate School of Education, University of Pennsylvania, 1971), p. 76.

<sup>76</sup>Stephen J. Knezevich, Management by Objectives and Results--A Guidebook for Today's School Executive (Arlington, Virginia: American Association of School Administrators, 1973), p. 4.

<sup>77</sup>Ibid., p. 5.

MBO, as a total system approach, is applied to the various functions of administration including planning, supervising, budgeting, and evaluating. No one dimension can exist in isolation from the total system under MBO, as they are all integrated and inter-dependent. As a result, administrative evaluation involves aspects of planning, budgeting, and other management processes.

The MBO approach to evaluation is based upon several assumptions about supervision including:

1. The focus of evaluation should be on continuous growth and improvement;
2. Priorities must be set so that the most important responsibilities will be evaluated;
3. Lack of defined priorities results in a dissipation of resources;
4. The administrator and supervisor may have different perceptions of administrative responsibilities unless they are specified; and
5. Dialogue between the administrator and supervisor concerning agreed upon priorities are productive both to the efficiency of the organization and to the psychological well-being of the individual.<sup>78</sup>

The administrative evaluation process logically begins with a job description which describes results to

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<sup>78</sup>Arnold Finch, Management by Objectives in Fresno Unified School District (Fresno, California: Fresno Unified School District, February, 1974), pp. 3-4.

be achieved rather than activities or functions to be performed. Based upon the job descriptions and district goals, specific performance objectives are established. The objectives take into account the base-line measurement of the current situation, the resources available and necessary, the administrator's power to influence results, the obstacles to be overcome, time necessary to complete the objective, and the means of evaluating progress toward the objective. Often the objectives and conditions are specified in what has been referred to as a "management contract."<sup>79</sup>

Management by objectives has been criticized because of the possible tendency to: (1) emphasize those goals that are easiest to accomplish or to appraise rather than those most important to the educational process, and (2) ignore other areas not covered under the MBO contract. In order to counteract these tendencies, school systems using MBO usually evaluate overall performance as well as progress in reaching objectives. The administrator might also be evaluated in terms of his ability to formulate realistic and significant goals, the effectiveness with which resources are utilized in the accomplishment of goals, and the administrator's analysis of the relationship between means, intervening variables, and ends.

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<sup>79</sup>Knezevich, op. cit., p. 14.

In MBO the job description and performance objectives are usually the topic of the first evaluation conference. Following the setting of objectives, alternative strategies are programmed for reaching each objective. Variables such as cost, necessary resources, and probability of effectiveness are taken into consideration. The preliminary conference is the first step in an evaluation process that generally includes:

1. Pre-appraisal planning conference
2. Performance appraisal
3. Progress review conference
4. Individual development program
5. Post-development program review conference<sup>80</sup>

Progress toward objectives is monitored by the collection of relevant data and controlled through corrective action. These monitoring and controlling functions are discussed in conferences subsequent to the planning conference. The administrator is provided counselling and direction by the supervisor.

Evaluation is focused on results and the effectiveness of strategies or specific activities rather than on the personal qualities of the administrator. The comparison of results to objectives determines the corrective

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<sup>80</sup>Richard S. Heisler, Appraising and Improving the Performance of School Administrative Personnel (Philadelphia, Pennsylvania: Center for Field Studies, Graduate School of Education, University of Pennsylvania, 1971), p. 30.



or self-development action to be taken by the administrator. All school principals and supervisors are required to formulate three kinds of objectives: (1) a project (school level), (2) an individual performance goal, and (3) a personal self-development goal. These objectives are negotiated and developed in a "N+1 mode," meaning one level above the administrator, one level below, one level outside the organization, and on the same level. All objectives are either innovative or problem-related since routine responsibilities are "not objectified." Unique evaluation procedures and instruments are derived for each objective through the cooperation of the administrator and supervisor. A typical MBO process is presented in Figure 1, page 51.

#### Theory X: The Traditional View of Direction and Control

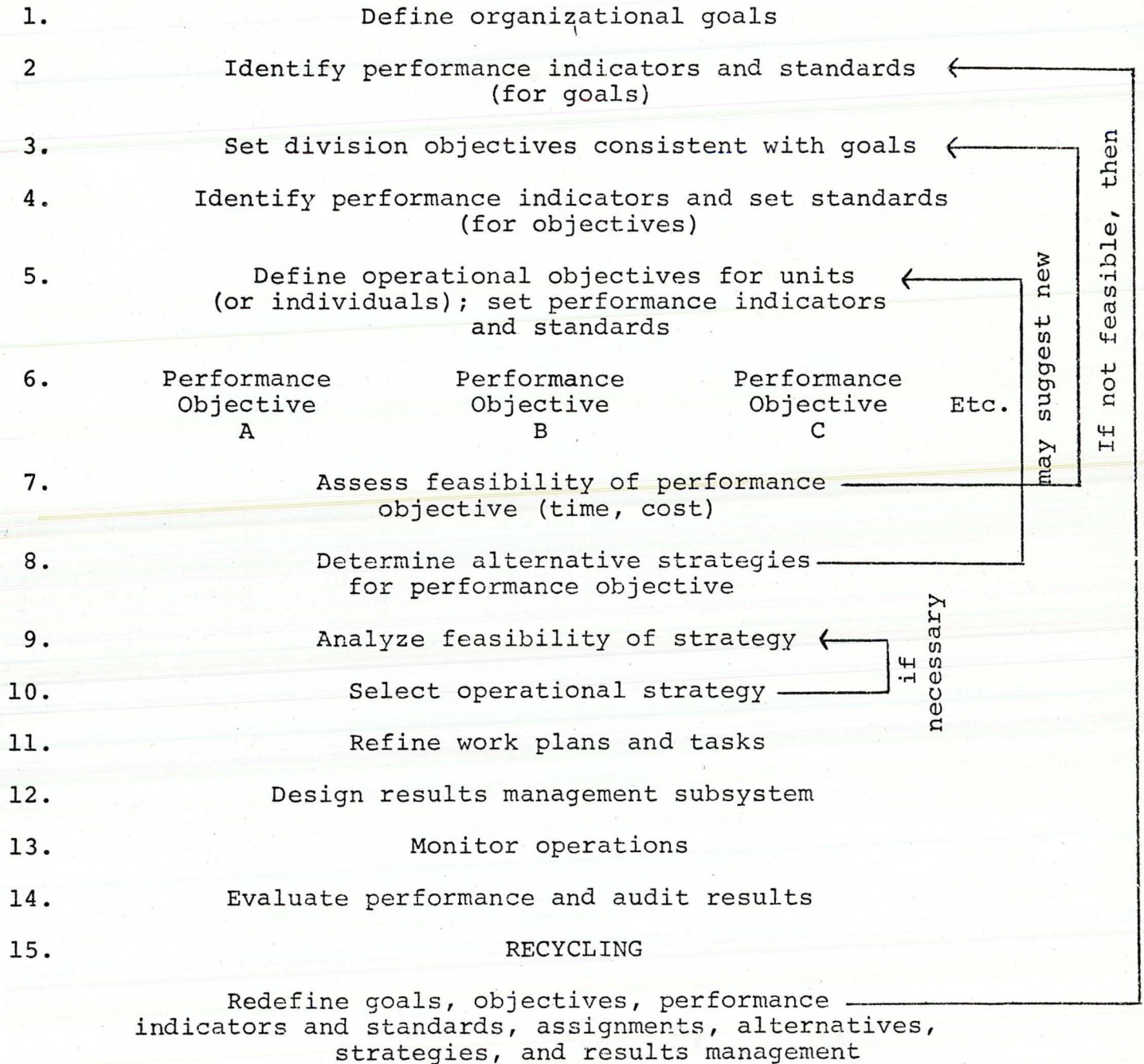
Behind every managerial decision or action are assumptions about human nature and human behavior. The traditional view of direction and control, Theory X, has the following assumptions as its basis:

1. The average human being has an inherent dislike of work and will avoid it if he can.
2. Because of this human characteristic of dislike of work, most people must be coerced, controlled, directed, threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives.
3. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, wants security above all.<sup>81</sup>

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<sup>81</sup>Douglas McGregor, The Human Side of Enterprise (New York: McGraw-Hill Publishers, 1960), pp. 33-34.

Figure 1  
THE MBO MODEL<sup>82</sup>



<sup>82</sup>Knezevich, op. cit., p. 27.

### The Assumption of Theory Y

Underlying the basic concepts of the MBO System, as well as other current evaluation systems, are the assumptions of Theory Y. There have been few dramatic break-throughs in social science theory like those which have occurred in the physical sciences during the past half century. Nevertheless, the accumulation of knowledge about human behavior in many specialized fields has made possible the formulation of a number of generalizations which provide a modest beginning for new theory with respect to the management of human resources. Some of these assumptions as presented by Douglas McGregor are as follows:

1. The expenditure of physical and mental effort in work is as natural as play or rest.

The average human being does not inherently dislike work. Depending upon controllable conditions, work may be a source of satisfaction (and will be voluntarily performed) or a source of punishment (and will be avoided if possible).

2. External control and the threat of punishment are not the only means for bringing about effort toward organizational objectives. Man will exercise self-direction and self-control in the service of objectives to which he is committed.
3. Commitment to objectives is a function of the rewards associated with their achievement.

The most significant of such rewards; e.g., the satisfaction of ego and self-actualization needs can be direct products of effort directed toward organizational objectives.

4. The average human being learns, under proper conditions, not only to accept but to seek responsibility.

Avoidance of responsibility, lack of ambition, and emphasis on security are generally consequences of experience, not inherent human characteristics.

5. The capacity to exercise a relatively high degree of imagination, ingenuity, and creativity in the solution of organizational problems is widely, <sup>83</sup>not narrowly, distributed in the population.

The central principle which is derived from Theory Y is that of integration. Integration enables the members of the organization to achieve their own goals by directing their efforts toward the success of the enterprise.<sup>84</sup>

In summary, the main idea in Theory Y is the Manager's recognition of his or her subordinates. Theory Y is built on the idea of subordinate self-control, collaboration and participation in decision-making. The assumptions of Theory Y are key to the development of modern management systems and the evaluative processes that support these management systems.

#### MODELS

The developing and changing role of the elementary principal and its important relationship to elementary

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<sup>83</sup>McGregor, op. cit., p. 47.

<sup>84</sup>Ibid., p. 49.

education has thus far been reviewed in this study. In addition, a review of the literature concerning the evaluation of the elementary principal has been accomplished.

An appropriate evaluation model for assessing the role performance of elementary principals is very important. It is proposed that a model is a guide to the effective development of a principal evaluation system. Knezevich suggests that "models are a bridge between the purely abstract and the practical."<sup>85</sup> They are a connection between theory and the systems approach, though the kinship is stronger with theory. The construction of a model of any system under investigation is an essential step in operations research, a type of systems study. Model building represents one way of spanning the differences that presently exist between the theoretical orientation of professors of educational administration and the everyday concerns of practicing administrators.

Van Dalen defined the term "model." He wrote that "models are simplified or familiar structures which are used to gain insights into phenomena."<sup>86</sup> Knezevich says, "A model is a representation of reality, that is, a simplified version of the real world containing only

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<sup>85</sup>Stephen J. Knezevich, Administration of Public Education (New York: Harper and Row, Pub., 1969), p. 524.

<sup>86</sup>Deobold B. Van Dalen, Understanding Educational Research, An Introduction (New York: McGraw-Hill, 1973), p. 53.

those aspects which are important to better understanding or control."<sup>87</sup> Van Dalen said that there is an absence of a great deal of information in the body of knowledge concerning education because of a "lack of a model that conceptualizes all the major input elements and the combinational interactions of them that affect the major output elements of the educational process."<sup>88</sup>

Webster's Unabridged Dictionary states that a model is (1) that which exactly resembles something, a copy; (2) a miniature representation of a thing; (3) something intended to serve as a pattern; or (4) an example for imitation.<sup>89</sup> A model, therefore, becomes a means of rising above the morass of complex and multitudinous details not particularly relevant to the comprehension of the essence of all or part of administration.<sup>90</sup>

A model should be a sufficiently simple version of the facts to permit systematic manipulation and analysis. Administration becomes more amenable to research, and school operations are comprehended more clearly, when models are developed which focus on those factors pertinent to understanding or control. Models are

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<sup>87</sup>Knezevich, op. cit., p. 525.

<sup>88</sup>Van Dalen, op. cit., p. 464.

<sup>89</sup>Websters Unabridged Dictionary (Springfield, Mass. Merriam Company, Publishers, 1970).

<sup>90</sup>Knezevich, op. cit., p. 526.

means to an end. To be functional, a model must be a sufficiently close approximation of relevant facts in the real world.

Educational administration may never attain the rigorous and tightly structured theories characteristic of physics, since the movement of planets and of electrons seems to be determined by fewer antecedents and stimuli than human behavior.<sup>91</sup> Nonetheless we can establish, on at least a probabilistic basis, functional relations between antecedents and consequences in human behavior. A model may suggest a means of accurately measuring operations. Scales are then proposed along with dimensions for the evaluation of certain systems.

More emphasis must be given to stimulating the generation of a variety of models concerned with the many aspects of educational administration. Not a universal model to describe, explain, and control the totality of administration, but rather a variety of models to facilitate understanding and analysis needed. Models which strip away the minutiae and "administrivia" are needed for a better understanding of the activities and behavior of professional personnel. Useful and accurate models of any aspect of educational administration will take many years to evolve as an imperfect model is modified or

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<sup>91</sup> Irvin Bross, Design for Decision (New York: MacMillan, 1953), pp. 161-182.

merged with others trying to describe and explain or predict the same thing. To quote Irvin Bross, "Few scientists are so fortunate or clever as to devise a useful model on the first attempt."<sup>92</sup> Even a model used successfully for years may encounter a situation whose outcome it will not be able to predict accurately, and hence a new model must be developed. It is contended that poor and inaccurate models are better than none, for a field that lacks models is still depending on disconnected and purely empirical observations.

Bross suggested that there are four types of models: (1) physical models, (2) abstract or verbal models, (3) symbolic models, and (4) mathematical models.<sup>93</sup>

Knezevich wrote that a model can be classified as a: (1) iconic model, (2) analog model, (3) function model, (4) quantitative model, or (5) qualitative model. He mentioned three examples of models in educational administration: (1) an accounting model, (2) a building model, and (3) a decision-making model.<sup>94</sup>

Bross, in describing why models are so popular, wrote that they are the "most successful predicting systems so far produced....it is simply a matter of going along with a winner."<sup>95</sup> He further suggested that a model

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<sup>92</sup>Bross, op. cit., p. 162.

<sup>93</sup>Ibid., p. 175.

<sup>94</sup>Knezevich, op. cit., p. 528.

<sup>95</sup>Bross, op. cit., p. 161.



provides a very neat frame of reference to consider a problem; the model can suggest gaps in the conception of the problem. He also mentioned that sometimes symbolic language cannot be completely manipulated. He noted that a danger in the use of models is that the user sometimes becomes so attached to the model that he thinks that it is the real world.<sup>96</sup>

Knezevich wrote that "sooner or later the model must be tested in the world of reality."<sup>97</sup> Bross said that "the test of the model acknowledges....the supremacy of the real world. If the model fails to predict what will happen in the real world, it is the model that must give way. Models enable us to reduce, even if we cannot eliminate, the margin of error in administrative decisions."<sup>98</sup>

Much of the research in educational administration has been concerned with gathering isolated facts rather than evolving theories or testing the validity of a given model. If research in educational administration is to influence practice, it must move beyond the mere gathering of facts to the scientific and creative level of explaining and interpreting facts. Models emerge, or are modified or justified, as the researcher moves from collecting to

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<sup>96</sup>Ibid., p. 161.

<sup>97</sup>Knezevich, op. cit., p. 529.

<sup>98</sup>Bross, op. cit., p. 161.

interpreting facts.<sup>99</sup> In order to develop a truly effective evaluation system for elementary principals, models need to be developed and utilized in school systems. Only then will we have an effective evaluation system.

#### SUMMARY

The principal has a profound effect upon his school, for as one researcher concluded, the principal's strengths become the strengths of his school, and the principal's weaknesses become the weaknesses of his school.<sup>100</sup> This chapter has reviewed the literature on the changing role of the elementary principal and its important relationship to elementary education. The literature supports the importance of the role of the elementary principal and suggests that the elementary principal of today must be adept in group dynamics and management techniques. The ability to utilize theory that will lead to the realization of both individual and organizational goals is important. Evaluation and the development of the evaluation process was also examined in this chapter. The early attempts in evaluation have been proven to be inadequate and the importance of the

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<sup>99</sup>Knezevich, op. cit., p. 530.

<sup>100</sup>Winfield Scott Christiansen, "The Influence of the Behavior of the Elementary School Principal Upon the School He Administers" (Unpublished Ph.D Dissertation, Stanford University, 1953).

development of more systematic approaches to evaluation was demonstrated. This "systems approach" to evaluation focuses on the principal's total relationship to the educational system. Improvement of the individual and the entire system are the major goals. Assessment procedures are used to stimulate self-development, encourage individual and organizational planning, facilitate communication between administrators and their staffs, integrate organizational and administrative objectives, clarify job expectancies, and in general encourage the development of the administrator and school organization.

The importance of management-by-objectives as an approach to management and as an evaluation technique was stressed. McGregor's Theory Y, which underlines the process, was cited. Finally, models and their importance in developing an appropriate evaluation system for the elementary principal were discussed.

In chapter 3 the procedures used in assessing the current practices utilized in selected elementary districts in California are presented.

## Chapter 3

### THE DESIGN AND PROCEDURES OF THE STUDY

The purpose of this study was to construct a model for the evaluation of elementary school principals in the State of California. The design and procedures of the study to accomplish this purpose are outlined in this chapter. These procedural steps are discussed under the following headings: (1) Review of the Literature, (2) The Population and Sample Selection, (3) The Survey Instrument, (4) Data Analysis, and (5) Creation and Validation of the Model.

### REVIEW OF THE LITERATURE

The relevant books, periodicals, journals, and unpublished materials were reviewed in order to seek answers to the following questions:

1. What is the current role of the elementary principal?
2. What was the background development of that role?
3. How important is this position in the educational system?
4. Is the individual who holds this position evaluated? If so, how is this individual evaluated? Who is involved in these evaluation procedures?

The reasons for this search were to ascertain what the experts stated concerning the elementary principalship and how in theory the individual in this position should function. Also needed was the knowledge of what the experts stated concerning evaluation and the processes used in identifying the successful elementary school principal.

This study was conducted over a three year period of time. During this time three separate ERIC searches of the literature were conducted and extensive bibliographies were studied in the libraries of the University of Pacific, Stanford University, and California State University at San Jose. Numerous workshops and several conferences on evaluation sponsored by professional organizations such as the National Association of School Administrators and the Association of California School Administrators were attended in order to gather additional information.

#### POPULATION AND SAMPLE SELECTION

The primary purpose of this study was to develop an optimum model for the evaluation of the elementary school principal in the State of California. Once it was determined what the literature contained concerning the principalship role and the evaluation of that role, it was considered appropriate to question the practitioners in the field as to their perceptions.

Gilbert Sax described the method by which an investigator could draw a representative sample in a random, unbiased manner. He wrote that (1) the population must be defined, (2) the sample selected, and (3) the population's parameters estimated using the results from the statistical testing of the sample.<sup>1</sup> The size of the sample was determined by considering three factors mentioned by Sax: (1) the accuracy needed, (2) the cost involved, and (3) the homogeneity of the population.<sup>2</sup> There were four hundred and ten (410) elementary school districts in California with a population of over three hundred and fifty (350) average daily attendance (ADA). During the process of preliminary investigation it was ascertained that districts of less than three hundred and fifty (350) ADA had the position of Superintendent-Principal and that these positions were sufficiently different in nature from that of an elementary principal to be excluded from participation in the study.

A sample of forty-one (41) districts was selected. The sample contained twenty-three (23) districts that ranged in size from three hundred and sixty-six (366) ADA to one thousand five hundred and sixty (1,560); eight (8) districts with a size range of two thousand seventy (2,070)

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<sup>1</sup>Gilbert Sax, Empirical Foundations of Educational Research (Englewood Cliffs, New Jersey: Prentice-Hall, Inc. 1968), p. 17.

<sup>2</sup>Ibid., p. 18.

ADA to four thousand two hundred (4,200) ADA; and ten (10) districts with a size range of five thousand seven hundred and fifty-seven (5,757) ADA to twenty-one thousand five hundred and seven (21,507) ADA. The district with twenty-one thousand five hundred and seven (21, 507) is the largest elementary district in the State of California. There were two hundred and ninety (290) schools represented in the forty-one (41) districts.

The sample was selected by assigning a number to each of the four hundred and ten (410) districts listed in the 1975-76 School Directory for the State of California. The Table of Random Numbers was then utilized.<sup>3</sup> A list of the districts included in the study appear in Appendix A.

#### THE SURVEY INSTRUMENT

The process selected to collect data from the sample of the practitioners in the field was the questionnaire. This questionnaire was designed to "elicit the experiences or activities of respondents."<sup>4</sup> Hayman wrote that the questionnaire was "especially useful in obtaining information from sizable groups, and it can result in great savings when members of the group are

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<sup>3</sup>Audrey Heber and Richard P. Runyon, General Statistics (Menlo Park, CA., Addison-Wesley Publishing Co., 1971), p. 318.

<sup>4</sup>Sax, op. cit., p. 20.

widely separated geographically."<sup>5</sup> Sax wrote, "the instrument is economical both in expense and in time. Each respondent received exactly the same questions and in the same form."<sup>6</sup> In utilizing mail questionnaires every effort should be made to obtain returns of 80 to 90 percent with a minimum of 60 percent. When the researcher knows the characteristics of the respondents and gets a high percentage of returns the mail questionnaires become a very good method of conducting surveys.<sup>7</sup>

The purpose of the questionnaire was to elicit responses to the following questions:

1. Do school districts have a delineation of the role of the elementary principals?
2. Are the principals evaluated?
3. Who is responsible for evaluation?
4. Who is involved in the evaluation of the principals?
5. During the process of evaluation are the principals visited at their schools?
6. Are the procedures for evaluating the principals in written form?

Several steps were taken prior to the mailing of the questionnaire to increase the likelihood of obtaining the answers to the information sought in the survey. Sax

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<sup>5</sup> John L. Hayman, Research in Education (Columbus, Ohio: Charles E. Merrill Publishing Co., 1968). p. 21.

<sup>6</sup> Sax, op. cit., p. 20.

<sup>7</sup> Fred N. Kerlinger, Foundations of Behavioral Research (New York: Holt, Rinehart and Winston, Inc., 1964). p. 414.



wrote that "before a final form of the questionnaire is constructed, it is of advantage to conduct a pilot to determine if the items are yielding the kind of information that is needed."<sup>8</sup> As a result, a small sample of superintendents from five school districts was selected to react to the questionnaire. Their feedback proved very beneficial in designing a questionnaire that would obtain the information needed while insuring a good response.

An introductory letter was sent to the superintendents of each of the forty-one (41) school districts requesting his/her participation in the study. The purpose of this letter was to explain the goals of the study, to emphasize the importance of the study, and to stress the importance of each district's participation. The letter also explained that the study was endorsed by the Association of California School Administrators. Finally, the letter explained that a model for the evaluation of the elementary principal would be developed and shared with the school districts participating in the study. Enclosed with the cover letter was a copy of the questionnaire and a self-addressed, stamped envelope for returning the questionnaire. After four weeks a follow-up letter was sent to the district superintendents who had not yet responded. This letter again emphasized the

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<sup>8</sup> Sax, op. cit., p. 20.

importance of returning the requested information. A final contact to the superintendents who still had not responded was made three weeks later by a personal phone call.

The results of these efforts were that forty-one (41) districts out of the forty-one (41) selected returned the questionnaire. This represented a one hundred percent (100%) return. A copy of the letters sent to the districts and a copy of the questionnaire appear in Appendix B.

#### DATA ANALYSIS

The data collected from the questionnaire appear in Chapter 4, tabled in percentage form. "The main purpose of percentages is to reduce different sets of numbers to comparable sets of numbers with a common base. Any set of frequencies can be transformed to percentages in order to facilitate statistical manipulation and interpretation."<sup>9</sup>

The purpose of this study was to develop a model for the evaluation of the elementary principal. Gathering data from a representative sample of districts provided valuable information on the current status of what is actually happening with regard to evaluation in school districts in California. This data was then combined

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<sup>9</sup>Fred N. Kerlinger, op. cit., p. 415.

with information gathered thru the research of the literature to aid in the construction of a model for the evaluation of the elementary principal.

#### CREATION OF THE MODEL

In Chapter 2 a summary of the information gathered on the role of the elementary principal and evaluation of the elementary principals was presented. In Chapter 4 a summary of the status of evaluation in districts of California is presented. The next step was to utilize the information from these two sources to construct a model for the evaluation of the elementary principal. To be useful, the model must be practical and easily workable in school districts of various sizes throughout California. Knezevich states that, "A model is a representation of reality, that is, a simplified version of the real world containing only those aspects which are important to better understanding or controlling it."<sup>10</sup> He also adds, "It is imperative that models be understood by others."<sup>11</sup>

#### VALIDATION OF THE MODEL

This section was critical to the study since it

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<sup>10</sup> Stephen J. Knezevich, Administration of Public Education (New York: Harper and Row, Publishers, 1969). p. 540.

<sup>11</sup> Ibid., p. 540.

helped to insure that the elements included in the final model were recognized as desirable by practitioners in the field. The forty-one (41) districts selected for response to the questionnaire represented a cross section of the school districts in California in that they represented small, medium, and large districts. Two districts were randomly selected from each category according to size to provide reactions to the model. A letter of explanation and a copy of the model were sent to each of the superintendents and to a selected principal in each of the six districts that were randomly selected. Interviews were then set up with the superintendents and principals. The reason that the superintendent and principal were selected for interviews is that they are the two main persons involved in the evaluation process, the evaluator (superintendent) and the evaluatee (principal). These interviews were conducted in person or by telephone. Their reactions to the model were considered and incorporated in the final draft of the model presented in Chapter 5.

#### SUMMARY

The procedures used in this study were presented. The major steps in this procedure were: (1) Review of the relevant literature, (2) The population and sample selection, (3) The survey instrument, (4) The data analysis, and (5) The creation and validation of the model. The findings of the study will be reported in Chapter 4.

## Chapter 4

### FINDINGS OF THE STUDY

School principal, building principal, headmaster. Whatever the title, it denotes a vital position in any educational system. The principal serves as the keystone. He represents the system to the general public. He works directly with the classroom teacher. He deals with the parents. He disciplines the pupils. He interprets policy and transmits it into action. He feeds back information on what works and what doesn't. He maintains morale and inspires his teaching staff with the joy and excitement of teaching.

The authoritarian principal stifles initiative, innovation, and growth. The overly permissive principal demoralizes a system. Finding the effective mixture is difficult, but if the principal functions well so does the system. It's as simple as that. Consequently, it is essential to know how the principal meets his/her demanding responsibilities and to help him/her meet them. To do this, it is important to be able to provide the principal with a periodic assessment of performance that is reliable, fair, and objective, so that he/she can know where his/her strengths are, and work to correct weaknesses.

The data collected from the random sample of forty-one (41) school districts concerning their responses to the questionnaire on evaluation of the elementary principal are presented and discussed in this chapter. Once it was determined what the literature contained concerning the principalship role and the evaluation of that role, it was considered appropriate to question the practitioners in the field as to their perceptions. The chapter is organized in three sections: (1) Analysis of the Sample; (2) Results of Questions Asked in the Questionnaire; and (3) The Summary of the Findings.

#### ANALYSIS OF THE SAMPLE

A random sample of forty-one (41) districts was taken of the four hundred and ten (410) elementary school districts in California with a population of over three hundred and fifty (350) ADA. An introductory letter and a questionnaire was sent to the superintendents of each of the forty-one (41) school districts requesting their participation in the study and explaining the purpose of the study. The questionnaire contained six questions pertaining to the job description and the evaluation process utilized in the respondent's district.

A listing of the districts surveyed, the average daily attendance (ADA) of the districts, and the number of elementary schools in the district is presented in Table 1. The random sample of districts are grouped into three

catagories: (1) Twenty-three (23) districts with an average daily attendance (ADA) between three hundred and sixty-six (366) and one thousand five hundred and sixty (1,560); (2) Eight districts with an ADA between two thousand and seventy (2,070) and four thousand two hundred (4,200); and (3) Ten districts with an ADA between five thousand seven hundred and fifty-seven (5,757) and twenty-one thousand five hundred and seven (21,507). The sample contained small, medium, and large districts. There were two hundred and ninety (290) schools represented in the forty-one (41) districts. One hundred percent (100%) of the total number of questionnaires that were mailed out were returned. A summary of this information is also found in Table 1.

TABLE 1: The Average Daily Attendance (ADA) of the districts that comprised the three major groups and the percent of the returns is presented.

ADA	Number of Districts	Percent Returned
Small districts 366-1,560	23	100%
Medium districts 2,070-4,200	8	100%
Large districts 5,757-21,507	10	100%
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41 Total districts sampled		

## RESULTS OF QUESTIONS ASKED IN THE QUESTIONNAIRE

Question 1: Do you have a written job description for the elementary principal?

Number of Districts responding.....41  
 Number of Districts answering YES.....33  
 Number of Districts answering NO..... 8  
 Percentage of responding districts that have  
 a written job description.....80%  
 Percentage of responding districts that do  
 not have a written job description.....20%

Comments made in regards to this question:

1. Evaluation under development
2. In the process of having building principals develop job descriptions.

The following generalizations were made concerning the information obtained in response to question one. A very high percent of the districts surveyed have a job description for their elementary principal. Eighty percent (80%) indicated that they had job descriptions. In analyzing the job descriptions returned with the questionnaire, it was found that the descriptions were very similar in the major areas of responsibility across all districts.

It should be noted that twenty percent (20%) of the districts do not have job descriptions for the elementary principal. The importance of defining the position, gaining agreement on the major roles of the position by teachers and others was stressed in Chapter 2.





percent (64%) of the forty-one (41) districts surveyed evaluate on an annual basis. Five percent (5%) of the districts responding evaluate twice a year. Two percent (2%) responding evaluate every other year.

In examining the evaluation systems of those districts which returned descriptions of their evaluation process, it was found that all but three of the twenty-nine districts did not involve anyone other than the superintendent in the evaluation or in the gathering of information important to the evaluation. A large part of the evaluation was based on subjective judgment supported by little empirical evidence. Only three districts out of the forty-one (41) surveyed had developed an evaluation system that was in support of an integral part of a total management system for the district.

Question 3: Who is responsible for conducting the evaluation?

Number of Districts with Evaluation Procedures.....	29
Number of districts responding that has the school board responsible for the evaluation.....	2
Percentage of districts responding.....	6%
Number of districts responding that has the superintendent responsible for the evaluation....	18
Percentage of districts responding.....	66%
Number of districts responding that has the assistant superintendents responsible for the evaluation.....	8
Percentage of districts responding.....	27%

Number of districts responding that has a committee responsible for the evaluation..... 1

Percentage of districts responding..... 1%

Comments made in regard to this question:

1. Superintendent with input from two Assistant Superintendents
2. Assistant Superintendents for Curriculum and Personnel
3. Assistant Superintendent - Attack Units

The following generalizations were made concerning the information obtained in response to question number three. The majority of the districts responding have the superintendent responsible for the evaluation. There were eighteen (18) of these districts or sixty-six percent (66%). Two of the districts or six percent (6%) have the school board responsible for the evaluation. Eight (8) of the districts or twenty-seven percent (27%) have the assistant superintendent responsible for the evaluation. One of the districts or two percent (2%) have a committee responsible for the evaluation.

Question 4: Who is involved or contributes to the evaluation of the elementary school principal?

Number of Districts responding.....29

<u>Personnel involved in Evaluation</u>	<u>Number of Districts</u>
Superintendent	27
Assistant Superintendent	10
Teachers	3
Community	2
Classified	2
Board	3
Director of Instruction	2

<u>Personnel involved in Evaluation</u>	<u>Number of Districts</u>
Director of Certificated Personnel	2
District Psychologist	1
Director of Research	1

Comments made in regard to this question:

1. Board meets in executive session with each principal
2. Teachers have administrative assessment by school usually every year or every other year
3. Teacher input is considered
4. Principal himself--we have also encouraged principals to have staff evaluate them, for their own information not with the results to be sent to the district office
5. We are presently working with custodial personnel to formulate a procedure whereby they will evaluate principals

The following generalizations were made concerning the information obtained in response to question number four. The returns from the twenty-nine (29) districts showed that there was a lack of involvement in the evaluation process by persons other than the superintendent and the assistant superintendent. Only three districts have teachers involved in the evaluation process. Two districts had community or classified people involved in the evaluation. This information points out a wide disparity between what is actually happening in districts as far as the involvement of significant groups of persons in the evaluation of the elementary principal and the involvement being suggested in piloted evaluation systems being developed in the country.

Question 5: Are school on-site visitations for evaluating the principals conducted on a regular basis?

Number of Districts responding.....41

Number of Districts answering YES.....17

Number of Districts answering NO.....24

Percentage of Districts answering YES.....41%

Percentage of Districts answering NO.....59%

Comments made in regard to this question:

1. Superintendent - at least once a week
2. Weekly - strictly on an informal basis
3. Mid-year conference
4. The Assistant Superintendent visits one or more schools virtually each day
5. We have one site - 2 buildings - I am in one or the other all day every day
6. Three times a year
7. Minimum of twice yearly
8. At least once each week
9. Two formal, several informal periodic attendance of staff, PTA functions on a planned basis
10. Once every three months by the Superintendent
11. Every other week, these on site visits are for several purposes, evaluation is a spin off
12. Several times a year
13. On site, two times a year

The following generalizations were made concerning the information obtained in response to question number five. The information that came out of this question was

that over half or fifty-nine percent (59%) of the districts sampled did not have on-site visitations as a part of the evaluation of the elementary principal. A need for an accurate means of obtaining input from the personnel in the schools, (i.e., teachers, classified personnel, students, and parents), was brought out in the answers to this question.

Question 6: Are the procedures for evaluating the elementary principal in written form?

Number of Districts responding.....	41
Number of Districts answering YES.....	21
Number of Districts answering NO.....	20
Percentage of districts answering YES.....	51%
Percentage of districts answering NO.....	49%

Comments made in regard to this question:

1. We tend to modify this form with an added page of more specific objectives.
2. We sit once a month and evaluate program and progress of staff. In the Spring I discuss with the building principal strong and weak points of their building management.
3. Day to day personal contacts and relationships. Frequent visits and observations in classrooms, impressions gained in staff meetings, competence in handling routine district's operation, affairs, reports, etc.
4. Forms enclosed are for Stull Bill. A written narrative system is used in relation to job description.
5. Each principal is responsible for writing objectives each year. These are reviewed by the superintendent in November and revised after a personal interview with each principal. These become guides for the annual evaluation in the Spring.

6. Target approach -- Superintendent and principal meet in August or September and agree on four or five goals (targets), how they will be measured, etc.. Ninety percent of evaluation consist of goal achievement culminated in June.

The following generalizations were made concerning the information obtained in response to question number six. The information obtained in response to this question was that only fifty-one percent (51%) of the districts had the evaluation procedures in written form. Actually twenty-one (21) out of the twenty-nine (29) districts with evaluation programs have their procedures in written form. Nine (9) of the districts utilize a check list type of evaluation procedure. Eight (8) of the districts utilize a goal setting procedure in setting up the evaluation process. Four (4) of the districts use a narrative written summary of the evaluation.

#### SUMMARY OF THE FINDINGS

The findings of this study have been presented in this chapter. Forty-one (41) questionnaires were mailed out to superintendents in forty-one (41) school districts in California. One hundred percent (100%) of the questionnaires were returned. In the first section of this chapter an analysis of the sample was presented. These results suggest that the sample was taken from a broad base of the elementary school districts in California and that it is representative of the elementary school districts in the state.

The second section of Chapter 4 contained the results of the answers obtained from the questionnaire received from the participating districts. These questions were presented to the practitioners in the field in order to ascertain the status of the existence of written job descriptions in school districts and also the existence of evaluation processes in school districts. The findings of this section indicate that a number of districts (20%) do not have job descriptions for elementary principals. In the districts having job descriptions (80%), a high degree of correlation existed as to the major areas of responsibility for the elementary principal.

The analysis of the findings relative to the remaining questions in the questionnaire point out the lack of a evaluation system in twenty-nine percent (29%) of the districts surveyed. Additional findings were the lack of involvement in the evaluation process by the individuals working most closely with the elementary school principal. Specifically the teachers, classified personnel, students and parents of the schools. Lack of actual on-site visitations or a means to obtain accurate information on the performance of the principal was also clearly brought out in the answers to the questionnaire. Finally the results from the questionnaire pointed out the need for specific written procedures to be set up for the conduct of the evaluation. Steps should be delineated that would be followed in the evaluation process.



Chapter 5 contains a model for the evaluation of the elementary principal in the State of California. The summary and conclusions are also included in Chapter 5.

## Chapter 5

This chapter is organized into three sections:

- (1) Summary; (2) Purposes and Philosophy of Evaluation;
- (3) Model for the Evaluation of the Elementary Principal in California; and (4) Recommendations for Further Study.

### SUMMARY

The purpose of this study was to develop a model that could be utilized by school districts for the evaluation of the elementary school principal. A review of the literature was conducted to reveal what the current role of the elementary principal encompasses. The background history leading to the development of that role was examined. The literature was further examined to ascertain if this position was evaluated and how it was evaluated. The basic theories of management and evaluation were also examined.

Forty-one (41) school districts in the State of California were surveyed to determine if they had job descriptions for the elementary principal. Information was also collected on whether the district evaluated the principals. The questionnaire also contained questions pertaining to who conducted the evaluation, who was involved in the process, and whether the evaluation was in

written form. The districts that had written evaluations submitted these for study.

The results of the study suggest that eighty percent (80%) of the school districts in California do have job descriptions for their principals, that thirty percent (30%) do not have evaluation systems, and that even those districts which have evaluation procedures do not involve key people in the evaluation process. Another factor worthy of note, was the lack of actual on-site visitations as a means of obtaining accurate information on the performance of principals. The study also pointed out the need for specific written procedures to be set up for the conduct of the evaluation. As stated in Chapter 1:

"It is a rare textbook in the field of educational administration which discusses the evaluation of the elementary school principal. There may be good reasons for this omission. Very little research has been done, and school districts must consider introducing a system of formal evaluation of principals."

#### PURPOSES AND PHILOSOPHY OF EVALUATION

The many purposes of administrative evaluation can be divided into two general categories--those serving primarily as a "means" and those serving primarily as an "end." When evaluation functions as an "end," it results in a specific culminating judgment regarding administrative performance. This judgment may be used as justification for merit salary increases, promotion, demotion, transfers,

inservice training, self-development objectives, and similar personnel decisions; however, the evaluation process has fulfilled its function as soon as the judgment is reached. The focus is on the individual and his or her performance. Although this focus should be a function of every evaluation system, the conclusions reached from this study indicate the primary importance of the evaluation system serves primarily as a "means." When this occurs, the evaluation process then functions as an on-going communication, feedback, adjustment, and assistance process. Evaluation becomes an integral part of the total management system and is interrelated with decision-making, resource allocation, goal development, and other administrative functions. The focus is on improvement of the educational system through the continuous improvement of the educational leader.

In developing an administrative evaluation system the following basic elements and concerns, drawn from the literature, field interviews, and the study questionnaire, must be considered:

1. An evaluation system is part of the overall management system rather than a discrete entity.
2. Evaluation is a cooperative endeavor between evaluator and evaluatee, and those affected by the process should be involved in developing and implementing the process.
3. Open communication between evaluator and evaluatee is an essential condition for successful maintenance of the system.

4. The focus of an effective evaluation system is not on "proving" but on "improving."
5. Effective evaluation is a continuous process, sensitive to the need for modification according to need and experience.
6. The prime product of effective evaluation is improved function, which is facilitated by specific recommendations. These recommendations grow out of interaction between evaluator and evaluatee.
7. Personality traits are extremely difficult to measure objectively, while behavioral descriptions associated with successful administrators are available.
8. Self-analysis and self-improvement is essential in the evaluation of principals.
9. No consistent form has been accepted for evaluation instruments or procedures.
10. The effects of any principal's influence on his staff must be a part of any administrative evaluation.

Administrative evaluation systems are based upon the assumptions that there are standards of administrative effectiveness, and that administrative performance can be measured in terms of these standards. Without these two prerequisites, administrative evaluation has no meaning. The design and implementation of an evaluation process also rests upon a third assumption--that the process will accomplish some stated objectives. The purposes of administrative evaluation are of great importance in determining the legitimacy of the evaluation process. These assumptions form the basis for the three basic components of a model for administrative evaluation: (1) development of standards of administrative effectiveness, (2) assessment

of administrative effectiveness, and (3) accomplishment of the purposes of administrative evaluation.

Previous research has shown that there is a direct relationship between performance of the administrative role and educational outcomes. The administrator's effectiveness is assessed by measures of student achievement, program development, cost savings, teacher performance, or whatever expressed criteria indicates the accomplishment of objectives.

Valid procedures based on role definitions require identification of administrator characteristics or behavior that actually do affect positive educational or organizational outcomes. Research has suggested that there is no clear distinction between administrative qualities and administrative behavior. Most "characteristics" that are commonly referred to (integrity, sense of humor, dedication, stability, etc.) are actually descriptive terms derived from observations of behavior, and they might be phrased more appropriately in behavioral terms.

Numerous attempts have been made to define the functions of the school administrator. A clear specification of administrative responsibilities is important not only in the process of evaluation, but also in the general management function. This study indicates that most local school districts have developed some type of job description that outlines administrative responsibilities.

The means of evaluating an administrator are necessarily dependent upon the particular personal characteristics, behaviors, and outcomes that are defined, expected, or seen as desirable for his role. If the administrative role is defined in terms of specific personal attributes or behaviors, evidence must be collected that measures the degree to which these attributes and behaviors are demonstrated. Evaluative data can be obtained through observations or visitations by supervisors (individual or team), self-evaluations, and surveys of staff, community, or student opinions. Appendix C has specific examples of survey instruments that may be used with staff and community. Also in this appendix are examples of self-evaluation instruments. In specific reference to principal evaluation, George Redfern, in an unpublished mimeographed statement (AASA, 1970), warns that input from each source should pertain only to areas in which the source has direct contact with the principal, e.g., teachers should evaluate the principal on the basis of teacher-principal interaction and pupils on the basis of pupil-principal interaction.

This study found that some school districts utilized such data collection techniques in the evaluation of administrative characteristics/behaviors. An effective evaluation system collects evaluative data through a combination of techniques, including supervisor observation, opinionnaires distributed to students, parents, and teachers, and self-evaluation. In Kalamazoo, Michigan

public schools, half of the principal's evaluation score is derived from self-evaluations and questionnaires completed by teachers, resource specialists, other building administrators, and district administrators.<sup>1</sup>

### Theory Y

Earlier in this study research was presented which established the basic tenets of Theory Y. This basic theory on the management of human resources maintains that you can have an integration of individual and organizational goals. This theory states that people will exercise self-direction and self-control in the service of objectives to which he/she is committed. It further states that commitment to objectives is a function of the rewards associated with their achievement. The most significant of such rewards, e.g., the satisfaction of ego and self-actualization needs, can be direct products of effort directed toward organizational objectives.

The central principle which derives from Theory Y is that of integration, i.e., the creation of conditions such that members of the organization can achieve their own goals best by directing their efforts toward the success of the enterprise. The main idea in Theory Y is

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<sup>1</sup>William D. Coats, "How to Evaluate Your Administrative Staff" (Paper presented at the National School Boards Association Annual Convention, Houston, Texas, 1974), p. 19.



the manager's recognition of his or her subordinates in the sense of subordinate self-control, collaboration and participation in decision making.

#### Management-By-Objectives (MBO)

The need for an overall system of evaluation was mentioned previously. The system of management-by-objectives was discussed fully in Chapter 2. This system, supported by the basic tenets of Theory Y, can provide a district with the means to not only develop an evaluation system but a means for the overall operation of a school system. MBO provides a system for setting the board goals for the district by the Board of Trustees, which in turn give direction for the specific objectives to be accomplished by personnel in the district, such as principals. Research has shown that evaluation on the basis of performance is more relevant to the accomplishment of goals, as well as more humane to the administrator.

#### MODEL

The purpose of this study was to develop a model for the evaluation of the elementary school principal that could be utilized by school districts in California. Extensive review of the literature and the results obtained in surveying the present practices in school districts in California brings into focus a need to develop a model for evaluation of elementary school administrators. The

material presented here is designed to fill that need. Included in the model are suggestions of some of the important elements in an administrator evaluation system that the reader may adapt for the development of his own system.

#### Important Elements in Administrator Evaluation System

The single best indicator of the health of an organization is its evaluation system. The evaluation is largely internal and concerns ways of helping people. An effective evaluation system depends on accurate information received which implies that input from all available sources will be used. The Stull Act requires that each district establish a uniform evaluation system. To be useful, a system must be devised so that it is responsive to the needs for updating. A complete evaluation system will include appeal procedures for processing differing interpretations of evaluation data. The total evaluation process should be developed in cooperation with those concerned with and directly involved in the evaluation.

The following suggest some of the important elements in an administrator evaluation system that a district could adapt to their own situation and use as a point of departure for the development of their own evaluation system.

#### Evaluation Components

##### Job Description

It is desirable that the person employed to perform a job be involved in developing the job description. It is essential that he understands and accepts the job description whether or not he was involved in

its development. The job description is an evolutionary product subject to continual change under mutual understanding and agreement by evaluator and evaluatee.

### Job Related Tasks

An assumption is made that the district has well developed, board adopted goals expressing philosophy and direction for the district's educational program. Tasks are developed to implement long-range and short-range objectives, and must be consistent with stated goals.

### Specific Targets

Targets are derived from goals and tasks. They represent achievement of a desired point of fulfillment of a goal-oriented task. Targets need to be identified within the context of reality and the possibility of achievement.

### Who Evaluates

Because of the diversity of needs, organization, problems among school districts, it is impractical to prescribe an approach to "who evaluates." Different districts are in varying states of readiness for the implementation of administrator evaluation processes - from self-evaluation to reciprocal evaluation. Only the local school district can make the determination of "who evaluates." Definitions are provided here to help identify different processes. No suggestion is made that one process is superior to another, and there is no intent to imply that one or more processes cannot be used in combination.

- |                                      |   |   |
|--------------------------------------|---|---|
| Self-Evaluation                      | - | the process begins with the evaluatee assessing his own achievement   |
| Supervisor/Subordinate<br>Evaluation | - | traditional line-and-staff procedures where a supervisor evaluates those who operate at lower levels.       |
| Peer Evaluation                      | - | job alike participate in mutual evaluation. (This procedure may be used in conjunction with other systems.) |

Reciprocal Evaluation - subordinates provide input for evaluation of those who operate in supervisory positions. (There is no legal means for the formal evaluation of a supervisor by those supervised, but input from those supervised is important in improving the total evaluation system.)

#### What is Evaluated

What is to be evaluated includes the following: the individual's responsibilities as they relate to district goals, objectives of the particular position and the agreed upon targets. Specifics of the objectives and targets would usually be included in the employee's job description. According to the Stull Act requirements, the evaluation must include, but not necessarily be limited to:

- a. assessment of competence as this relates to the district's established standards of expected student progress
- b. assessment of other duties
- c. assessment of responsibilities relating to student control
- d. assessment of responsibilities in preserving a suitable learning environment

In the preceding pages the basic theory underlining the model have been stated and the important elements that should be included have been presented. The schematic diagram on page 95 illustrates the interconnection of the essential elements in the total management system. The utilization of a leadership style that is based on Theory Y, which involves the gathering of "input" from elements of the community, staff, students, advisory groups, political entities, etc., is a process that follows the major cyclical sequence of:

1. Needs Assessment
2. Goal Setting
3. Setting Priorities
4. Determine Objectives
5. Develop Work Plans
6. Measure Results
7. Recycle

These major steps are taken in approaching tasks not only in the evaluation process but in the total operation of the district. The schematic diagram on page 100 further illustrates the major steps in the sequence of objective setting or the district's performance evaluation system. This schematic also suggests a time frame for accomplishing this sequence.

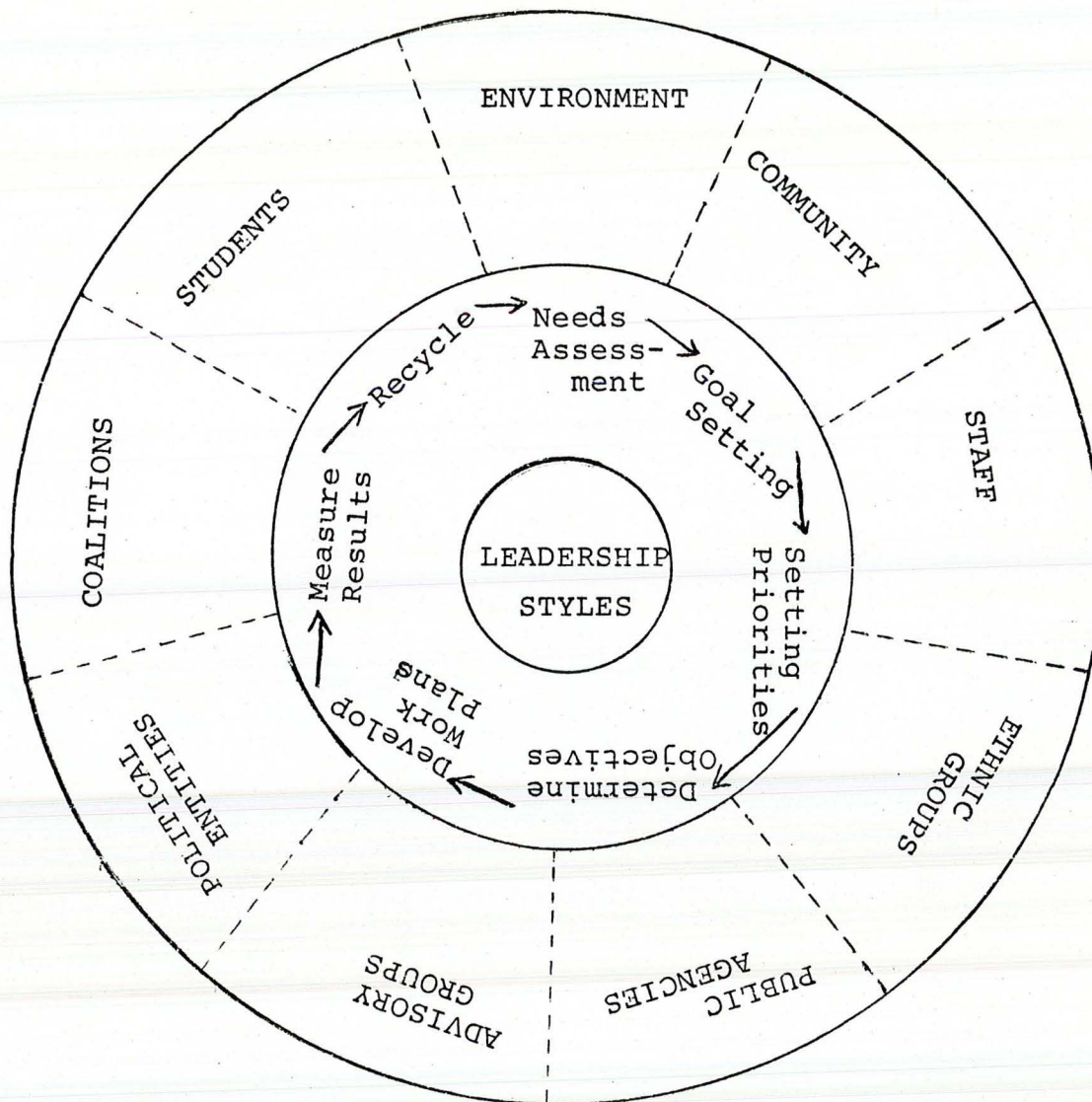
#### Step One

This sequence starts in the spring months of April-May with the principal soliciting input from staff, fellow principals (peers), and superiors on performance objectives. This is similar to conducting a needs assessment. Input could also be received from various segments of the community. The community survey suggested in Appendix C could be used at this time.

#### Step Two

The next major step calls for a review of the district goals and objectives as they relate to the responsibilities of the principalship. This step would occur in June. A very important aspect of this step would be the governing board of the district setting major goals for the district. The principal can then relate his goals and

ESSENTIAL ELEMENTS - TOTAL MANAGEMENT SYSTEM



COGNITIVE

AFFECTIVE

SKILLS OF MANAGERS	
PLANNING	
DIAGNOSING	
ORGANIZING	
COORDINATING	
DEVELOPING	
COMMUNICATING	
MOTIVATING	
EVALUATING	

TEAM BUILDING

TRAITS OF MANAGERS	
TRUSTING	
RESPECTING	
RENEWING	
SUPPORTING	
RECOGNIZING	
UNDERSTANDING	
CARING	
SHARING	

APPROACHABLE

objectives to the major goals set by the district.

### Step Three

During the summer, or the months of July and August, the principal would determine the effectiveness areas. He/she would review the areas of strength and weakness in his/her operation that would be involved in the accomplishment of the objectives that are set. Data collected on the accomplishment of the previous years' objectives would be used.

### Step Four

The next major step would come during the months of September and October. During this step the principal would determine the performance objectives to be accomplished and review these with his/her staff.

### Step Five

Agreement is reached on the means to measure the achievement of the objectives that have been set. This step takes place during the fall months of September and October. Agreement is reached between the evaluator and evaluatee. In this case the principal and superintendent.

### Step Six

Revision of objectives and standards as needed. As situation change, provision needs to be made for the revision of objectives. This allows the system to be a growing, flexible system.

### Step Seven

The system calls for a continuous review during the year. Specific steps would be taken at this point to gather information on the attainment of objectives set.

Examples of instruments that can be used are included in Appendix C. In addition, there are many formal and informal means of gathering data on the achievement of specific objectives.

### Modern Concept of Evaluation

The schematic diagram on page 102 reinforces the basic concepts that form the foundation for the model on administrator performance. Improvement of the individual and organization is accomplished through mutually agreed on performance objectives. These performance objectives are directly related to the overall goals and philosophy of the school. These, in turn, relate to the overall goals and philosophy set by the school district. Agreement is reached on the indicators of effectiveness to determine if the objectives have been accomplished.

The other important elements have been mentioned previously:

- assessment of needs
- program of action for improvement (specific steps that will be taken to accomplish objectives set)
- significant constraints (the need to identify factors that inhibit or prevent accomplishment of the objectives)



- results analysis (this is the most important step if the evaluation process is continuous, as the individual and the organization are monitoring progress toward growth of the organization and individual constantly)

### Model for Evaluation of Administrator Performance

When the basic philosophy of management, evaluation, and leadership is considered and the detailed schematic diagrams on pages 95, 100, and 102, reviewed, it is then possible to interpret the model that is presented on page 103. This model illustrates the major steps of elements necessary in a viable evaluation program. The district that uses this model should be able to develop an evaluation process that will result in the following:

#### 1. Clarification of Job Expectations

This study has pointed out the many faceted roles of the elementary principal. Annually setting goals and objectives for a school district and individual principals enables all concerned to have a clear understanding of what is expected of the individual principal.

#### 2. More Productive Working Relationship

When everyone in an organization is knowledgeable of the major goals of the organization, it follows that the energies of all can then be directed to the accomplishment of these goals. People can then work together and the chances of production increasing is increased.

#### 3. Organization and Personal Improvement

This model enhances and creates an atmosphere that focuses on improvement. It is growth oriented. The organization grows as the individuals grow.

#### 4. Affirmative Attitude Toward Evaluation

Since the emphasis is on growth of the individual and the organization, the whole atmosphere is

changed. This leads to a positive attitude toward evaluation. It has been established that a human approach to evaluation and to dealing with problems is appropriate. The model creates a win-win situation for the organization and the individual.

5. Documentation of Dimension of Competency

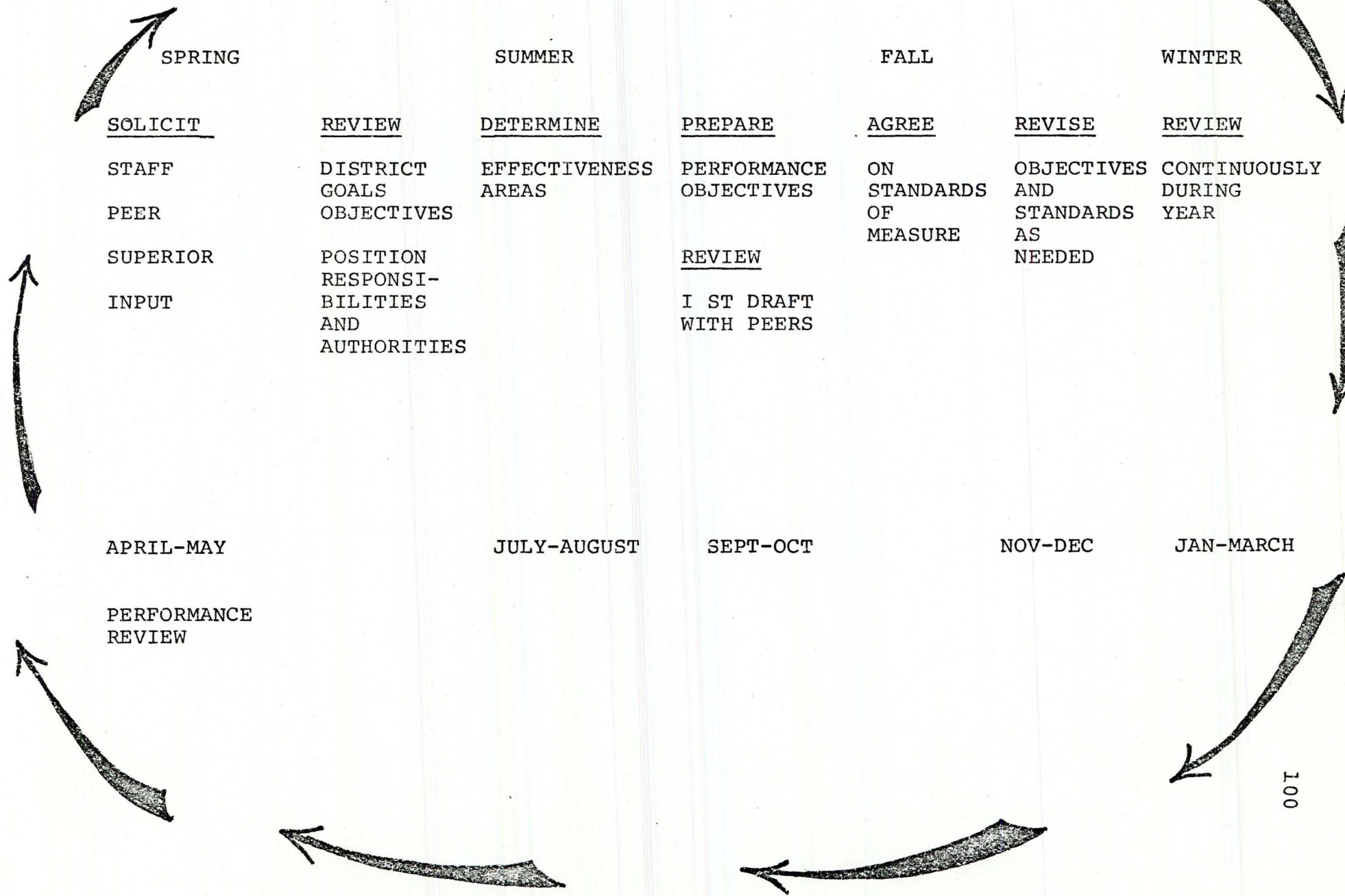
The final end result is that the school system and the individual have concrete evidence concerning what has been accomplished, who accomplished it, and how it was accomplished. Data are available to demonstrate these facts.

In short, the new performance appraisal calls for integrating individual needs and organizational goals for self-development of administrative personnel, for emphasis on results rather than on symbols, which for so long have been considered to be tantamount to accomplishment. Assignment of objectives to each unit or school is absolutely essential if the performance of the administrator in charge of the school is to be appraised systematically and effectively.

RECOMMENDATIONS FOR FURTHER STUDY

1. This model should be field tested in elementary and secondary school districts in California.
2. Due to the close relationship of the evaluation model to the management system, a model for inservice training should be investigated.
3. The relationship between leadership styles and effective evaluation procedure should be investigated.

SEQUENCE - OBJECTIVE SETTING



SPRING

SOLICIT

STAFF

PEER

SUPERIOR

INPUT

APRIL-MAY

PERFORMANCE  
REVIEW

SUMMER

REVIEW

DISTRICT  
GOALS  
OBJECTIVES

POSITION  
RESPONSI-  
BILITIES  
AND  
AUTHORITIES

DETERMINE

EFFECTIVENESS  
AREAS

JULY-AUGUST

PREPARE

PERFORMANCE  
OBJECTIVES

REVIEW

I ST DRAFT  
WITH PEERS

SEPT-OCT

FALL

AGREE

ON  
STANDARDS  
OF  
MEASURE

NOV-DEC

REVISE

OBJECTIVES  
AND  
STANDARDS  
AS  
NEEDED

WINTER

REVIEW

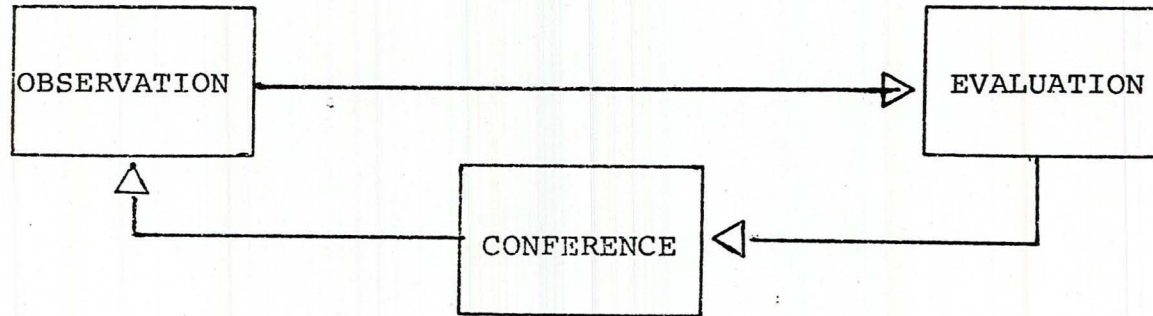
CONTINUOUSLY  
DURING  
YEAR

JAN-MARCH

The following timeline restates the major steps that should be taken in the evaluation process.

(August) <u>Month One</u>	Establish district priorities based upon board-adopted goals and standards of expected student progress.
(September) <u>Month Two</u>	Identify prime targets and tasks by administrative tasks.
(October) <u>Month Three</u>	Work with instructional staff in adopting individual job targets. Administrative staff readjusts prime job targets in light of information gained from staff.
	Develop task descriptions designed to achieve job targets, and mutually establish ways of measuring progress toward the fulfillment of tasks.
	Determine how and when progress will be measured. This is a key to success of the whole process and needs to be jointly developed by evaluator and evaluatee.
(November) <u>Month Four</u>	Implement monitoring system to determine progress toward fulfilling tasks.
(December, January, February) <u>Months Five, Six, Seven</u>	Facilitate the implementation of the entire process in accord with district guidelines. These things happen: confer, discuss, consult, observe, suggest, correct and adjust, modify.
	Complete evaluations bearing on reemployment by December deadline for notification re contract renewal.
(March) <u>Month Eight</u>	Complete evaluations bearing on reemployment of all administrative staff other than Superintendent before March 15 deadline for notification re contract renewal.
(April, May, June) <u>Months Nine, Ten, Eleven</u>	Conclude yearly evaluation conferences. Results are used as basis for reordering, or establishing new priorities and providing data for the continuation of the ongoing evaluation process.
(July, August) <u>Months Twelve, Thirteen</u>	Initiate program planning for the coming year as a result of the data available from the entire year's process of evaluation. New district goals are established. On going goals are re-assessed, reordered, and job targets and tasks are redefined. The cycle is continued.

## MODERN CONCEPT OF EVALUATION

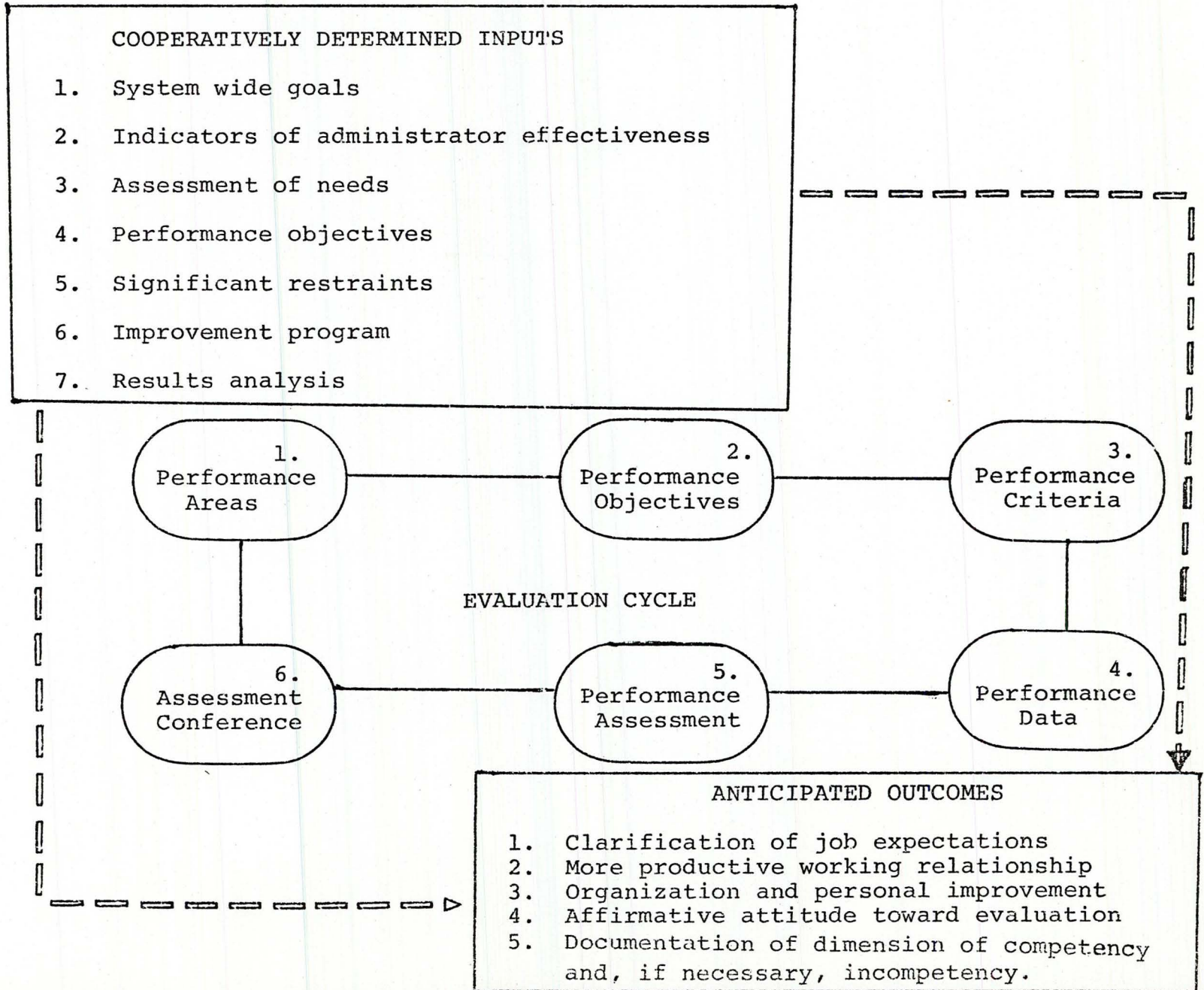


### Should Include:

- Goals and Philosophy of School
- Indicators of Effectiveness
- Assessment of Needs
- Program of Action for Improvement
- Significant Restraints
- Results Analysis

IMPROVEMENT  
THROUGH  
MUTUALLY  
AGREED ON  
PERFORMANCE  
OBJECTIVES

MODEL FOR EVALUATION OF ADMINISTRATOR PERFORMANCE



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APPENDIX A

DISTRICT	ADA
Mark Twain Union Calaveras County	366
Jacoby Creek Humboldt County	380
Hart Ransom Union Stanislaus County	399
Richgrove Tulare County	403
Arcata Humboldt County	413
Teague Fresno County	420
Mesa Union Ventura County	433
Westmorland Imperial County	437
Sundale Tulare County	460
Seeley Imperial County	474
Ross Elementary Marin County	505
College Elementary Santa Barbara County	590
Washington Union Monterey County	756
Buckeye El Dorado County	762
Windsor Union Sonoma County	799
Gonzales Union Monterey County	800
Palermo Butte County	871

DISTRICT	ADA
Perris Riverside County	1,030
King City Union Monterey County	1,074
Exeter Tulare County	1,098
Galt Sacramento County	1,180
Shasta Lake Shasta County	1,291
Menlo Park San Mateo County	1,560
Dinuba Tulare County	2,070
Savanna Orange County	2,550
Moraga Contra Costa County	2,800
Sierra Sands San Bernadino County	3,200
South Whittier Los Angeles County	3,890
Los Alamitos Orange County	3,910
Lake Tahoe El Dorado County	4,065
Conejo Valley Ventura County	4,200
Murray Alameda County	5,757
Garvey Los Angeles County	6,000
Goleta Santa Barbara County	6,767

<u>DISTRICT</u>	<u>ADA</u>
San Leandro Alameda County	8,533
Sunnyvale Santa Clara County	8,807
Clovis Fresno County	11,557
Fullerton Orange County	12,253
Fountain Valley Orange County	12,372
Alum Rock Santa Clara County	15,112
Cupertino Santa Clara County	21,507

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Total Number of Schools 290

Total Number of Districts 41



APPENDIX B

November 24, 1975

Dear \_\_\_\_\_:

All of us realize the vital importance that the position of the elementary school principal occupies in the structure of a school district. With the increasing importance of this position comes the necessity for developing means of effective evaluation for persons in these key positions.

I am conducting a study of the present evaluation procedures being used in elementary school districts in California. Would you please complete the short attached questionnaire and send me a copy of your district's job description for the elementary school principal and a copy of the evaluation system presently used in your district.

This study is being endorsed by the Association of California School Administrators (ACSA). It is expected that as a result of this study a model will be developed that may be used for the evaluation of the elementary school principal in school districts in California.

Your cooperation is certainly most appreciated and I will be most happy to provide you with completed results of the study.

Sincerely,

Herbert J. Hemington

QUESTIONNAIRE

1. Are elementary principals evaluated periodically in your district? Yes No  
 Comment: \_\_\_\_\_  
 \_\_\_\_\_
2. Are procedures for evaluation formal or informal? Yes No  
 Comment: \_\_\_\_\_  
 \_\_\_\_\_
3. Are visitation for evaluation purposes by central office personnel conducted on a regular basis? Yes No  
 Comment: \_\_\_\_\_  
 \_\_\_\_\_
4. Are evaluations recorded in written form? Yes No  
 Comment: \_\_\_\_\_  
 \_\_\_\_\_
5. Are regular conferences for evaluation purposes held with the building principal? Yes No  
 Comment: \_\_\_\_\_  
 \_\_\_\_\_
5. How many conferences were actually held last year? Number \_\_\_\_\_  
 Comment: \_\_\_\_\_  
 \_\_\_\_\_
7. Do you have a written job description for the elementary principal? Yes No  
 Comment: \_\_\_\_\_  
 \_\_\_\_\_
8. Who is responsible for evaluating the elementary school principal? \_\_\_\_\_

9. Who is involved in the evaluation of the elementary school principal?

	<u>Yes</u>	<u>No</u>
Superintendent	---	---
Assistant Superintendent	---	---
Other Central Office Personnel	---	---
Teachers	---	---
Community	---	---
Classified Personnel	---	---
Students	---	---

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

10. From whom is data collected?

	<u>Yes</u>	<u>No</u>
Superintendent	---	---
Assistant Superintendent	---	---
Other Central Office Personnel	---	---
Teachers	---	---
Community	---	---
Classified Personnel	---	---
Students	---	---

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

APPENDIX C

A PROFESSIONAL GROWTH GUIDE FOR ADMINISTRATORS

A PROFESSIONAL GROWTH GUIDE FOR ADMINISTRATORS

Name of Administrator \_\_\_\_\_ Date \_\_\_\_\_

Position \_\_\_\_\_

PHILOSOPHY

The community to create and maintain a superior program of education for all its children, youth and adults. Upon establishing policies for the operation of the total school system, the Board looks to the Superintendent, as the district's educational leader, assumes, as one of his major responsibilities, the stimulation and motivation of professional growth among members of both the administration and teaching staff.

The continuous evaluation of the growth made by students, teachers and administrators in an indispensable ingredient of a modern educational program. This instrument provides an opportunity for self-appraisal by the administrator and, when followed by the Superintendent's review, should assist in accomplishing the purposes enumerated below:

1. Improve administrative practices throughout the district.
2. Stimulate professional growth.
3. Clarify administrative responsibilities.
4. Improve classroom instruction.
5. Establish a reference file of professional growth.

INSTRUCTIONS:

In assessing your effectiveness as an administrator, it is necessary to appraise your accomplishments in relation to the circumstances in which you work. Only under ideal conditions could any administrator hope to function with maximum effectiveness in all of the many areas lying within the province of his position and responsibilities. No principal would be able to make identical achievements in any two different sets of school circumstances. What could be done with relative ease in one situation might be difficult or impossible in another.

This instrument shall be completed by the administrator prior to meeting with the Superintendent.

A PROFESSIONAL GROWTH GUIDE FOR ADMINISTRATORS

Name of Administrator \_\_\_\_\_ Date \_\_\_\_\_

	<u>Su- perior</u>	<u>Competent.</u>			<u>Unsatis- factory</u>
I <u>RELATIONSHIPS WITH THE BOARD AND SUPERINTENDENT</u>					
1. Accepts and carries out the administrative policies of the district	1	2	3	4	5
2. Works through the Superintendent when initiating professional contacts with the Board.	1	2	3	4	5
3. Is professionally loyal to the Superintendent.	1	2	3	4	5
4. Keeps the Superintendent informed in matters which may involve him.	1	2	3	4	5
5. Cooperates with the district office staff for the welfare of the school district	1	2	3	4	5
6. Actively assists in establishing a good rapport between teachers and members of the district office staff.	1	2	3	4	5
7. Makes use of the services offered by the district office.	1	2	3	4	5
8. Knows and uses the proper channels for referrals of complaints and misunderstandings.	1	2	3	4	5



## A Professional Growth Guide for Administrators (Cont.)

	<u>Su- perior</u>	<u>Competent</u>			<u>Unsatis- factory</u>
<u>II RELATIONSHIPS WITH TEACHERS</u>					
1. Recognizes, respects and properly directs the individual potentialities of teachers.	1	2	3	4	5
2. Makes himself readily accessible to staff.	1	2	3	4	5
3. Uses various means to show appreciation for teachers' efforts and accomplishments.	1	2	3	4	5
4. Is impartial and just in dealing with teachers	1	2	3	4	5
5. Actively supports the staff in their relationships with parents, students and community.	1	2	3	4	5
6. Provides appropriate induction for new teachers and substitute teachers.	1	2	3	4	5
<u>III RELATIONSHIPS WITH CHILDREN</u>					
1. Demonstrates an alertness to the interest as well as the growth and development of children and young people.	1	2	3	4	5
2. Cultivates the acquaintance of as many individual students as possible, and earns their confidence.	1	2	3	4	5
3. Makes sure that school policies concerning student behavior are well known to all concerned.	1	2	3	4	5
4. Deals firmly and fairly with all students.	1	2	3	4	5

## A Professional Growth Guide for Administrators (Cont.)

	<u>Su- perior</u>	<u>Competent</u>			<u>Unsatis- factory</u>
IV <u>RELATIONSHIPS WITH PARENTS</u>					
1. Understands and appreciates parent's aspirations for their children, and endeavors to reconcile those aspirations with the potentialities of children.	1	2	3	4	5
2. Actively participates in the P. T. A. programs.	1	2	3	4	5
3. Maintains a continuous and planned program of public relations with school and community.	1	2	3	4	5
4. Keeps alert to newsworthy developments within the school, and reports such activities through the proper channels.	1	2	3	4	5
5. Encourages teachers to promote good public relations through their classroom activities and their pupils.	1	2	3	4	5
6. Maintains an "open-door" policy with parents regarding any phase of the school program	1	2	3	4	5
7. Encourages all members of the staff to be courteous and considerate toward one another and members of the public.	1	2	3	4	5
8. Promotes direct communications between the school and parents through bulletins, group meetings, open house, visitation, back-to-school, etc.	1	2	3	4	5
9. Encourages an objective approach to parent-teacher consultations.	1	2	3	4	5
10. Maintains a reasonable degree of contact with civic groups and organizations.	1	2	3	4	5

## A Professional Growth Guide for Administrators (Cont.)

	<u>Su- perior</u>	<u>Competent</u>			<u>Unsatis- factory</u>
<b>V <u>PERSONAL CHARACTERISTICS</u></b>					
1. Is neat and well-groomed in appearance.	1	2	3	4	5
2. Recognizes his strength and limitations, and accepts constructive suggestions gracefully.	1	2	3	4	5
3. Maintains a calm and poised attitude under trying situations.	1	2	3	4	5
4. Maintains a friendly, co-operative sincere attitude toward people with whom he comes in contact.	1	2	3	4	5
5. Develops and maintains a good sense of humor.	1	2	3	4	5
6. Is willing to admit errors in judgement.	1	2	3	4	5
<b>VI <u>PROFESSIONAL GROWTH</u></b>					
1. Maintains contact with current research and practice in educational fields.	1	2	3	4	5
2. Contributes a reasonable degree of educational leadership within his sphere of influence.	1	2	3	4	5
3. Engages in a planned program of professional activities including professional reading, university course work, attendance at forums, conventions, and in-service meetings.	1	2	3	4	5
4. Is receptive to changes and innovations in education.	1	2	3	4	5
5. Demonstrates a genuine pride and loyalty toward his profession.	1	2	3	4	5
6. Is aware of the necessity for continuous progress and high scholarship in every phase of the educational program	1	2	3	4	5

## A Professional Growth Guide for Administrators (Cont.)

	<u>Su- perior</u>	<u>Competent</u>			<u>Unsatis- factory</u>
<b>VII <u>SUPERVISORY PRACTICES</u></b>					
1. Considers supervision as an aid to the improvement of instruction rather than as a means of critical inspection.	1	2	3	4	5
2. Provides opportunities for teachers to express their creative capacities.	1	2	3	4	5
3. Spends a large part of his time supervising classroom instruction.	1	2	3	4	5
4. Maintains a planned program of supervisory activities.	1	2	3	4	5
5. Provides teachers the security and freedom to do a good job.	1	2	3	4	5
6. Demonstrates the same loyalty towards his teachers that he expects from them.	1	2	3	4	5
7. Is alert and open-minded toward new concepts and practices in education.	1	2	3	4	5
8. Initiates experimentation and new teaching techniques and procedures.	1	2	3	4	5
9. Encourages the use of a variety of teaching aids.	1	2	3	4	5
10. Actively promotes the wise use of standardized and teacher-made test results.	1	2	3	4	5
11. Encourages a guidance-centered program in his school.	1	2	3	4	5
12. Recognizes good teaching and gives credit where it is due	1	2	3	4	5
13. Actively stresses the inclusion of good citizenship traits, including moral and spiritual values, in all phases of the instructional program.	1	2	3	4	5

## A Professional Growth Guide for Administrators (Cont.)

	<u>Su- perior</u>	<u>Competent</u>			<u>Unsatis- factory</u>
<b>VII <u>SUPERVISORY PRACTICES (Cont.)</u></b>					
14. Places proper emphasis on the teaching of the basic subject matter and skills.	1	2	3	4	5
15. Encourages teachers to be self-sufficient and independent regarding their classroom responsibilities.	1	2	3	4	5
16. Encourages the use of community resources in the instructional program.	1	2	3	4	5
17. Evaluates teaching effectiveness courageously, accurately, and impartially.	1	2	3	4	5
<b>VIII <u>ADMINISTRATIVE PRACTICES</u></b>					
1. Accepts full responsibility for delegated authority.	1	2	3	4	5
2. Is able to evaluate the physical needs of the school.	1	2	3	4	5
3. Is able to unify and develop teamwork among members of his staff.	1	2	3	4	5
4. Delegates appropriate responsibilities with necessary authority.	1	2	3	4	5
5. Is prompt and accurate in reporting to the district administration.	1	2	3	4	5
6. Enforces board policies and regulations in spirit as well as fact.	1	2	3	4	5
7. Budgets his time to provide a good balance between administrative and supervisory responsibilities.	1	2	3	4	5

## A Professional Growth Guide for Administrators (Cont.)

	<u>Su- perior</u>	<u>Competent</u>			<u>Unsatis- factory</u>
VIII <u>ADMINISTRATIVE PRACTICES (Cont.)</u>					
8. Keeps the central adminis- tration informed of the physical condition and needs of the school plant.	1	2	3	4	5
9. Makes efficient use of the school plants.	1	2	3	4	5
10. Makes every effort to facilitate the flow of instructional supplies to teachers.	1	2	3	4	5
11. Organizes the total school program to assure the safety and welfare of all members of the staff.	1	2	3	4	5
12. Encourages the classified employees to become an intregal part of the school staff.	1	2	3	4	5
13. Organizes duties of classified employees for the efficient operation of the school.	1	2	3	4	5
14. Has reasonable success in making each member of the staff feel his job is essential to the success of the school.	1	2	3	4	5
15. Has developed a well-organized office routine for service to teachers, pupils, and parents.	1	2	3	4	5
16. Has a well-organized program for the opening and closing of the school year.	1	2	3	4	5

The Professional Growth Guide has been discussed with me.

\_\_\_\_\_  
Signature of Administrator

\_\_\_\_\_  
Signature, District Superintendent

This form adapted from A PROFESSIONAL GROWTH GUIDE FOR ADMINISTRATORS,  
Arcadia Unified School District, Arcadia, California.

SELF EVALUATION FOR PRINCIPALS

TO: Principals  
FROM: District Superintendent  
RE: Evaluation

Please fill out the enclosed forms. This will help us conduct our evaluation.

Please rate yourself on each of these items on a scale of A through E:

- A always
- B often
- C occasionally
- D seldom
- E never



1. Utilizes teachers in formulating and evaluating the philosophy and objectives of the school.

Principal's perception                   A    B    C    D    E

Superintendent's perception        A    B    C    D    E

Principal's comments: \_\_\_\_\_

\_\_\_\_\_  
 Superintendent's comments: \_\_\_\_\_

2. Utilizes pupils in formulating and evaluating the philosophy and objectives of the school.

Principal's perception                   A    B    C    D    E

Superintendent's perception        A    B    C    D    E

Principal's comments: \_\_\_\_\_

\_\_\_\_\_  
 Superintendent's comments: \_\_\_\_\_

3. Plans for favorable teacher pupil ratio to achieve good learning.

Principal's perception                   A    B    C    D    E

Superintendent's perception        A    B    C    D    E

Principal's comments: \_\_\_\_\_

\_\_\_\_\_  
 Superintendent's comment: \_\_\_\_\_

4. Surveys and analyzes resources of the community to determine their implications for enriching the educational program.

Principal's perception                   A    B    C    D    E

Superintendent's perception        A    B    C    D    E

Principal's comments: \_\_\_\_\_

\_\_\_\_\_  
 Superintendent's comments: \_\_\_\_\_

5. Plans for the use of local resource people as a means of enriching the educational program.

Principal's perception                   A    B    C    D    E

Superintendent's perception        A    B    C    D    E

Principal's comments: \_\_\_\_\_

\_\_\_\_\_  
 Superintendent's comments: \_\_\_\_\_



11. Sets up a program of orientation and assistance for teachers new to the system.

Principal's perception                    A    B    C    D    E

Superintendent's perception            A    B    C    D    E

Principal's comments: \_\_\_\_\_

Superintendent's comments: \_\_\_\_\_

12. Makes provision for staff cooperation in working on pertinent problems presented by individual teachers.

Principal's perception                    A    B    C    D    E

Superintendent's perception            A    B    C    D    E

Principal's comments: \_\_\_\_\_

Superintendent's comments: \_\_\_\_\_

13. Provides released time for teachers to study and plan attacks on educational problems.

Principal's perception                    A    B    C    D    E

Superintendent's perception            A    B    C    D    E

Principal's comments: \_\_\_\_\_

Superintendent's comments: \_\_\_\_\_

14. Organizes and makes use of workshops and other problem-solving techniques.

Principal's perception                    A    B    C    D    E

Superintendent's perception            A    B    C    D    E

Principal's comments: \_\_\_\_\_

Superintendent's comments: \_\_\_\_\_

15. Clarifies relationships and responsibilities of school personnel.

Principal's perception                    A    B    C    D    E

Superintendent's perception            A    B    C    D    E

Principal's comments: \_\_\_\_\_

Superintendent's comments: \_\_\_\_\_

16. Plans with non-teaching personnel so that their work does not interfere unduly with the work of teachers and pupils.
- |                             |   |   |   |   |   |
|-----------------------------|---|---|---|---|---|
| Principal's perception      | A | B | C | D | E |
| Superintendent's perception | A | B | C | D | E |
- Principal's comments: \_\_\_\_\_
- Superintendent's comments: \_\_\_\_\_
- 
17. Acquaints everyone in the school organization with his or her duties.
- |                             |   |   |   |   |   |
|-----------------------------|---|---|---|---|---|
| Principal's perception      | A | B | C | D | E |
| Superintendent's perception | A | B | C | D | E |
- Principal's comments: \_\_\_\_\_
- Superintendent's comments: \_\_\_\_\_
- 
18. Organizes the school program so that it functions smoothly in the principal's absence.
- |                             |   |   |   |   |   |
|-----------------------------|---|---|---|---|---|
| Principal's perception      | A | B | C | D | E |
| Superintendent's perception | A | B | C | D | E |
- Principal's comments: \_\_\_\_\_
- Superintendent's comments: \_\_\_\_\_
- 
19. Organizes teacher committees to plan for the assignment of special staff duties.
- |                             |   |   |   |   |   |
|-----------------------------|---|---|---|---|---|
| Principal's perception      | A | B | C | D | E |
| Superintendent's perception | A | B | C | D | E |
- Principal's comments: \_\_\_\_\_
- Superintendent's comments: \_\_\_\_\_
- 
20. Encourage teachers to assume responsible freedom in exercising their judgement and initiative in the choice and arrangement of activities, subject matter, and method.
- |                             |   |   |   |   |   |
|-----------------------------|---|---|---|---|---|
| Principal's perception      | A | B | C | D | E |
| Superintendent's perception | A | B | C | D | E |
- Principal's comments: \_\_\_\_\_
- Superintendent's comments: \_\_\_\_\_
- 
21. Provides cooperatively selected instructional materials and assists teachers in their use.
- |                        |   |   |   |   |   |
|------------------------|---|---|---|---|---|
| Principal's perception | A | B | C | D | E |
|------------------------|---|---|---|---|---|



26. Encourages improvement of grading and promoting.

Principal's perception                   A    B    C    D    E

Superintendent's perception           A    B    C    D    E

Principal's comments: \_\_\_\_\_

Superintendent's comments: \_\_\_\_\_

27. Encourages improvement of teacher-made tests.

Principal's perception                   A    B    C    D    E

Superintendent's perception           A    B    C    D    E

Principal's comments: \_\_\_\_\_

Superintendent's comments: \_\_\_\_\_

28. Encourages teacher exchange of ideas on classroom techniques.

Principal's perception                   A    B    C    D    E

Superintendent's perception           A    B    C    D    E

Principal's comments: \_\_\_\_\_

Superintendent's comments: \_\_\_\_\_

29. Provides consultants when needed.

Principal's perception                   A    B    C    D    E

Superintendent's perception           A    B    C    D    E

Principal's comments: \_\_\_\_\_

Superintendent's comments: \_\_\_\_\_

30. Develops professional library for the school.

Principal's perception                   A    B    C    D    E

Superintendent's perception           A    B    C    D    E

Principal's comments: \_\_\_\_\_

Superintendent's comments: \_\_\_\_\_







41. Keeps the curriculum objectives geared to present and future needs of students.
- |                             |   |   |   |   |   |
|-----------------------------|---|---|---|---|---|
| Principal's perception      | A | B | C | D | E |
| Superintendent's perception | A | B | C | D | E |
- Principal's comments: \_\_\_\_\_
- Superintendent's comments: \_\_\_\_\_
42. Holds staff meetings to discuss individual and collective pupil progress.
- |                             |   |   |   |   |   |
|-----------------------------|---|---|---|---|---|
| Principal's perception      | A | B | C | D | E |
| Superintendent's perception | A | B | C | D | E |
- Principal's comments: \_\_\_\_\_
- Superintendent's comments: \_\_\_\_\_
43. Encourages carefully planned experimentation in teaching methods.
- |                             |   |   |   |   |   |
|-----------------------------|---|---|---|---|---|
| Principal's perception      | A | B | C | D | E |
| Superintendent's perception | A | B | C | D | E |
- Principal's comments: \_\_\_\_\_
- Superintendent's comments: \_\_\_\_\_

BUILDING ADMINISTRATOR EVALUATION INSTRUMENT I

To Be Completed By: Certificated Staff

## Survey Instructions

The purpose of this survey is to provide your administrator and the Superintendent of Schools with primary data regarding selected administrative services and behavior. A careful analysis of the results of this survey will be to provide guidance to the administrator in planning and pursuing personal in-service activities. The intended outcome of this assessment process is personal growth of the administrator resulting in improved services.

The ultimate value of this survey is linked directly to the degree that it reflects an honest, candid report. Your responses should reflect your knowledge of each item and not how you think others might respond. Each item has two corresponding scales: IDEAL Administrator (or Situation) and THIS Administrator (or Situation). The "Ideal" scale should reflect your feelings regarding the desired or ideal behavior of administrators (or the ideal situation) in general. The second scale should reflect the actual behavior of the administrator (or actual situation) under consideration.

To assure COMPLETE CONFIDENTIALITY, please do not place your name on this instrument. Your response to each item will be tallied with those of your colleagues and reported as an average score. Comments will be typed by a secretary at the computer center and listed with all comments for each item.

Your comments should be of a constructive nature and should help to explain your rating of the administrator on any specific question. Your comments will be seen only by the administrator being evaluated. The computer center will mail the list of comments only to this administrator to clarify further the ratings he has received on this questionnaire.

Please return the survey to the person noted below and on or before the indicated date:

RETURN TO: \_\_\_\_\_

RETURN BY: \_\_\_\_\_

Name of Administrator Under Consideration

\_\_\_\_\_

NOTE: Those items which are prefaced with an asterisk represent shared responsibilities with the district office. They should be considered in terms of the building administrator's role and in terms of existing resource limitations.

- \*1. Students are provided trained and capable substitutes during the absence of their own teacher.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Situation	1	2	3	4	5
THIS Situation	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

2. This administrator demonstrates and encourages open, honest communication throughout the school.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

- \*3. Basic instructional supplies are available to facilitate the educational program as budget will allow.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Situation	1	2	3	4	5
THIS Situation	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

4. This administrator has professional standards that equal or exceed standards he expects of his staff.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

5. This administrator provides opportunities for my involvement in decision making when I consider it appropriate and relevant.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

6. When presented with a suggestion or idea which may conflict with his own, this administrator is receptive and open pending further study.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

7. This administrator gives me feedback regarding staff progress being made toward school goals and objectives.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

- \*8. Instructional aids (i.e., AV aids, books, materials, etc.) which support the school curriculum are available to pupils on an individual and class basis.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

9. This administrator evaluates my effectiveness without bias or prejudice.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

10. I have confidence and trust in this administrator.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

11. This administrator utilizes criteria linked to district goals and objectives in the evaluation of programs and related activities.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

12. Teachers have access to pertinent information regarding each child to assist in determining needs and prescribing instruction.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Situation	1	2	3	4	5
THIS Situation	1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

13. This administrator considers my ideas and opinions and uses them constructively in solving problems.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

14. This administrator encourages and supports staff members who propose and try new ideas in a responsible manner.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

15. This administrator's personnel evaluation activities provide the opportunity for me to improve my effectiveness as an educator.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

16. This administrator utilizes sincere, honest reinforcement to motivate my efforts.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

17. Staff meetings deal with relevant items which require staff discussion and recommendations. Every effort is made to keep trivia out of staff meetings.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Situation	1	2	3	4	5
THIS Situation	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

18. This administrator is available to our staff, parents, and students.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

19. When new ideas are suggested to this administrator, his response conveys interest and encouragement.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

20. This administrator demonstrates concern for problems that I face.

	Rarely	Some- times	Often	Almost Always	No Basis for Response
IDEAL Administrator	1	2	3	4	5
THIS Administrator	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_





BUILDING ADMINISTRATOR EVALUATION INSTRUMENT II

TO BE COMPLETED BY: Superintendent, Assistant Superintendents, and Director

## Survey Instructions

The purpose of this survey is to provide this administrator with primary data regarding selected district related administration responsibilities. A careful analysis of the results of this survey will provide guidance to the administrator in planning and pursuing personal in-service activities. The intended outcome of this assessment process is personal growth of the administrator resulting in improved services.

The ultimate value of this survey is linked directly to the degree that it reflects an honest, candid report. Your responses should reflect your knowledge about each item and not how you think others might respond.

To assure COMPLETE CONFIDENTIALITY, please do not place your name on this instrument. Your response to each item will be tallied with those of your colleagues and reported as an average score. Comments will be typed by a secretary at the computer center and listed with all comments for each item.

Your comments should be of a constructive nature and should help to explain your rating of the administrator on any specific question. Your comments will be seen only by the administrator being evaluated. The computer center will mail the list of comments only to this administrator to clarify further the ratings he has received on this questionnaire.

Using the stamped envelope in this packet, please return the survey to the person noted on the address on or before the indicated date:

RETURN BY: \_\_\_\_\_

Name of Administrator Under Consideration

\_\_\_\_\_

NOTE: Any item scored below three (3) must have been brought to the attention of this administrator prior to the survey.

1. Does this administrator carry out his responsibilities for managing the school budget in a successful manner?

THIS ADMINIS- TRATOR	Rarely	Some times	Often	Almost Always	No Basis for Response
	1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

2. Does this administrator keep accurate attendance records and forward them to the district office as required?

THIS ADMINIS- TRATOR	Rarely	Some times	Often	Almost Always	No Basis for Response
	1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

3. Does this administrator understand the developmental needs of students (physical, psychological, social, and educational) as evidenced by his administrative decisions?

THIS ADMINIS- TRATOR	Rarely	Some times	Often	Almost Always	No Basis for Response
	1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

4. Does this administrator follow district policies and regulations in the process of evaluating certificated and classified personnel?

THIS ADMINIS- TRATOR	Rarely	Some times	Often	Almost Always	No Basis for Response
	1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

5. Does this administrator work effectively with classified personnel?

THIS ADMINIS- TRATOR	Rarely	Some times	Often	Almost Always	No Basis for Response
	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

6. Does this administrator meet, in an effective and efficient manner, administrative responsibilities expressed in district policy, regulations, and state codes?

THIS ADMINIS- TRATOR	Rarely	Some times	Often	Almost Always	No Basis for Response
	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

7. Are the in-service programs in the school effective and well administered?

THIS ADMINIS- TRATOR	Rarely	Some times	Often	Almost Always	No Basis for Response
	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

8. This administrator responds in a reasonably prompt and accurate manner to requests for information.

THIS ADMINIS- TRATOR	Rarely	Some times	Often	Almost Always	No Basis for Response
	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

9. Are local school staff members kept apprised of district policies and regulations and of the rationale for those requirements?

THIS ADMINIS- TRATOR	Rarely	Some times	Often	Almost Always	No Basis for Response
	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

10. Is this administrator committed to district goals and programs as evidenced by his efforts within the school?

THIS ADMINIS- TRATOR	Rarely	Some times	Often	Almost Always	No Basis for Response
	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

11. Does this administrator keep the district apprised of potential personnel problems and does he work cooperatively in the resolution of problems when they occur?

THIS ADMINIS- TRATOR	Rarely	Some times	Often	Almost Always	No Basis for Response
	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

12. Does this administrator seek assistance in the form of support services to meet identified student needs when appropriate?

THIS ADMINIS- TRATOR	Rarely	Some times	Often	Almost Always	No Basis for Response
	1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



COMMUNITY SURVEY

TO BE COMPLETED BY: SELECTED PARENTS



Dear Parent:

The \_\_\_\_\_ would like to know your opinions about your child's school. This survey represents one of several ways in which we evaluate your schools and our administrative staff. Your feelings about the school will be analyzed along with information on student progress, teacher attitudes, and general administrator accomplishments.

Your comments should be of a constructive nature and should help to explain your rating of the administrator on any specific question. Your comments will be seen only by the administrator being evaluated. A list of comments made will be mailed only to this administrator by the computer center. Its purpose is to clarify further the ratings he has received on this questionnaire.

You have been selected at random to participate in this survey. Only one hundred twenty families at your child's school have been selected to take part; therefore we request that you make every effort to return this instrument in the enclosed envelope by June 1.

Please circle the number which best represents your feelings on each of the items. Your comments will be reviewed carefully in the analysis of the total survey.

Respectfully,

Superintendent

## BUILDING ADMINISTRATOR EVALUATION INSTRUMENT III

## COMMUNITY SURVEY

1. Do you feel that your child is receiving sufficient emphasis in the basic skills (i.e., reading, mathematics, language)?

Rarely	Some times	Often	Almost Always	No Basis for Response
1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

2. Do you feel that your child is receiving sufficient emphasis in most other areas of the curriculum (i.e., social science, art, music, science, P.E., etc.)?

Rarely	Some times	Often	Almost Always	No Basis for Response
1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

3. Do you feel that student discipline is being effectively handled at your child's school?

Rarely	Some times	Often	Almost Always	No Basis for Response
1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

4. Do you feel that your child's school is well managed?

Rarely	Some times	Often	Almost Always	No Basis for Response
1	2	3	4	5

COMMENTS: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

5. Do you feel that the teaching staff is effective in its contacts with members of the community?

Rarely	Some times	Often	Almost Always	No Basis for Response
1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

6. Do you feel that you are being adequately informed about the programs and policies of your child's school?

Rarely	Some times	Often	Almost Always	No Basis for Response
1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

7. Do you feel that your school facilities are reasonably well maintained?

Rarely	Some times	Often	Almost Always	No Basis for Response
1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

8. Do you feel that the principal is responsive to requests for community use of the school facilities?

Rarely	Some times	Often	Almost Always	No Basis for Response
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COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

9. Do you feel that there are ample opportunities for parental involvement in the school (i.e., PTA, Home and School, Advisory Groups, etc.)?

Rarely	Some times	Often	Almost Always	No Basis for Response
1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

10. Do you feel that your child is happy to come to school?

Rarely	Some times	Often	Almost Always	No Basis for Response
1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

11. Do you feel that you are being adequately informed about the educational progress of your child?

Rarely	Some times	Often	Almost Always	No Basis for Response
1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

12. Do you feel that you are welcome at your child's school?

Rarely	Some times	Often	Almost Always	No Basis for Response
1	2	3	4	5

COMMENTS: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

