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GRILL, HENRY STEPHEN  
A STUDY OF THE EVALUATION PROCESS OF SCHOOL  
SUPERINTENDENTS IN NORTH CAROLINA.

THE UNIVERSITY OF NORTH CAROLINA AT  
GREENSBORO, ED.D., 1978

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A STUDY OF THE EVALUATION PROCESS OF SCHOOL  
SUPERINTENDENTS IN NORTH CAROLINA

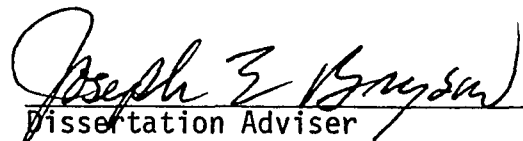
by

Henry Stephen Grill

A Dissertation Submitted to  
the Faculty of the Graduate School at  
The University of North Carolina at Greensboro  
in Partial Fulfillment  
of the Requirements for the Degree  
Doctor of Education

Greensboro  
1978

Approved by

  
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APPROVAL PAGE

This dissertation has been approved by the following committee of the Faculty of the Graduate School at The University of North Carolina at Greensboro.

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Date of Final Oral Examination

GRILL, HENRY STEPHEN. A Study of the Evaluation Process of School Superintendents in North Carolina. (1978)  
Directed by: Dr. Joseph E. Bryson. Pp. 146.

The problem of this study was to determine the effectiveness of the evaluation process used by school boards in the North Carolina Public School System to evaluate the performance of their school superintendents.

Following a review of the related literature, an opinionnaire was prepared for distribution to the superintendents and chairpersons of school boards of randomly selected school administrative units. The data obtained from these sources were compiled and analyzed.

Based upon an analysis of the data generated by the initial letter of introduction, by the opinionnaire, and by the follow-up letter, the following findings were reported: (1) thirty-five superintendents responded to the opinionnaire mailed to forty-six administrative units and the results revealed that 54 percent of the administrative units used informal evaluation procedures, 9 percent used formal evaluations based on task performed, 3 percent used formal evaluations based on predetermined standards, and 34 percent did not evaluate the superintendent; (2) thirty-two chairpersons of school boards responded to the opinionnaire mailed to forty-six administrative units and the results revealed that 56 percent of the administrative units used informal evaluation procedures, 10 percent used formal evaluations based on task performed, 6 percent used formal evaluations based on predetermined standards, and 28 percent did not evaluate the superintendent; (3) thirty percent of the superintendents indicated the importance of the evaluation process for improvement of the competency of the superintendent; (4) sixty-five percent of the chairpersons

indicated the importance of the evaluation process for improvement of the competency of the superintendent; (5) twenty-two percent of the superintendents agreed that school board members possess sufficient knowledge and expertise to adequately evaluate the competency of the superintendent; (6) eight-two percent of the chairpersons agreed that school board members possess sufficient knowledge and expertise to adequately evaluate the competency of the superintendent; and (7) superintendents and chairpersons equally agreed that the most important functions of the superintendent were in the areas of school administration and organization, curriculum and instructional leadership, business and financial management, community relations, and board relations. Chairpersons also included the area of character and personality of the superintendent.

The conclusions of this study indicated (1) informal evaluation of the superintendent by school boards is widespread in North Carolina, (2) the evaluation process is generally regarded as valuable to the improvement of the superintendent's competency by chairpersons and superintendents, (3) superintendents were not in agreement with the chairpersons that school board members possess sufficient knowledge and expertise to evaluate the competency of the superintendent, and (4) an evaluation instrument should include the following areas: school administration and organization, curriculum and instructional leadership, business and financial management, community relations, and relationship with the school board.

As a result of the findings and conclusions of this study, the following recommendations are made: (1) evaluation of the competency of the superintendent should be conducted by the school board, (2) members of the school board should review existing evaluation policies and

procedures and make revisions as needed in relation to the changing responsibilities of the superintendent, and (3) educational programs should be designed to train members of the school board to evaluate the competency of the superintendent.

## ACKNOWLEDGMENTS

The writer wishes to express sincere appreciation to each person who contributed to and assisted in the preparation of this study.

Grateful appreciation is expressed to Dr. Joseph E. Bryson for his much appreciated guidance in the preparation of this manuscript and to Dr. Dale L. Brubaker, Dr. Roland H. Nelson, Dr. E. William Noland, and Dr. Donald W. Russell for their suggestions, guidance, and critical reading of the manuscript.

Special appreciation is expressed to Dr. George P. Grill for his interest and encouragement, to Ms. Nancy L. Elliott for her advice and assistance in designing the statistical procedures and in analyzing the data, and to Mrs. Eunice B. West for her administrative support and coordination. The writer also wishes to thank his friends who directly or indirectly contributed their time and interest in the completion of this study.

Finally, the writer expresses his personal gratitude to his wife, Doris, whose patience, love and understanding, and inspiration enabled him to complete the study.



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## CHAPTER I

## INTRODUCTION

The school superintendent is new to the professional scene when compared or contrasted with other professionals in law, medicine, and religion. The superintendent of schools does not have tradition, the tried and true methods of professional conduct, at his disposal. More than one hundred forty years ago the position of school superintendent was created in a few of the larger cities, where the emphasis toward centralization of school administration in the superintendent of schools became evident.<sup>1</sup> Those early superintendents, known as school managers, visitors or headmasters, assumed a relatively minor role in the administration of school affairs.<sup>2</sup>

Few persons, if any, realized the scope and nature of the role superintendents should perform in school affairs.<sup>3</sup> There were many who thought of the superintendent's role as being a little more than that of a principal supervising several schools, while the school board kept its hands on the business affairs of the school and conducted most of the institutional leadership.<sup>4</sup> Eventually, the school board's attitude with

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<sup>1</sup>Natt B. Burbank, The Superintendent of Schools (Danville, Ill.: The Interstate Printers and Publishers, Inc., 1968), p. 3.

<sup>2</sup>Archie R. Dykes, School Board and Superintendent (Danville, Ill.: The Interstate Printers and Publishers, Inc., 1965), p. 69.

<sup>3</sup>Burbank, op. cit., p. 4.

<sup>4</sup>Ibid.

respect to school administration was changed as the affairs of the public school became more complex to manage. School boards found it was becoming increasingly difficult to direct the administrative functions of schools. Thus, more responsibility for school administration was delegated to the superintendent. This new role of the superintendent would not be simple to perform, if the following concept of administration advanced by Adams was to be accepted as a realistic approach to administration:

Administration is the capacity of coordinating many often conflicting social energies in a single organism so adroitly that they shall operate as a unit. This presupposes the power of recognizing a series of relations between numerous special social interests, all of which no single man can be intimately acquainted. Probably no very highly specialized class can be strong in this intellectual quality because of the intellectual isolation incident to specialization; yet administration or generalization is not only the faculty upon which social stability rests, but is, possible, the highest faculty of the human mind.<sup>5</sup>

From the time of the appointment of the first superintendent of public schools in the state of Delaware, in 1829, and in Buffalo, New York, in 1837, to the present day, the position of superintendent has been a major concern of the public and of educators. The importance of the role of the superintendent in education has been further publicized and influenced by such pioneers in management and administration as Weber, Fayol, Roethlisberger, Follett, MacGregor, Simon, Barnard, and Arygris.<sup>6</sup>

The role of the superintendent continues to change as the attitudes of our society change. Therefore, constant evaluation of this

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<sup>5</sup>Brooks Adams, The Theory of Social Revolution (New York: The Macmillan Co., 1914), pp. 207-208, cited by Daniel E. Griffiths, "An Evaluation of the Leadership of the School Superintendent" (unpublished Doctoral dissertation, Yale University, 1952), p. 1.

<sup>6</sup>Robert Louis Reeves, Jr., "Ten Case Studies in the Selection, Evaluation, and Termination of California School Superintendents" (unpublished Doctoral dissertation, University of California, 1970), p. 3.

position should be of vital importance to the school board, as well as to the superintendent, inasmuch as the school board has wide authority in the selection and employment of its superintendent according to Messick.<sup>7</sup> There appears to be a definite need for the superintendent and school board members to develop effective working relationships between themselves, if the mission of the school system is to be accomplished.

The responsibilities of the school board and those of the school superintendent must be identified if schools are to secure, develop, and retain essential leaders. Ashby stated that "running a school is so serious that neither the school board members nor administrators can afford to allow their relationship to deteriorate."<sup>8</sup> Each person should try to maintain an acceptable level of performance as he undertakes the fulfillment of his responsibilities to the public and to the children attending school.

Administering the educational affairs of the school system has become one of the most complicated social energies found within the complex of organizations making up our society.<sup>9</sup> Public schools at the national and local levels are being criticized by the public. Pressure groups are exerting force on the superintendent and school board to make changes. Politically oriented groups, special interest groups, minority and ethnic groups, "America First" groups, student groups, and employee

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<sup>7</sup>John D. Messick, Discretionary Powers of School Boards (Durham: Duke University Press, 1949), p. 52.

<sup>8</sup>Lloyd W. Ashby, The Effective School Board Member (Danville, Ill.: The Interstate Printers and Publishers, Inc., 1968), pp. 48-49.

<sup>9</sup>Delton Curtis Reopelle, "A Study of the Evaluation of the School Superintendent" (unpublished Doctoral dissertation, United States International University, San Diego, 1974), p. 1.



groups with negotiation laws supporting them, all have and will continue to have their day before the school board.<sup>10</sup>

More people in the local community have become not only aware of the affairs of the school system, but more involved in these affairs. This interest, or concern, can be attributed to the local and national news media which have been reporting these criticisms to the public. The rise of new communist powers, density of population, awakening of the so-called backward countries, automation, new weapons of destruction, undeclared wars, and continued space exploration have also created many new educational problems.<sup>11</sup> These problems, in addition to the criticism being received by school leaders, have helped to establish an urgency of need for reevaluation of all phases of the educational process. Rising costs of school operations, student unrest, the accountability movement, increased involvement by the Federal government, and appearance of new instructional technology have also increased the pressure to evaluate.

The position of the superintendent has become very important, Reeves contends, because operating a multi-million dollar enterprise affecting the lives of most of our young people is a tremendous, challenging responsibility for the superintendent; and the person occupying the position will be required to possess the necessary qualifications of leadership to lead and direct the school administration competently.<sup>12</sup>

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<sup>10</sup>Educational Policy Commission, "The Superintendent's Unique Role: A Review of the Unique Role of the Superintendent of Schools," Michigan Educational Journal, March 1965, pp. 42-45, cited by Robert Louis Reeves, Jr., op. cit. pp. 3-4.

<sup>11</sup>Sampson G. Smith, "The Superintendent of Schools," Teachers College Journal, 34 (March, 1963), 138.

<sup>12</sup>Reeves, op. cit., p. 4.

In addition to necessary leadership qualifications, "the success of a school administrator will depend more upon his skill in selecting, improving, and dealing with the human element than any other factor," comments Burbank.<sup>13</sup> Lilienthal reinforces Burbank's comments by saying "the manager must possess the personal, emotional, and imaginative qualities that move other people, that enable him to motivate and induce them not only to agreement, but action."<sup>14</sup>

Evaluating the effectiveness of the superintendent's performance appears to be one of the key roles of the school board. However, the school board will need to determine the criteria or identify those areas in which it believes the chief executive officer should provide leadership before it can carry out any successful evaluation program.<sup>15</sup> Until this action has been taken by the school board in coordination with the superintendent, it is doubtful any realistic appraisal of the superintendent's performance can occur.

## THE PROBLEM

### Statement of the Problem

The problem of this study was to determine the effectiveness of the evaluation process used by school boards in the North Carolina Public School System to evaluate the performance of their respective school superintendents. Specifically, this study was directed toward the four

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<sup>13</sup>Burbank, op. cit., p. vii.

<sup>14</sup>David E. Lilienthal, Management: A Humanist Art (New York: Columbia University Press, 1967), pp. 31-32.

<sup>15</sup>Ralph B. Kimbrough, School Administration, ed. Chester Nolte (New York: The Macmillan Company, 1966), p. 395.

questions below:

1. What procedures are being used to evaluate the performance of the superintendent?
2. What is the attitude of the superintendent and chairperson of the school board toward the need for an evaluation of the superintendent's performance?
3. What effect has the evaluation process had in improving the competency of the superintendent, as perceived by both the superintendent and chairperson of the school board?
4. What effect has the evaluation program had in helping to develop a better understanding and closer relationship between the superintendent and school board?

#### Significance of the Problem

"No term evokes more concern to educators than evaluation;" declares Hawkins, "just the mention of evaluation sends many administrators into a state of shock."<sup>16</sup> By its very nature, evaluation of superintendents has always been complex and troublesome to administer, but writers like Moehlman<sup>17</sup> and Graves<sup>18</sup> emphasize the importance of developing a continuous evaluation program for school superintendents. More than thirty years ago, the American Association of School

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<sup>16</sup>Wilber D. Hawkins, "Performance Evaluation: Starting with the Superintendent," Thrust for Educational Leadership, Association of California School Administrators, 2, No. 2 (November, 1972), 42.

<sup>17</sup>Arthur B. Moehlman, School Administration (Cambridge, Mass.: Houghton Mifflin Company, 1940), p. 204.

<sup>18</sup>Frank P. Graves, The Administration of American Education (New York: The Macmillan Company, 1932), pp. 454-455.

Administrators made the statement, "Good school board policy provides for a constant evaluation of the work of the superintendent of schools,"<sup>19</sup> and this statement continues to hold true to this day.

The significance of evaluating the performance of the superintendent can be illustrated more fully by observing the emphasis which the community places on the role of the superintendent as chief advisor to the school board, and as planner of effective educational programs to support the needs of the children and young people enrolled in public schools. The local school superintendent, according to Dykes, has been and is a key figure in the organizational structure of public education. Therefore, the character of education in any given community should be influenced by what the superintendent does or fails to do.<sup>20</sup>

School boards select and employ superintendents to administer the affairs of the school system and to function as chief school advisor to the school board. Thus, the relationship formed between the school board members and superintendent becomes an important factor in promoting the educational process.<sup>21</sup> The responsibility for conducting any evaluation of the superintendent's performance remains with the school board, if there is to be any accounting.

Unless school boards measure and assess the performance of their superintendents, it is doubtful that any worthwhile accounting of the

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<sup>19</sup>American Association of School Administrators, School Boards in Action, The 24th Yearbook (Washington: American Association of School Administrators, 1946), p. 69.

<sup>20</sup>Dykes, op. cit., p. 79.

<sup>21</sup>Ibid., p. 126.

educational programs in the school system can be accomplished.<sup>22</sup> From the school board's point of view, accountability of the school system's value or worth is centered around the superintendent. There can be no other way "as long as the cost of running schools continues to spiral, as urbanism spreads, as the aspirations of minority people rise, and as reports of children leaving school without basic skills grow in numbers,"<sup>23</sup> writes Lamb.

This study should be significant to (1) school boards and public school systems as they endeavor to review, revise, or re-examine their current evaluative practices for the superintendent, (2) superintendents as they advise and assist the chairpersons of school boards in the development of more efficient evaluative instruments, and (3) students in the field of study requiring current research in the use of performance evaluation or standards evaluation.

#### Need for the Study

There appears to be an insistent demand for studies which distinguish between effective and ineffective leadership in our school systems today. Morris and Seeman, in cooperation with Ohio State Leadership Studies, substantiates this statement by expressing the following opinion:

Studies of leadership which ignore the problem of evaluation can, of course, be made and may contribute important theoretical insights. Evaluation, however, takes on a special importance because of the strong pragmatic emphasis upon leadership in our culture. It is not

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<sup>22</sup> Joseph P. Lamb, Gleanings from the Private Sector, U.S. Educational Resources Information Center, ERIC Document ED 071 194, December, 1972, p. 3.

<sup>23</sup> Ibid., p. 1.

enough to know what leadership is; the demand is for knowledge about good leadership in order to secure as much of it as possible as soon as possible.<sup>24</sup>

Inasmuch as the superintendent is charged by the school board with full responsibility for creating educational conditions which will motivate or stimulate all school personnel to function effectively toward fulfillment of the school system's goals, the focus in evaluation should be on the superintendent.

The superintendent, as chief educational leader, should take the initiative by developing an evaluative process to improve the competency of all school personnel, including himself. "If boards of education were to appraise their superintendents of schools on criteria which were educationally sound and fair," Church claims, "better schools would be organized and administered."<sup>25</sup> Sullivan and others add another dimension to this concept by saying:

Evaluation has been one of the most neglected aspects of education. Because of this lack of adequate evaluation, programs have been perpetuated far beyond their utility, people have been kept in positions for which they are manifestly unsuited, and students have been permitted to go through our school systems without receiving the help that is their birthright. Meanwhile, the expenses of education have continued to soar. Our citizens are rightfully demanding an accounting of what their taxes are buying. They will not continue long to pay ever-increasing taxes without evaluation that will assure them that the money is being well spent. It is urgent that educators develop systems of evaluation that will lead to improvements in our performance and will assure patrons that the schools are doing the best job possible.<sup>26</sup>

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<sup>24</sup>Richard T. Morris and Melvin Seeman, "The Problem of Leadership: An Interdisciplinary Approach," The American Journal of Sociology, 56, No. 2 (September, 1950), 155.

<sup>25</sup>Harold H. Church, "How Shall Superintendents Be Judged?" The Nation's Schools, 45, No. 5 (May, 1950), 33.

<sup>26</sup>Neil V. Sullivan, Thomas D. Wogaman, and Ruth Borshay, Walk Run, or Retreat: The Modern School Administrator (Bloomington, Ind.: The University Press, 1971), p. 64.

Hagman, one of the first writers in educational administration to devote considerable space to the subject of evaluation of the school superintendent, expressed the need for evaluation in another way:

It would be good to have a measure, by means of an objective evaluative instrument, of the quality of democratic school administration in process. If a rating scale could be devised to appraise each activity of the administrator, the observer could say with certainty; so much is good; so much is poor. The administrator might, then too, score his own achievement. The modification and improvement of administrative procedures might follow from either use, and education may be served better by the administrative activity.<sup>27</sup>

Superintendents occupy a very crucial and difficult public position in American education. In most instances, they are the middle man, the person between the school board and the school personnel. They are viewed by most of the public as the most visible cause of the success or failure of any school system to meet its obligation to the community. Thus, the superintendent is extremely vulnerable to pressure, criticism, and reaction from the public.

#### Rationale for the Study

Improving the competency of the superintendent should be one of the primary purposes for an evaluation program. This study will reflect the results of evaluation processes taking place in the selected school systems in North Carolina, as they pertain to the school superintendent. If evaluation is truly a means of improving the competency of superintendents, as indicated in the professional literature, then it should be recognized by the school board and superintendent as having these qualities. Hagman argues that evaluation may proceed as a consideration

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<sup>27</sup> Harlan L. Hagman, The Administration of American Public Schools (New York: McGraw-Hill Book Company, Inc., 1951), pp. 404-405.

of "process or in terms of outcomes." As to the relative value of each, Hagman writes:

In the long run, the end results of the administrative process will tip the balance for or against the administrator and consideration of the process will not alter the necessity to produce good results. But hoped for ends are achieved in process and the means or procedures which are employed will make the ends in their image.<sup>28</sup>

There should not be any question concerning the importance of the role of the superintendent as the educational leader of the school system; nor should there be any argument undermining the purpose of the evaluation process to assist in the improvement of competency. It is anticipated that this study will provide sufficient information from which recommendations for improvement of the evaluative process and the school board-superintendent relations can be made.

## DEFINITIONS, ASSUMPTIONS, AND LIMITATIONS

### Definition of Terms

The following terms have been defined in an effort to provide a general agreement as to their meanings and usage in this study:

Administrative unit. Includes both county and city units that have been organized in one of the North Carolina counties or cities as a special chartered unit under the General Statutes of North Carolina.

Chairperson. The person, male or female, duly elected to this position by members of the school board, and one who shares in the membership of the school board.

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<sup>28</sup> Hagman, op. cit., p. 403.



Evaluation. The process of making considered judgments concerning the professional accomplishments and competencies of certified employees. Possible considerations include a broad knowledge of the area of performance involved, the characteristics of the situation of the person being appraised, and the specific standards of performance established for the position.

Evaluative instrument. Instrument utilized to carry on the functions of evaluation or appraisal.

School board (board of education). Legally constituted body created by State legislature to establish school district policies which are to be administered by the superintendent.

Superintendent. Individual, male or female, who serves in the school system as the chief school advisor, educational leader, secretary and executive of the school board, and who has been given the authority to manage the affairs of the school and functions in accordance with appropriate regulations.

### Assumptions

The study of the degree of effectiveness that the evaluation process has on the improvement of the superintendent's competency, as reflected by the perception of the superintendent and chairperson, is founded in the following basic assumptions:

1. A variety of instruments are used to make assessments of the superintendent's performance.
2. Chairpersons of school boards believe the evaluation process improves the competency of superintendents to a greater degree than is recognized by the superintendents.

3. Chairpersons of school boards believe that the evaluation process in the future will be of more value in improving the competency of superintendents than believed by the superintendents.
4. Chairpersons of school boards believe that the need exists for evaluation of superintendents to a greater degree than believed by the superintendents.
5. There is no significant difference in the opinions of the chairpersons of school boards and superintendents in the effect of the evaluation process on the closeness of the relationship between the school board and superintendent.

### Limitations

The population for this study was limited to the county and city public school administrative units in the Public School System of North Carolina as shown in the Educational Directory for North Carolina in 1977-1978. A total of forty-six administrative units were randomly selected to participate in this research. Of the forty-six administrative units, thirty-one were county units and the remaining fifteen were city units. These administrative units were further classified according to student enrollment for selection.

### RESEARCH QUESTIONS TO BE ANSWERED

One of the most important elements in the educational process is that of evaluating the chief school administrator, since he reflects the success or failure of the school system. Thus, the school board should

conduct this evaluation as part of its total responsibility to the people of the community and to the superintendent. The evaluation process demands the active involvement of the superintendent and all members of the school board. Hence, the following questions will be considered by this study as the relationship between the superintendent and school board members is constructed and as the evaluative process is identified:

1. Which type of evaluation process appears to be most acceptable to school boards and superintendents?
2. In what areas of administrative responsibility does the competency of the superintendent appear to improve due to the evaluation process?
3. Are the chairpersons and superintendents in agreement that evaluations improve the competency of the superintendents?
4. As perceived by the superintendent, what effect does the evaluative process have on his relationship to the school board members?
5. As perceived by the chairperson, what effect does the evaluative process have on the relationship between the school board members and the superintendent?
6. How necessary is the process of evaluation of the superintendent according to the perception of the chairperson?
7. What are the most important concerns about the future value of the evaluative process as expressed by the superintendent and chairperson?
8. Does the superintendent consider the evaluation of himself to be necessary?

9. What relationship is there between the size of the school system and the type of evaluation program?
10. Does the superintendent believe that the school board has sufficient knowledge and expertise to adequately evaluate him?
11. Does the chairperson believe that the school board has sufficient knowledge and expertise to adequately evaluate the superintendent?
12. What changes are recommended by the school board and the superintendent for improving the quality of the evaluation program?

#### ORGANIZATION OF THE STUDY

An introduction included in Chapter I identified the problem, presented the major objectives and rationale of this research, and also identified twelve questions to be answered by the study. In Chapter II, an outline of the related literature is presented concerning the history of the development of the superintendency, role and responsibilities of the school superintendent and school board, importance of the superintendent's public image, leadership qualities, fundamental concepts of evaluation, school board-superintendent relationship, and the superintendent as a manager of people.

The legal responsibilities of school boards and superintendents in North Carolina were identified and discussed in Chapter III, while Chapter IV described and explained the methodology used to collect the

data and then analyzed the data. A summary of the study was completed in Chapter V from which conclusions were drawn and recommendations made.

## CHAPTER II

### REVIEW OF RELATED LITERATURE

A review of literature is presented in the following six sections: (1) history of the development of the school superintendency; (2) role and responsibilities of the school superintendent, including desirable leadership qualities, the public's perception of the image of a school superintendent and expectations of the position; (3) evaluation process as it applies to school superintendents; (4) role and responsibilities of the school board; (5) school board-superintendent relationship; and (6) superintendent as a manager.

#### History of the Development of the Superintendency

"The position of superintendent did not suddenly appear or emerge as an integral position in educational administration. In a number of instances, the position gradually evolved out of some other governmental office," remark Cooper and Fitzwater.<sup>1</sup> It appeared that most of the public schools during the early part of the nineteenth century were being operated, like other phases of town government, by town meetings or by voters at the annual school election.

The growing burden of school duties led the local governing bodies to delegate the administration of schools to school committees or boards. However, it was soon recognized that a large board or group

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<sup>1</sup>Shirley Cooper and Charles O. Fitzwater, County School Administration (New York: Harper and Brothers Publishers, 1954), pp. 137-138.

could not administer schools effectively. In 1826 Massachusetts became one of the first states to enact the "acting visitor" concept of supervision for its schools.<sup>2</sup> The legislature, by this action, allowed the town committee to delegate to one or more of its members the duty of visiting public schools to supervise instruction and operation.<sup>3</sup>

North Carolina began by first providing that each county have a group of five to ten persons who would function as a school board, with the chairperson of the group performing duties somewhat similar to those of a county superintendent in today's world.<sup>4</sup> Later, this system was abolished in favor of a committee of county school examiners, who were responsible for appointing someone within their group to visit the schools in the system.

Still later, this plan was modified so that each county would have only one school examiner. This plan was eventually abandoned in favor of what is now the county superintendent's position.<sup>5</sup> Throughout this transitional period, it became evident that the general public was looking for educational leadership to administer the affairs of the schools.<sup>6</sup>

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<sup>2</sup>American Association of School Administrators, The American School Superintendency, 30th Yearbook (Washington: American Association of School Administrators, 1952), p. 51.

<sup>3</sup>John Cayce Morrison, The Legal Status of the City Superintendent of Schools (Baltimore: Warwick and York, 1922), p. 17.

<sup>4</sup>Cooper and Fitzwater, loc. cit.

<sup>5</sup>Ibid.

<sup>6</sup>Ibid., p. 138.

By the middle of the nineteenth century, many school boards were delegating their function of supervision to head teachers or principals and appointing school managers to be responsible for the business affairs of the schools. Even though Cleveland, Ohio, took the lead in this development in 1837,<sup>7</sup> it is Buffalo, New York, and Louisville, Kentucky which are given credit for creating the earliest position of the school superintendent.<sup>8</sup>

After this position of superintendent had been established, all executive duties previously performed by school boards were not delegated immediately to the new superintendent. The reasoning for this was due to such factors as: (1) lack of professionalization and training of the superintendent, (2) failure to abolish all board committees, (3) imperfect understanding of the board as to the proper division of responsibility, and (4) overcoming the reluctance of the school board to allow an employee important duties that were previously perogatives of the school board.<sup>9</sup>

Early superintendents had to develop their own job descriptions and requirements, as they progressed on a day-to-day basis, depending upon local conditions and guidance provided by their school boards. These

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<sup>7</sup>AASA, The American School Superintendency, loc. cit.

<sup>8</sup>Archie R. Dykes, School Board and Superintendent (Danville, Ill: The Interstate Printers and Publishers, Inc., 1965), p. 68.

<sup>9</sup>Edward F. Donahue, "Responsibilities Assumed by the Superintendents and School Boards" (unpublished Doctoral dissertation, Yale University, 1958), p. 20.



superintendents were pioneers in the field of education, because they were technically untrained. Moreover, there were no professional schools for school administrators during these formative years.<sup>10</sup>

Supervisory powers over instruction were given to these early superintendents, but generally they were not given business functions. The business functions were either retained by the school board or carried out by the board's clerk, secretary, or another employee directly responsible to the school board. It seemed doubtful at one time that the superintendent would ever develop into the chief executive officer, because the official in charge of the business affairs was considered to be destined for the chief school officer's position.<sup>11</sup>

As superintendents became better trained and more experienced, school boards recognized the fact that every school business operation had its educational consequences.<sup>12</sup> A century of experience for school board members has helped them to recognize the dividing line between policy-making and execution of policy. Therefore, the major role of school boards has shifted to a policy-making function.<sup>13</sup> Regardless, the major responsibility for school administration belongs, by law, to the local school boards inasmuch as the states have delegated this responsibility to the school boards.<sup>14</sup>

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<sup>10</sup>AASA, The American School Superintendency, op. cit., pp. 53-54.

<sup>11</sup>Ibid., p. 54.

<sup>12</sup>Ibid.

<sup>13</sup>Calvin Grieder, Truman M. Pierce, and K. Forbis Jordan, Public School Administration (New York: The Ronald Press Company, 1969), p. 99.

<sup>14</sup>Ibid., pp. 129-130.

Moehlman surmises that the chief educational characteristics of the first thirty years of the twentieth century have been the gradual change of concept of unity in the executive activity, the need for its complete delegation to professionally trained personnel, the belief that the lay board of education should restrict its activities wisely to planning all educational policies, and evaluating the results of the executive activity.<sup>15</sup> As the second half of the twentieth century begins, evolution of the superintendent's position is not yet complete, claims Knezevich, and as long as schools remain decentralized in a free and changing society, the superintendent's position will never become complete.<sup>16</sup>

Knezevich quotes Cubberly, a predecessor of the modern-day superintendent, concerning the issues of the superintendent's position:

The opportunities offered in this new profession to men of strong character, broad sympathies, high purpose, fine culture, courage, exact training and executive skill, who are willing to take the time and spend the energy necessary to prepare themselves for large service, are today not excelled in any of the professions, learned or otherwise. No profession offers such large personal rewards, for the opportunity of living one's life in moulding other lives, and in helping to improve materially the intellectual tone and the moral character of a community, offers a personal reward that makes a peculiarly strong appeal to certain fine types of men and women.<sup>17</sup>

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<sup>15</sup> Arthur B. Moehlman, School Administration (Cambridge, Mass.: Houghton Mifflin Company, 1940), p. 248.

<sup>16</sup> Stephen J. Knezevich, ed., The American School Superintendent (Washington: American Association of School Administrators, 1971), p. fwd.

<sup>17</sup> Ibid.

### Role and Responsibilities of the School Superintendent

The superintendent's role is complicated by a wide variety of expectations which people have of the role and the different kinds of communities in which superintendents live and work. Conant made the following comment about superintendents, according to Misner, at a convention of the American Association of School Administrators in Atlantic City:

Unlike that of teachers, but like (that of) college presidents, the superintendent's job cannot be well defined; what the superintendent is called upon to do in one type of community bears little resemblance to what he is called on to do in another. The size of the undertaking varies enormously for one thing. Furthermore, the problems of one period are not those of another. A man may make a good president, for example, in one period and be quite unsuitable in another.<sup>18</sup>

Misner expresses his disagreement with Conant's statement, because he contends that the job of the superintendent can be well-defined by using identifiable characteristics of an effective educational leader.<sup>19</sup> Although the position of school superintendent has been constantly changing, one common element has been present throughout; the local school superintendent has been and is the "key" figure in the organizational structure of public education. The character of education in any given community is greatly influenced by what the superintendent does or fails to do.<sup>20</sup>

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<sup>18</sup>Paul J. Misner, "The Superintendent's Job Can be Well Defined," School Administration, ed. M. Chester Nolte (New York: The Macmillan Company, 1966), p. 271.

<sup>19</sup>Ibid.

<sup>20</sup>Dykes, op. cit., p. 79.

A school superintendent does not need to be directly involved in every aspect of the school activities, but he is required to assume full responsibility for what "his" school does or fails to do under his leadership. If the present role of the superintendent appears somewhat confusing, this can be attributed to the fields of business management and public administration.<sup>21</sup>

Role identified. The role of the superintendent is not simple to identify because public school administration requires a wide diversity of expertise in the position of chief school administrator. Campbell, however, presents three commonly held views of the role of the superintendent as chief school administrator:

There is the first view that administration is indistinguishable from teaching and scholarship; the administrator is the statesman teacher or scholar who carries the administrative functions of the organization with his left hand. . . . A second view of administration holds that the function of the administrator can be differentiated from those of the scholar. . . . A third view. . . . holds that organizations and the milieu in which they exist have become so complex that only the administrator can comprehend their purpose and their operation. . . . This concept makes the manager or administrator not only the implementer of policy, but also the maker of policy.<sup>22</sup>

The role of superintendent according to Campbell would vary depending upon the controlling forces at the time. For the most part, though, the role of the modern school superintendent as portrayed in literature more nearly fits the second view.<sup>23</sup> Griffiths suggests that

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<sup>21</sup>Ibid., p. 79.

<sup>22</sup>Roald F. Campbell, "The Superintendent-His Role and Professional Status," Teachers College Record, 65, No. 8 (May, 1964), 673.

variables, such as size, wealth, educational level, geographical location, level of aspiration of the community, and personal characteristics of the superintendent, have a direct bearing upon how the superintendent will function in any given situation.<sup>24</sup>

Numerous attempts have been made to clarify the role of the superintendent in our changing society;<sup>25</sup> but in the final analysis, the role will be determined by the school board. Fourteen descriptors are presented by Knezevich depicting the role of the superintendent:

1. The superintendent is chief executive officer of the school board.
2. He is responsible for carrying out all policies, rules and regulations established by the school board. . . .
3. All individuals employed by the school board are responsible directly or indirectly to the superintendent of schools.
4. The superintendent has the authority to prepare regulations and to give such instruction to school employees as may be necessary. . . . He may delegate responsibility and assign duties. . . .
5. Except when matters pertaining to his re-employment are being considered, the superintendent is to be present at all meetings of the school board and its special committees.

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<sup>24</sup> Daniel E. Griffiths, School Superintendent (New York: The Center for Applied Research in Education, Inc., 1966), p. 68.

<sup>25</sup> Robert E. Splawn, Boards of Education Members' Perception of the Role of the Board and the Role of the Superintendent and the High School Principal, U.S., Educational Resources Information Center, ERIC Document ED 035 079, May 1969, pp. 15-17.

6. He is responsible for preparing and submitting the budget to cover school operations.
7. The superintendent has the authority, within . . . board, to authorize and direct all purchases and expenditures.
8. He recommends all candidates for employment. . . . but the personnel finally accepted should be employed only upon the recommendation of the superintendent.
9. The superintendent formulates and recommends personnel policies necessary to the functioning of the school system.
10. The superintendent provides professional leadership for the educational programs of the school system.
11. . . . responsible for keeping the school board informed on all vital matters. . . .
12. He is responsible for development of a maintenance program and improvement or expansion of the buildings and sites.
13. He is responsible for formulating and administering a program for supervision. . . .
14. The superintendent is responsible for submitting an annual report on the operation of the school system.<sup>26</sup>

Of the many functions performed by the superintendent, none appear to be more important than providing the best possible education to the people in the community. The superintendent accomplishes this by creating a favorable working environment in which people can accomplish their goals.

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<sup>26</sup>Stephen J. Knezevich, Administration of Public Education (New York: Harper and Row, Publishers, 1969), p. 239.

In this changing society, the superintendent repeatedly finds himself in a new and sometimes uncomfortable role in the school organization as pointed out by Chambers:

The superintendent's role has gradually evolved to that of a change agent, or, as legions of citizens now fear, the leader of a revolution that will destroy their neighborhood schools. He is squarely out in front, associated in the public mind with such high-octane programs as integration and mandatory busing, retention of dropouts, teacher pay increases, education centers, sex and drug education, and nonreligious Christmas programs. He has become the symbol of the new and the strange, looming over the two most sensitive subjects in the Western world: the child and the pocketbook.<sup>27</sup>

Superintendents are also viewed by their constituents according to White, as monopolistic gatekeepers; they control other people's destiny and opportunity so that their performance is questioned and, most of all, their power is feared.<sup>28</sup> The superintendent's position basically remains the same as it has for the past two or three decades; but the responsibilities associated with this position are undergoing many changes.<sup>29</sup> Survival of the superintendent will, most likely, depend upon his ability to cope with these changing forces while trying to maintain stability within the organizational structure. Reopelle suggests that these changes make up the arena of the superintendent's responsibility which has become so demanding and complicated that those

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<sup>27</sup> Carroll Chambers, "In the Eye of the City," Phi Delta Kappan, 52, No. 2 (October, 1970), 117.

<sup>28</sup> Mary Alice White, "How Do We Know When Something Works in Education?" Phi Delta Kappan, 50, No. 10 (June, 1969), 595.

<sup>29</sup> Natt B. Burbank, The Superintendent of Schools (Danville, Ill.: The Interstate Printers and Publishers, Inc., 1968), p. 23.

holding the superintendency have been obligated to rely upon a team of assistants in order to meet the leadership requirements for the school system.<sup>30</sup>

When referring to the superintendency today, it is more realistic to consider it as a leadership team than a unitary position.<sup>31</sup> There is every indication that the position of school superintendent will continue to change in the future, just as it has in the past. The changing nature of the superintendency was well described by the American Association of School Administrators Commission when it stated:

What form it will take, what new techniques and philosophies it will develop in the next 100 years, depend upon the hard facts of history yet unwritten, upon the functions which are assigned to the public schools, but most of all perhaps upon the professional vision, enterprise, statesmanship, and courage of individuals who will comprise the generation of superintendents still to come.<sup>32</sup>

Responsibilities. Numerous suggestions have been provided by persons attempting to define clearly the requirements or responsibilities of the school superintendent. In reality, however, the responsibilities will depend upon the organizational structure as envisioned by school board members. Regardless of the responsibilities determined, it must be remembered that authority of the superintendent can be delegated, but responsibility cannot.<sup>33</sup>

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<sup>30</sup> Delton Curtis Reopelle, "A Study of the Evaluation of the School Superintendent" (Unpublished Doctoral dissertation, United States International University, San Diego, 1974), p. 12.

<sup>31</sup> American Association of School Administrators, Profile of the Administrative Team (Washington: American Association of School Administrators, 1971), p. 11.

<sup>32</sup> AASA, The American School Superintendent, op. cit., p. 64.

<sup>33</sup> George W. Harris, Jr., "The Superintendent's Model for Administrator Evaluation at the Line and Staff Levels," Tennessee Education, 3, No. 4 (Winter, 1973), 22.



Grieder and others identified four major functions which appear to consolidate the realm of responsibilities of the superintendent:

1. To exercise leadership in helping the board of education, the citizens of the community, and the personnel of the schools to define the purpose of public education. This means that he must be able to identify and suggest desirable goals for the schools not only in their service to the community, but also in the context of state, national, and world conditions and needs.
2. To set up and administer an organization to accomplish, so far as possible, agreed-upon goals. He may find an excellent organization in existence when he assumes the post of superintendent, but in most cases improvements of greater or lesser degree can be made.
3. To recommend to the board of education, with the advice of the school personnel in their various capacities and possibly citizen groups, measures for procuring resources needed by the school system (chiefly in terms of personnel, plant, and funds). A governing board such as a board of education or the board of regents or a university is responsible for making resources available, but the needs, as well as proposals for their satisfaction, must be set.
4. To allocate available resources so that the greater benefit may flow from their use. While the superintendent would be rash to undertake this without a very careful study and the advice of trusted associates, he unquestionably has here an opportunity to influence greatly the character of the entire school system.<sup>34</sup>

The superintendent's responsibility is not a technical one, although technical competence is involved and is highly essential.

Responsibility is perceived by Newlon as being professional because:

This leadership above all involves the making of choices and decisions, the formulation and vigorous execution of policies, the stimulation and leading of others. It involves the utilization of the results of most of the penetrating and well-directed research.

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<sup>34</sup>Grieder and others, op. cit., pp. 165-166.

It involves education, education of the professional staff and of the public. It involves great capacities for cooperation, coordination, and organization. It involves, in brief, the highest type of social engineering, on its highest levels short of statesmanship.<sup>35</sup>

Expectations. In addition to the superintendent understanding his role and responsibilities as chief administrator of the school system, it is equally important for him to be cognizant of the expectations that accompany his position. "In all evaluation of human performances," quotes Howsam and Franco, "it is necessary to be concerned with criteria or expectations, situational factors, and performance."<sup>36</sup> Dykes suggests that six "expectations" of the superintendency be considered as the superintendent administers the affairs of the school system.

1. Execution of policies. The board has a right to expect conscientious execution of its policies. This means all board policies and not just those with which the superintendent is in agreement.
2. Problems not covered by policies. The board should expect the superintendent to refer to it matters not covered by policy but which are appropriate for board consideration. The superintendent must refrain from making decisions which the board should make.
3. Information. The board has a right to expect full information from the superintendent regarding all aspects of the school program. Yet, this is a matter with which school board members have considerable dissatisfaction. One study found that more school board members were dissatisfied with the level of information about the schools and educational practices than any other matter which could affect board functioning.

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<sup>35</sup>Jesse H. Newlon, "Responsibility of the Superintendent for Professional Leadership," School Executive, 56 (March, 1937), 251.

<sup>36</sup>Robert B. Howsam and John M. Franco, "New Emphases in Evaluation of Administrators," The National Elementary Principal, 64, No. 5 (April, 1965), 36.

4. Sharing. The superintendent must be willing to share hard work, as well as credit and blame.
5. Teamwork. The board has a right to expect the superintendent to conduct all official business with the board as a whole and not with portions of the board or with individual board members. A school board must work as a team, and the superintendent should contribute to this teamwork.
6. Supporting. The superintendent must assume responsibility for building community confidence in and respect for the school board by supporting board actions.<sup>37</sup>

Leadership qualities. "All great men who shape the character and direction of their organization and eras have a rare and delicate mixture of prince, hero and superman, reiterates Jennings.<sup>38</sup> Jennings believes that leaders can be classified into one of three categories:

The great men who are rule breakers and value creators are poetically referred to as supermen; the men dedicated to great and noble causes are called heroes; and the men motivated principally to dominate others are called princes.<sup>39</sup>

Members of the school board, staff, and community look toward the superintendent for leadership in all facets of the school program; because he is, by nature of his position, automatically a status leader. According to the American Association of School Administrators, the superintendent is expected to be the educational leader--to know what to teach, how to teach, and the individual needs of the slow, average, and gifted students.<sup>40</sup> Competence is also expected in business management,

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<sup>37</sup>Dykes, op. cit., pp. 118-121.

<sup>38</sup>Eugene E. Jennings, An Anatomy of Leadership (New York: McGraw-Hill Book Company, 1960), p. 1.

<sup>39</sup>Ibid.

<sup>40</sup>American Association of School Administrators, On Selecting a Superintendent of Schools (Washington: American Association of School Administrators, 1962), p. 2.

plant construction, operation, and maintenance; personnel administration and community relationships.<sup>41</sup> Cogley added another dimension to leadership when he said:

Leadership in the 1980's will be based on the new perception of human reality. The artificial blurrings of the past will have to be wiped away. The clear image of mankind's oneness will be the starting point for thought and action concerning human affairs.<sup>42</sup>

Leadership is a social phenomenon of administration, although it may not be synonymous with administration. Yet, it is a desirable trait to have in an administrator. A successful administrator, Gibb tells us, possesses the following leadership qualities:

The most effective leader is one who acts as a catalyst, a consultant, and a resource to the group. His job is to help the group to grow, to emerge, and to become more free. He serves the group best when he is a whole person, is direct, real, open, spontaneous, permissive, emotional, and highly personal. The leader at his best is an effective member. He acts in such a way as to facilitate group strength, individual responsibility, diversity, nonconformity, and aggressiveness. The leader is thus dispensable, and independent. The good leader tends not to lead. He permits, feels, acts, relates, fights, talks - acts human as do other members of the group and the institution. The leader is present, available, and with the group as a person, not as a role.<sup>43</sup>

Chances for success and effective leadership are not guaranteed to the person occupying the superintendent's position, but Arnold and others have identified definite guidelines which can provide a high

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<sup>41</sup> Ibid.

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John Cogley and others, A Symposium: The Requirements for Leadership in the 1980's (Chapel Hill: The University of North Carolina, 1968), p. 27.

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Jack R. Gibb, Organization and Human Behavior (New York: McGraw-Hill Book Company, 1969), p. 316, cited by Delton C. Reopelle, "A Study of the Evaluation of the School Superintendent" (unpublished Doctoral dissertation, United States International University, San Diego, 1974), pp. 14-15.

degree of assurance for success and effective leadership, if complied with:

1. Have your own platform of values clearly defined.
2. Don't get too personally identified with a recommendation you are presenting for action.
3. Don't display any favoritism for individual board members, in public or in private. Don't ever become personally obligated to any school board member.
4. Know the best in school administration, administrative theory, and practice.
5. Gain the confidence and respect of your professional staff.
6. Try to achieve a sense of security, even if you know very well your position is insecure.
7. Try to hold on to the values of the past, but try even harder to peer into and reach for the future.
8. Strive to help those school board members who have blind spots and prejudices.
9. Develop a sense of timing and make your recommendations when the time is right.
10. Keep the many segments of your community well informed on school problems, the school progress, and the school's achievements so that they too can support sound proposals for school improvement.
11. Establish a systematic plan for collecting and filing of information about finance, facilities, staff, pupils, community, educational programs, and cultural trends.<sup>44</sup>

Leadership behavior in all types of administration appear to have significant effect on the performance of those senior (in position)

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<sup>44</sup> William E. Arnold and others, Hints to the Beginning Superintendent of Schools (Washington: American Association of School Administrators, 1962), pp. 14-15.

to the superintendent as well as his subordinates.<sup>45</sup> In a study of twenty-five superintendents located in nine northwestern counties in Indiana, it was concluded that "if the public school superintendent is to be an effective leader, it is of considerable importance that his subordinates view his leadership behavior in a favorable light."<sup>46</sup> Null and Smead hypothesized that favorable perception of leader behavior of the superintendent of schools is related to high morale of the subordinate staff and an open climate in the school system.<sup>47</sup>

Nothing happens for the betterment of education, until the superintendent develops an educational climate that is conducive to healthy learning situations and positive attitudes from the community.<sup>48</sup> Hence, the success of a school superintendent will depend more upon his skill in selecting, improving, and dealing with the human element than upon any other factor, comments Burbank.<sup>49</sup>

Public image. Superintendents, according to Hoffner, are under constant observation, not only by their staffs, boards of education,

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<sup>45</sup>Eldon J. Null and William H. Smead, "Relationship Between the Political Orientation of Superintendents and their Leader Behavior as Perceived by Subordinates," Journal of Educational Research, 65, No. 3 (November, 1971), 103.

<sup>46</sup>Ibid., p. 106.

<sup>47</sup>Ibid.

<sup>48</sup>Abe L. Hammons, The Superintendent's Role in Teacher Evaluation, Retention, and Dismissal, U.S., Educational Resources Information Center, ERIC Document Ed 119 303, February, 1976, p. 2.

<sup>49</sup>Burbank, op. cit., p. vii.

and students, but by the community at large.<sup>50</sup> In the final analysis, the public has the real control over local education. This control is manifested through pressure groups, and the school board as the legal representative of the community. Every phase of the educational program is scrutinized informally by the community in relation to the individual's perception of the personal and physical characteristics of the superintendent.

This constant informal evaluation is extremely important to the superintendent and to the public's impression of the local school system. As part of the procedure for developing a good public image, the superintendent is expected to "engage in many community activities, to interpret the school program to the community, and to reflect certain community values and activities in the type of leadership that he gives within the school organization."<sup>51</sup> A superintendent may become so involved in community activities that he cannot be all things to all people, but Grieder and others agree that:

He must be, and he must merit the community's respect as the leader of the local educational enterprise. In this sense, the superintendent possesses a symbolic as well as a professional role. For most people, he represents more than any other person, the school system, and what he does, and says carries more than ordinary weight because of this.<sup>52</sup>

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<sup>50</sup>James R. Hoffner, "Evaluation of Superintendent," Thrust for Educational Leadership, 2, No. 2 (November, 1972), 40.

<sup>51</sup>Keith Goldhammer, The School Board (New York: The Center for Applied Research in Education, Inc., 1964), p. 45.

<sup>52</sup>Grieder and others, op. cit., pp. 163-164.

### Purpose of Evaluation

An evaluation program, designed to improve the competency of the superintendent and to provide professional growth, would seem essential and mandatory for development of effective management assessment. For an evaluation to have any usefulness, it must be relevant and meaningful to administrators and school board members. This process is accomplished by identifying and defining the purpose of school organization, providing realistic targets and goals, establishing standards of performance, allowing sufficient flexibility, and recognizing the need for total involvement.

These purposes must be clearly stated and understood by all members of the school board and the community. Once the purposes of the organization have been determined, the evaluation process should be designed to assist in fostering the desired achievement of the school's goals and objectives. Hawkins provides a "thought-provoking" discussion concerning the importance attached to evaluations:

For the most part, we have attempted to evaluate traits that are not only subject to a great deal of subjectivity and interpretation, but many of the things we have evaluated may have a low priority in the whole scheme of things. We have put in evaluation instruments, such items as a sense of humor and cooperative spirit and then by some mysterious process have been able to conclude that educators are good or bad depending upon our own interpretation of those terms. . . . The seemingly hoped for rationale was to cause subordinates to be subjects before the throne.<sup>53</sup>

A systematic evaluative procedure may not bring total effective administration to our schools; but without it, the educational leader-

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<sup>53</sup> Wilber D. Hawkins, "Performance Evaluation: Starting with the Superintendent," Thrust for Educational Leadership, Association of California School Administrators, 2, No. 2 (November, 1972), 42.



ship so desperately needed will hardly be assured, asserts McCarty.<sup>54</sup> DeVaughn concludes from his study of objectives and standards for evaluating administrator performance that eleven legitimate reasons could be identified for justification of the evaluative process to determine:

1. The degree of information and skill possessed by the administrator in his role as educational leader.
2. The administrator's adequacy of planning.
3. His appropriateness of method and adequacy of follow through after a decision is reached.
4. The adequacy of organization of his own work and that of personnel supervised.
5. Evidence of his ability to originate, develop, and follow through on constructive ideas.
6. Degree to which his decisions are sound, timely, and effectively carried out.
7. To what extent his decisions are shared by those significantly affected by those decisions.
8. The extent to which superordinates, coordinates and subordinates are kept informed at all times of all decisions on a need-to-know basis for effective operation at each level.
9. The administrator's ability to present challenges and goals and to motivate staff members to meet those challenges in an enthusiastic manner.
10. The ability of the administrator to encourage and lead in the development of learning experiences and curriculum appropriate to the student population under his supervision, to include support by appropriate staff, facilities, and equipment, and all with community acceptance.
11. The ability of the administrator to further the growth and improvement of his staff in accordance with the inherent

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Donald J. McCarty, "Evaluating Your Superintendent," School Management, 15, No. 7 (July, 1971), 44.

philosophy, purposes, and objectives of the 'Evaluation of Professional Growth and Service of Teachers.'<sup>55</sup>

These eleven reasons can be further divided into three prime areas of evaluation of the superintendent, according to Rentsch: (1) what he is, (2) what he does, and (3) what he accomplishes.<sup>56</sup>

#### Frequency of Evaluation

Once the final selection of the school superintendent has been made by the school board, it should become the school board's responsibility to evaluate his performance. Every school board has not only a right, but an inescapable and serious duty to evaluate the superintendent's performance.<sup>57</sup> At best, this evaluation is complex and difficult to administer. McCarty sums up this statement by saying that "the importance of evaluation itself has never been questioned; it is the development of a definite and defensible procedure which baffles board members."<sup>58</sup>

Many school boards are reluctant to formally assess the performance of their superintendent, McCarty concludes, for three reasons:

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<sup>55</sup> Everette J. DeVaughn, A Manual for Developing Reasonable Objectives, Nondiscriminatory Standards for Evaluating Administrator Performance, Mississippi State University, September 1971, pp. 1-2, cited by Delton C. Reopelle, "A Study of the Evaluation of the School Superintendent" (unpublished Doctoral dissertation, United States International University, San Diego, 1974), pp. 17-18.

<sup>56</sup> George J. Rentsch, "Assessing Administrative Performance," National Association of Secondary School Principals, Bicentennial Ed., 60, No. 401 (September, 1976), 78.

<sup>57</sup> AASA, On Selecting a Superintendent of Schools, op. cit., pp. 14 and 17.

<sup>58</sup> McCarty, op. cit., p. 38.

1. Given the differences in school environment, it is very difficult to measure a superintendent's contribution on an objective continuum. There are just too many variables of crucial and interlocking significance.
2. Since the management of an educational institution is rife with value conflicts about purposes and priorities, any appraisal is certain to be non-scientific and unrealistic. Humanists, in particular, resist strict formulation about ends; without well defined boundaries, of course, true accountability is impossible.
3. The role behavior of a single superintendent is entirely too unique a phenomenon to be catalogued and analyzed satisfactorily. Most performance criteria are crude, mechanistic or anti-intellectual and ignore quality as a central component. For example, terms like 'tact' and 'toughness' are used to describe the administrator. To be perceived as a 'pussycat' is a sign of total failure; to be dubbed as a man with a 'God complex' is equally destructive.<sup>59</sup>

Another explanation provided by Swain is that school boards may not be geared up to think systematically about evaluating the superintendent's performance, because the board members are like other people; they need to learn how to evaluate objectively, and how to use systematic approaches in measuring success or failure.<sup>60</sup> Observations by Turner, "as to why school boards handle poorly, infrequently, or not at all, the evaluation of their superintendent's performance," generalize that three different variables are the governing factors:

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

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<sup>59</sup> Ibid., pp. 38-39.

<sup>60</sup> Philip B. Swain, How Board Members Evaluate the Superintendent, U. S., Educational Resources Information Center, ERIC Document ED 105 570, February, 1975, p. 2.

2. School boards often fall short on evaluation because they have neither the time nor the expertise to do the evaluating themselves, and their budgets are not supple enough to allow for hiring outside help to do the job.
3. Still another reason why boards rarely win prizes for evaluation is that it's hard work, plus the fact that it doesn't increase their popularity.<sup>61</sup>

With the recent trend in educational accountability, Lamb emphasizes the need for and importance of evaluating the superintendent in the performance of his educational responsibilities.<sup>62</sup> The Texas State School Board concluded from its study that less than five percent of the selected school districts in Texas used a rating scale designed to evaluate the performance of the superintendent. In the same districts, it was found, however, that sixty-seven percent used rating scales for teachers; thirty-six percent used rating scales for supervisors, and forty percent used rating scales for principals.<sup>63</sup> In another study conducted in California involving one hundred thirteen school districts, which had indicated they formally evaluated their superintendent, it was discovered that:

1. Only forty-three percent of the districts asserting that they formally evaluated their superintendent actually do.
2. Salary determination is the primary administrative reason for evaluation.

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<sup>61</sup>Lloyd L. Turner, "Your Superintendent: When to Recharge Him or Discharge Him," American School Board Journal, 159, No. 1 (July, 1971), 16.

<sup>62</sup>Joseph P. Lamb, Gleanings from the Private Sector, U.S., Educational Resources Information Center, ERIC Document 071 194, December, 1972, pp. 1-4.

<sup>63</sup>Carl H. Craighead, "The Development of a Rating Scale for Use by Texas School Board Members to Evaluate a Superintendent's Performance," Disseration Abstracts International, 33, No. 7 (1973), 3991A-3992A (North Texas State University).

3. Superintendents and school board chairpersons are concerned about the lack of board expertise in the area of evaluation.
4. Seventy-four percent of surveyed districts used checklists for evaluation purposes.
5. Sixty percent of the evaluation policies in surveyed areas were initiated by the superintendents.
6. School board chairpersons and superintendents agreed that the most important functions of the superintendent lay in the areas of community relations, board relations, and staff relations.
7. Both superintendents and school board chairpersons stressed the need for a task-oriented, total and objective attainment approach to the evaluation of the superintendent.
8. Superintendents and board chairpersons stressed the importance of role consensus in the evaluation process.<sup>64</sup>

Michigan Association of School Administrators observed from its study concerning the superintendent's evaluation that forty-five percent of the responding school districts did not have any type of formal evaluation; thirty-six percent did have some form of formal evaluation while nineteen percent of the districts had neither a formal nor an informal evaluation program. Oddly enough, the superintendents in the Michigan School System indicated a high rate of interest in administrative evaluation of the performance of the superintendent.<sup>65</sup>

Evaluation of the superintendent's performance is always difficult, but an honest, open discussion of his performance on a continuing basis

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<sup>64</sup> John Michael McGrath, "Evaluating the Job Performance of the Superintendent in Selected Public Schools of California," Dissertation Abstracts International, 33, No. 4 (1972), 1372A (University of Southern California).

<sup>65</sup> MASA Study of Administrator Evaluation, 1974-1975, U.S., Educational Resources Information Center, ERIC Document ED 116 312, 1975, pp. 8-9.

is far better than a sudden conflict between members of the board and the superintendent.<sup>66</sup> The superintendent's progress should be constantly reviewed by the school board as he (superintendent) performs the administrative functions of the chief school officer. His weak points should be discovered and corrected; his strengths identified and utilized to the fullest extent, and his methods should be subject to modification based upon the evaluation results.

### Fundamental Concepts of Evaluation

There is a definite requirement for changing the performance type evaluation programs, contend Castetter and Heisler.<sup>67</sup> They say that the new approach calls for integrating individual needs and organizational goals, for self-education and self-development of administrative personnel. . . . "for emphasis upon results rather than upon symbols which so long have been considered to be tantamount to accomplishments."<sup>68</sup> Then school boards should consider the evaluation of the superintendent as part of the overall school administrative appraisal process.

Inasmuch as the evaluation process involves the interaction of human beings, its evaluative outcomes are subject to errors of human behavior. However, it is unlikely that any evaluative instrument has been

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<sup>66</sup>M. Donald Thomas, "The Board/Superintendent Relationship," California School Boards, 34, No. 3 (March, 1975), 5.

<sup>67</sup>William B. Castetter and Richard S. Heisler, Appraising and Approving the Performance of School Administrative Personnel, U.S., Educational Resources Information Center, ERIC Document ED 060 540, 1971, p. 16.

<sup>68</sup>Ibid.

made which eliminates human weakness. Too often, evaluation programs accomplish the opposite of what was intended. By and large, many of the evaluation instruments being used today were developed from concepts at least fifty years old, states Greene.<sup>69</sup>

The checklist-type evaluation instrument which represents an attempt to fix the performance of the superintendent at a vague, unclear point on a rating scale is still widely used today.<sup>70</sup> Odiorne has identified two major kinds of flaws or weaknesses that appear in poor evaluation systems. One is the "halo" effect, and the other is the "hypercritical or horn" effect. Both kinds of flaws are prevalent in many evaluation programs.<sup>71</sup> An appraisal program that is goal-oriented will not entirely eliminate the halo or horn effect as the processes of evaluation and management will always reflect the administrator and his administrative style.<sup>72</sup> Regardless, whatever evaluation process is being used, if the standards are vague and unclear, the procedure will suffer from one or the other of these effects.<sup>73</sup>

The halo effect is the tendency of the boss or evaluator to hang a halo over his rating of a favored employee, Odiorne declares, which implies the tendency to rate a person higher for a variety of reasons:

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<sup>69</sup> Robert E. Greene, Administrative Appraisal: A Step to Improve Leadership (Washington: National Association of Secondary School Principals, 1972), p. 1.

<sup>70</sup> Ibid., p. 2.

<sup>71</sup> George S. Odiorne, Management by Objectives (New York: Pittman Publishing Corporation, 1965), p. 177.

<sup>72</sup> Greene, op. cit., p. 7.

<sup>73</sup> Odiorne, loc. cit.

1. Effect of past record. Because the man has done good work in the past, his performance is assumed to be okay in the recent past too. His good work tends to carry over into the current rating period.
2. Compatibility. There's a tendency to rate people whom we find pleasing of manner and personality higher than they deserve. Those who agree with us, nod their heads when we talk, or even better--make notes of our words--get better ratings than their performance justifies.
3. Effect of recency. The man who did an outstanding job last week or yesterday can offset a mediocre performance over the rest of the year by this single act.
4. The one-asset man. The glib talker, the man with the impressive appearance, the fellow with advanced degrees, or the graduate of the boss's own alma mater gets a more favorable rating than the subordinate lacking these often irrelevant attributes.
5. The blind-spot effect. This is the case where the boss does not see certain types of defects because they are just like his own. The boss who is a big thinker may not appreciate a detail man, for example.
6. The high-potential effect. We judge the man's paper record rather than what he's done for the organization.
7. The no-complaints bias. Here the appraiser treats no news as good news. If the subordinate has no complaints, everything is terrific. The fellow who pesters him but gets the job done is rated lower than the silent, solitary dud.<sup>74</sup>

The hypercritical or "horn" effect is the opposite of the halo effect, in that it has a tendency to rate people lower than the circumstances justify. Some specific reasons for this are:

1. The boss is a perfectionist. Because his expectations are so high, he is more often disappointed, and rates his people lower than he should.
2. The subordinate is contrary. Here the boss vents his private irritation with the man's tendency to disagree with him too often on too many issues.

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<sup>74</sup>  
Ibid., pp. 177-178.



3. The odd-ball effect. Despite all the lip-service to non-conformity, it all too seldom finds its way into practice when appraisal time comes around. The odd ball, the maverick, the nonconformist, get low ratings simply because he is 'different.'
4. Membership in a weak team. A good player on a weak team will end up with lower ratings than he would if he were playing on a winning one.
5. The guilt-by-association effect. The man who isn't really known will often be judged by the company he keeps. If he hangs out with frivolous crowds, or works for the wrong boss, he's due for some reduction in his rating.
6. The dramatic-incident effect. A recent goof can wipe out a whole year's good work, and give a man a low rating on his latest appraisal.
7. The personality-trait effect. The man who is too cocky, too brash, too meek, too passive, or otherwise lacks some trait the boss associates with 'good' men will suffer in his rating accordingly.
8. The self-comparison effect. The man who doesn't do the job as the boss remembers he did it when he held that job will suffer more than those whose jobs the boss is not too familiar with.<sup>75</sup>

A well documented study of the evaluation process at a General Electric Company was conducted by Meyer, Kay, and French.<sup>76</sup> The study included an evaluation based on job or position responsibilities rather than on personal characteristics. The intent of the study was to evaluate the effectiveness of participation in the evaluative process. One group of managers was instructed to use high participation and another group to use low participation. Results obtained from the study which are significant and have relative bearing upon the performance evaluation of superintendents are:

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<sup>75</sup>Ibid., pp. 178-179.

<sup>76</sup>Greene, op. cit., p. 7.

1. Those employees involved with low participation groups reacted more defensively than those in the high participation level, and achieved fewer goals.
2. The high participation group was associated with better mutual understanding between manager and subordinate, greater acceptance of goals, better attitude toward evaluation, and a feeling of self-realization on the job.
3. Criticism has a negative effect on achievement.
4. Praise has little effect one way or the other.
5. Appreciable improvement is realized only when specific goals and deadlines are mutually established and agreed to.
6. Defensiveness resulting from critical appraisal produces inferior performance.
7. Coaching should be a day-to-day, not once-a-year activity.
8. Mutual goal-setting, not criticism, improves performance.
9. Participation by the employee in goal-setting fosters favorable results.<sup>77</sup>

MacDonald warns educators to be aware of some of the pitfalls associated with evaluation and suggests that evaluators proceed with caution, when making an appraisal of human performance.<sup>78</sup> He places specific emphasis on evaluation from the viewpoint that:

Evaluation is rarely perceived as a continuous on-going process. It is almost exclusively seen as an after-the-fact judgment; and as an after-the-fact assessment. . . . It is rarely seen as a vehicle to evoke a wide variety of behaviors. . . . Thus, what in essence is a broad varied series of possibilities is reduced to a restrictive and miniscule appraisal.<sup>79</sup>

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<sup>77</sup> Ibid., pp. 7-8.

<sup>78</sup> James B. MacDonald, "Some Moral Problems in Classroom Evaluation and Testing," The Urban Review, 8, No. 1 (Spring, 1975), 26.

<sup>79</sup> Ibid.

Another aspect presented by Slote is that the evaluative process usually connotes a difference of opinions between the evaluator and the person being evaluated.<sup>80</sup>

All too often, individuals being evaluated envision themselves as being more sincere than they actually are; they tend to think of themselves as having greater leadership qualities than others; they think they're better listeners than others think they are; they see themselves as being more approachable than others view them; and when confronted with the opposing opinions of "others," they tend to become somewhat irrational.<sup>81</sup>

The variance found in evaluation programs used among school systems is reflective of the absence of definite knowledge and clear definition of the roles or agreement on a philosophy of evaluation, or so it would seem. There are many issues which could be considered in the evaluation of school superintendents, regardless of the limited scope which evaluations have taken in the past. In any event, evaluation of the superintendent appears to be necessary for the emergence of effective leadership and administration, and as Howsam and Franco so aptly expressed it:

1. It does little good to protest the limitations of an evaluation. The fact is that given present circumstances at least, evaluation is both necessary and inevitable, regardless of its desirability, effectiveness, or consequences.
2. No matter how sound the research evidence, expert opinion, or other knowledge may be, quality is what the evaluator thinks it to be and behavior is what the beholder perceives it to be. Progress in evaluation depends largely upon the development of people.

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<sup>80</sup> Leslie M. Slote, "How to See Yourself as Your Employees See You," School Management, 10, No. 6 (June, 1966), 88-90.

<sup>81</sup> Ibid., p. 90.

3. While efforts at better formal evaluation probably should not cease, at this time most school systems would gain more from strong in-service efforts as developing mutual understanding of administrative and supervisory processes and behavior.<sup>82</sup>

Effective leadership will become possible when all persons involved with evaluation recognize the processes of administration and supervision, understand the local situation, and can cope with self-awareness. Griffiths summarized the evaluation of leadership of the superintendent by saying:

It has not, to this date, been the subject of a serious research study. The ground work has been laid in studies setting the status, picturing the history and evolution of the superintendency, and indicating good practice, and a group of evaluation instruments has been created. These instruments have pictured an evolutionary development themselves. They have passed from complete emphasis on atomistic duties, to complete emphasis on administrative practices. In general, all of the studies in evaluation. . . . completely lack any validating criteria.<sup>83</sup>

Although the "ideal" evaluation instrument is not yet available to assist school boards and superintendents, this should not stop them from attempting to develop an effective evaluation program which will reflect the true performance of superintendents.

### Role and Responsibility of the School Board

School boards come in all sizes, shapes, and descriptions, and, according to Cunningham, the individuals serving on the school boards

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<sup>82</sup>Howsam and Franco, op. cit., p. 40.

<sup>83</sup>Daniel E. Griffiths, "An Evaluation of the Leadership of the School Superintendent" (unpublished Doctoral dissertation, Yale University, 1952), p. 39.

represent a cross-section of all social classes, races, and religions in the local school district.<sup>84</sup> This pattern of having public schools directed and controlled by elected lay people at the local school district level is uniquely American, declares Callahan.<sup>85</sup> The school board should strive to provide sound representation of the entire community from which its members are elected,<sup>86</sup> even though a large percentage of the members are drawn from business, managerial, and professional occupations.<sup>87</sup>

The public expects the school boards to employ the kind of superintendents who will provide strong administrative leadership, who will keep the school board properly informed, and who will provide technical and expert judgment upon which the boards can rely for making policy decisions, legislation, and evaluations.<sup>88</sup>

Educational writers agree that the most important single responsibility that a school board has is to locate a competent superintendent for the school system.<sup>89</sup> Considerable latitude and flexibility are

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<sup>84</sup>Luvern L. Cunningham, "Community Power: Implications for Education," The Politics of Education in the Local Community, eds. Robert S. Cahill and Stephen R. Hencley (Danville, Ill.: The Interstate Printers and Publishers, Inc., 1964), p. 39.

<sup>85</sup>Raymond E. Callahan, Understanding School Boards, ed. Peter J. Cistone (Lexington, Mass.: D. C. Heath and Company, 1975), p. 19.

<sup>86</sup>Dykes, *op. cit.*, p. 31.

<sup>87</sup>Cunningham, *op. cit.*, pp. 39-40.

<sup>88</sup>Theodore J. Henson and David L. Clark, Educational Administration (New York: The Center for Applied Research in Education, Inc., 1964), p. 36.

<sup>89</sup>Willard R. Lane, Ronald G. Corwin, and William G. Monahan, Foundations of Educational Administration (New York: The Macmillan Company, 1967), p. 173.

exercised by the school board when selecting a superintendent to administer the affairs of the school system. Personal feelings and seniority rights of the school personnel and community pressures brought to bear upon the school board for consideration of particular applicants have no legal bearing upon the school board's final selection.

The board can make the selection of superintendent solely in terms of what it believes will be best for itself and the school system, Carlson says.<sup>90</sup> Venn and Fitzwater substantiate many statements made by educational writers, but add an additional concern for evaluating the individual selected by the school board to be the superintendent. They say that the school board's most important action is its selection and employment of a superintendent to administer the school affairs and also provide the superintendent with acceptable working conditions. The second most important action is that of evaluating the competencies or performance of the superintendent, while he is on the job.<sup>91</sup>

The community has a right to know what kind of performance its superintendent is giving, since the community provides the funds to support the school program. The school board, as the superintendent's employer, has an obligation to the school, to the community, and to itself to prepare an evaluation program which will improve the superintendent's level of performance. Also, from the school board's point of

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<sup>90</sup> Richard O. Carlson, School Superintendents: Careers and Performance (Columbus: Charles E. Merrill Publishing Company, 1972), p. 76.

<sup>91</sup> Grant Venn, Elements in a Model Contract for Superintendents, U.S., Educational Resources Information Center, ERIC Document ED 078 492, February 1973, p. 39; see also Ivan Fitzwater, "How Does Your Superintendent Rate?" School Management, 17, No. 9 (November/December, 1973), 26.

view, evaluation of the chief administrative officer should be necessary, since he is charged with the responsibility for establishing and directing the educational programs to meet the needs of the community.<sup>92</sup>

There is no legitimate way for the school board to avoid this obligation to its public. Leadership, to be effective, will require some form of feedback (evaluation) to assess its results, accomplishments, and to provide direction. Usually this is completed by the board in a team effort, but sometimes the members of the board fail to function as a team. Functioning as separate entities of the school board reduces the board's effectiveness to make proper decisions.

Griffiths defines decision-making as the process which one goes through in order to be able to pass judgment and terminate a controversy.<sup>93</sup> Kamman adds support to this decision-making process by identifying and presenting seven key factors which contribute to the reluctance or the inability of school board members to organize themselves into an efficiently operating team. These factors are (1) lack of criteria for evaluation, (2) lack of specific board goals or objectives, (3) lack of knowledge about educational matters, (4) remoteness and lack of knowledge about human motivation, (5) ineffective board committees, (6) distrust among the school board membership, and (7) board policies which are ineffective.<sup>94</sup> Lamb argues that school boards cannot account to

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<sup>92</sup>Lamb, op. cit., p. 4.

<sup>93</sup>Daniel Griffiths, Administrative Theory (New York: Appleton-Century Crofts, 1959), p. 75.

<sup>94</sup>Richard Kamman, "Board and Superintendent: Building the Effective Team," paper presented at the National School Boards Association Annual Convention, 32d, April 1972, California; cited by Delton C. Reopelle, "A Study of the Evaluation of the School Superintendent" (unpublished Doctoral dissertation, United States International University, San Diego, 1974), p. 27.

the public unless "they measure and assess the performance of the school superintendent."<sup>95</sup> Yet, effective assessment of the superintendent's performance is one of the most important problems confronting school boards today.<sup>96</sup> Therefore, every member of the school board must accept his professional obligation to learn as much as possible about the different facets of the superintendent's role, responsibilities, and the evaluation process.

Nation's Schools asked leading educators how the school board should evaluate the superintendent. The following responses demonstrate the wide range of priorities suggested by these persons. Engleman, a past executive secretary of American Association of School Administrators, said that the board needs evidence in these seven areas: (1) achievement of pupils, (2) effective working relations, (3) budget and business, (4) community understanding, (5) ways staff keeps in touch with clients, (6) morale in student body and staff, and (7) awareness of social, economic, and political developments that have implications for education.<sup>97</sup>

Former Superintendent Spears of San Francisco suggested six areas: (1) how well he informs the board, (2) carries out the policies of the board, (3) is ethical and professional, (4) maintains open communications with the board, (5) follows community moral standards, and

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<sup>95</sup> Lamb, op. cit., p. 3.

<sup>96</sup> Alton U. Farnsworth, "Administrator Assessment: A Must for School Boards," Catalyst for Change, 5, No. 3 (Spring, 1976), 18.

<sup>97</sup> Finis E. Engleman, "How Should School Boards Measure the Competence of an Administrator?" Nation's Schools, 68, No. 3 (September, 1961), 57.



(6) has confidence of school staff and the public in both administration and the instructional program.<sup>98</sup>

Another point of view is reflected by former Superintendent Gilchrist of University City, Missouri. Gilchrist wanted to know how the superintendent clarifies a vigorous program of curriculum development and instructional improvement.<sup>99</sup> White, former Superintendent of Dallas Schools, states that the board and superintendent must agree on the objectives and how they are to achieve them.<sup>100</sup>

Former Dean Chase of the Graduate School of Education, University of Chicago, suggests that the board gauge the competence and effectiveness of the superintendent on his leadership, progress in achieving educational objectives, and effectiveness of the processes used in discharging his duties.<sup>101</sup> "Accurate and judicious evaluation of an individual's performance admittedly involves a more complex process than a straightforward description of what he does or how he behaves," writes Halpin, as he perceives the process of evaluation for the superintendent being accomplished.<sup>102</sup>

School board members must possess sufficient information about the superintendent's behavior to permit them to describe his behavior

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<sup>98</sup>Harold Spears, Nation's Schools, op. cit., pp. 58-59.

<sup>99</sup>Robert S. Gilchrist, "How Should School Boards Measure the Competence of an Administrator?" Nation's Schools, 68, No. 5 (November, 1961), 63.

<sup>100</sup>W. T. White, Nation's Schools, op. cit., p. 64.

<sup>101</sup>Francis S. Chase, Nation's Schools, op. cit., p. 65.

<sup>102</sup>Andrew W. Halpin, Theory and Research in Administration (New York: The Macmillan Company, 1966), p. 112.

consistently among themselves.<sup>103</sup> Cooper and Fitzwater stress the importance of board members understanding that the behavior of the superintendent can make a difference in the performance of the organization because:

. . . his philosophy and his ideals are inevitably reflected in the educational program for which he is responsible. The team of pupils, teachers, local administrators, school board members, and parents with whom he works is not only guided by his leadership, but catches his spirit for accomplishment and growth. . . . The old adage 'as is the teacher, so is the school,' can aptly be restated to read 'as is the . . . superintendent, so is the county school system.'<sup>104</sup>

#### School Board-Superintendent Relationship

It must be remembered that much of the work of the superintendent is circumscribed by the policies of the school board, the manner in which the board works, and the resources available to the board and to the local community. Conversely, the effectiveness of the school board is greatly affected by the quality of work the superintendent performs.<sup>105</sup>

Authorities generally agree that the most important relationship related to the school administration's effectiveness is that of the school board and superintendent. California School Boards Association declared that:

The board works more closely with the superintendent than with any other staff member employed within the school district. How effectively they work together determines in a large part how well the school program will be planned and executed. The board must

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<sup>103</sup>Ibid., p. 113.

<sup>104</sup>Cooper and Fitzwater, op. cit., p. 540.

<sup>105</sup>Joseph M. Brooks, Guidelines for Evaluating a Superintendent, U. S., Educational Resources Information Center, ERIC Document ED 114 941, April 1975, p. 4.

strive to maintain a wholesome understanding of the relationship between itself and the chief executive officer for the schools.<sup>106</sup>

This relationship between the school board and superintendent is both necessary and essential for the superintendent to carry out the policies of the school board and for the school board to develop an adequate evaluation program for the superintendent. Thus, mutual trust becomes one of the most important factors forming this relationship between the superintendent and school board members according to the American School Board Journal:

Their responsibility is not to each other and it never has been. It is to the children in their schools and it demands that the board and superintendent devise and maintain a relationship that is not plagued by suspicion and duplicity, . . . It demands a relationship that is the antithesis of adversative and the quint-essence of confidence. It demands, simply, the extension of the benefit of every doubt in every situation.<sup>107</sup>

Developing this relationship can be very difficult, and at times embarrassing for all parties; nonetheless, it is an important function which the school board and superintendent must continue to place emphasis on for as long as they work together. As a matter of fact, the relationship commences about the time the superintendent is employed for the job; and during these crucial moments, Ayars recommends that the school board and superintendent reach a complete understanding relative to certain phases of their relationship. In order to eliminate any misunderstandings later, Ayars suggests the following:

It is absolutely essential that all persons concerned know what authority has been given to the superintendent and what is retained

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<sup>106</sup> Goldhammer, op. cit., p. 34.

<sup>107</sup> "How to Fire A Superintendent," American School Board Journal, 159, No. 10 (April, 1972), 24.

by the board. The superintendent, of course, has no right to expect the board to continue delegating authority to him unless his performance is such as to merit continued confidence. Sound, harmonious professional relationships may be promoted by a clear understanding of the following principles of operation before the position of superintendent is accepted:

1. The superintendent deals with the board as a whole, not with individual members.
2. The school board acts only as a group in board meetings. The individual board member acting independently of the board has no more authority than any other citizen.
3. The superintendent brings information from the staff to the board and information from the board to the staff. The board does not deal with the faculty except as arranged by the superintendent.
4. Personnel to be hired are recommended to the board by the superintendent. If the board does not approve a nomination, the superintendent is asked to submit another nomination. The board does not make appointments directly.
5. The school board does not run the schools - it sees that they are run.
6. At such time as the board is dissatisfied with the superintendent and his actions, he is the first to be informed.
7. The board (or committee of the board in cooperation with the superintendent) will prepare a set of rules and regulations for adoption, if they have not already been prepared. The board and superintendent will from time to time, review the division of responsibilities and duties.<sup>108</sup>

Superintendents and school board members can avoid many of the difficulties and misunderstandings if their perception of these principles are congruent. Applying these principles may not be a simple task for the superintendent or the school board members, but if they try, they can reduce and possibly prevent future conflicts.

Because of the nature of his work position, the superintendent

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Albert L. Ayars, Administering the People's Schools (New York: McGraw-Hill Book Company, 1957), pp. 90-91.

has a decisive role in creating work relationships through which he, the staff, and the school board can move toward common goals, Dykes informs us.<sup>109</sup> The superintendent advises and makes recommendations to the school board on those items he considers necessary and important for school programs to function effectively. By this process, he shapes the thinking of the school board members.<sup>110</sup> Reeves describes this advisory role as follows:

As a trained expert in school administration, the superintendent should fulfill the important functions of rendering his informed opinions and furnishing professional advice to the school board on matters of policy that he believes needs to be considered for adoption. . . . or repeal. His advice should grow out of his recognition of the needs of the school system, based on sound principles developed from his professional training and his professional experiences.<sup>111</sup>

Dykes states that agreements and understanding will rest on mutual confidence and trust and on fulfillment of basic expectations which each has of the other.<sup>112</sup> School board members are usually lay persons; therefore, the superintendent should try to keep them abreast of school affairs and aware of what he is doing. Should the superintendent fail to do this, board members do not have any legitimate way of finding out what is going on in the school system.<sup>113</sup>

Unless the superintendent fully understands this situation and sees the implications for himself as the professional leader of the

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<sup>109</sup>Dykes, op. cit., p. 67.

<sup>110</sup>Ibid., p. 90.

<sup>111</sup>Charles E. Reeves, School Boards: Their Status, Functions and Activities (New York: Prentice-Hall, Inc., 1954), p. 266.

<sup>112</sup>Dykes, op. cit., p. 127.

<sup>113</sup>Ibid., p. 131.

school system, it is unlikely that optimum working relationships for himself and his school board will be attained. Shaw is in agreement with this statement and suggests that:

If we want school boards to spend their time on matters which really are in their preferred province, the administration must be prepared to make those issues plain. . . . Good administration means sharpening and focusing the policy issue so that the board may get the greater satisfaction and the district the greater benefit, which comes from devoting their time and thought to things that really count.<sup>114</sup>

It is important that a relationship develop which results in an atmosphere where the superintendent will be able to function with the board as a whole and not with individual board members. A superintendent attempting to function on a "one-to-one" basis with individual board members, eventually finds himself in the center of a divided school board. Such action could enhance the difference of opinions formed by each board member toward the value of the superintendent to the school system.

Cohodes provides an illustration of the two extremes or polar positions taken by school board members when the superintendent does not function as chief executive officer of the school system:

'He forces us to make all the decisions,' one board member complained to me, 'and he doesn't even tell us which way he wants us to go.' And, from the same board, another member said: 'We're nothing but puppets. Once the superintendent gets the budget approved, he does just about what he pleases.'<sup>115</sup>

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<sup>114</sup>Archibald B. Shaw, "Boards Can Be Policy Bodies," Educational Executives Overview, 2 (November, 1961), 9.

<sup>115</sup>Aaron Cohodes, "Where School Boards Fail Their Administrators," Nation's Schools, 91, No. 6 (June, 1973), 9.

"These are emotional appraisals based on the eyes of the beholder, rather than on the performance of the superintendent," states Cohodes.<sup>116</sup>

Lapchick discussed the state of power balance or equilibrium among management elements. He emphasized the importance of maintaining a level of equilibrium for a healthy, normal school relationship.<sup>117</sup> School boards must recognize this balance of power as a necessary function to the wholesome development of the school system with the superintendent, his staff, and the school board members. An imbalance of power usually causes internal strife, as illustrated by Lapchick:

As soon as the assistant superintendent moves too close to the superintendent, he creates a state of imbalance. . . in this case, he puts too much distance between himself and the principals. The imbalance can lead to distrust and defensive reaction. Principals may move toward the teachers' union, for example, to maintain the stability.

The superintendent who is too cozy with the school board attains that status by moving away from his assistant superintendent - who is trying like hell to bridge the distance between the superintendent and the principals. Again, imbalance.<sup>118</sup>

When the superintendent and the members of the school board have a good relationship, they still may not always agree on every aspect of the school operation. Occasionally the power balance must be tilted or shifted in a particular direction to accomplish certain missions. Once the objectives have been attained, the proper degree of balance between the superintendent and the board members should return. The school board, like the superintendent, must recognize the necessity for

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<sup>116</sup>Ibid.

<sup>117</sup>Joseph D. Lapchick, "Up the Administrative Team," Nation's Schools, 92, No. 1 (July, 1973), 14.

<sup>118</sup>Ibid.

maintaining a power balance; otherwise, the relationship may appear as a "rubber-stamp" or "rank-pulling" affair.<sup>119</sup>

The school board will function best when there is clear understanding of its roles, its relationship to its own board members, to the superintendent and all the members of his staff, and to the community at large.<sup>120</sup> Some of the underlying principles that have been advocated by leaders both in professional education and in the "school board movement" could be delimited by the paradigms presented for the superintendent and for the school board in the following manner:

The school board might expect the superintendent to:

1. Serve as its chief executive officer and that he serve the board in all matters as its professional advisor.
2. Recommend appropriate policies for the board's consideration and that he implement and execute all policies adopted by the board.
3. Keep the board fully and accurately informed about the school program.
4. Interpret the needs of the school system and that he present his professional recommendations to the problems and issues considered by the board.
5. Devote a large share of his thought and time to the improvement of instruction and that he be alert to advances and improvement in educational programs, wherever they may be found.
6. Lead in the development and operation of an adequate program of school-community relations.
7. Use great care in nominating candidates for appointment to the school staff.

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<sup>119</sup>Ibid.

<sup>120</sup>Carl H. Wennerberger, ed., The Superintendent-Board Relationship, U.S., Educational Resources Information Center, ERIC Document ED 025 007, Fall 1967, p. 1.



8. Recommend for purchase equipment, books, and supplies that are appropriate to the purpose and needs of the school system.
9. Present for its consideration an annual budget that is designed to serve the needs of the school system and that he establish and operate the financial operations of the school district to ensure adherence to budget provisions and the wise use of school funds.<sup>121</sup>

On the other hand, the superintendent might expect the school board to:

1. Assist the superintendent with counsel and advice, giving him the benefit of its judgment, business experience, and familiarity with the local school system and the community.
2. Consult with the superintendent on all matters concerning the school system which the board is considering or about which it proposes to take action.
3. Delegate to the superintendent responsibility for all executive functions, refrain from handling directly any administrative details, and give the superintendent authority commensurate with his responsibilities.
4. Make all employees of the school system responsible to the superintendent, refrain from any direct dealings with any of them, and require and receive all reports from them through the superintendent.
5. Refer all applications, complaints, and other communications, oral or written, to the superintendent, except when such may come to the board in meetings on appeal from decisions of the superintendent.
6. Provide adequate safeguards for the superintendent and other personnel so that they may perform their proper function on a professional basis. (This involves, particularly supporting the superintendent in his efforts to protect the personnel and the schools from individuals and organizations seeking to exploit the schools for selfish reasons.)

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<sup>121</sup>Policies for Improving Board-Superintendent Relations, Educational Policies Development Kit, U.S., Educational Resources Information Center, ERIC Document ED 058 656, February 1971, pp. 5-6; see also AASA, On Selecting A Superintendent of Schools, op. cit., pp. 14-15.

7. Support the superintendent loyally and actively in all decisions and actions conformable to proper professional standards and the announced policy of the board, and accept full responsibility for administrative acts authorized by, or resulting from, the policies of the board.
8. Hold the superintendent strictly responsible for the administration of the schools, require him to keep the board fully informed at all times, through both written and oral reports, review and appraise the results of his work, and inform him when any methods or procedures do not meet with the approval of the school board.<sup>122</sup>

These principles provide a foundation for establishing accountability in the school system, but of greater importance is the relationship and mutual understanding which grows out of this "togetherness." When the school board and superintendent fully recognize and understand these principles, most of their misunderstandings should be eliminated. Then, evaluating the superintendent's performance is simplified.

Delineation of these principles should assist superintendents and school boards in determining and identifying the criteria to use for evaluating the superintendent's performance. Using accountability procedures to develop the evaluation process might be difficult and a more demanding way to operate the schools, but as Gamba insists, "if the primary purpose of the school board is to provide 'quality education' for the students, then it becomes essential."<sup>123</sup>

"Togetherness" is another way of describing the cooperative effort between the superintendent and the school board members as they

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<sup>122</sup>Ibid., p. 6.

<sup>123</sup>John F. Gamba, How to Evaluate a School Board, U.S. Educational Resources Information Center, ERIC Document ED 082 326, August 1975, p. 2.

strive to strengthen the educational enterprise.<sup>124</sup>

### Superintendent as a Manager

A manager's task, according to Blake and Mouton, appears to be one of developing and maintaining a "culture" that promotes work. In other words, a manager is responsible for the productive utilization of people, so they will achieve maximum results as members of the organization. Thus, a manager's job is to perfect a culture which (1) promotes and sustains efficient performance of the highest quality and quantity, (2) fosters and utilizes creativity, (3) stimulates enthusiasm for effort, experimentation, innovation and change, (4) takes educational advantage from interaction situations, and (5) looks for and finds new challenges.<sup>125</sup>

The superintendent in his role as chief school administrator "manages" the affairs of the school system for the school board. His position is unique in relation to the community served by the school system; yet, his position is related to that of administrators in other fields of management. There are common elements in administration which are identifiable even though the school organization is unlike that of any other organization in the local area. Administration by definition, according to Henson and Clark, is a process involving a system of interwoven elements including (1) planning, (2) organization, (3) management, and (4) appraisal and control.<sup>126</sup>

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<sup>124</sup>Roy U. Jordan, "What Makes a School Board Effective or Ineffective?" American School Board Journal, 161, No. 7 (July, 1974), 35.

<sup>125</sup>Robert S. Blake and Jane S. Mouton, The Managerial Grid (Houston: Gulf Publishing Company, 1964), pp. ix-x.

<sup>126</sup>Henson and Clark, op. cit., p. 44.

Administrators, according to this definition, are required to plan, decide, organize, communicate, evaluate, lead, and otherwise function in ways common to administration, whether the concern is selling merchandise at retail, or providing educational experiences for our children. Major duties of the superintendent or administrative personnel in any phase of business are described by Gulick's POSDCORB.

POSDCORB is a made-up word designed only for the purpose of calling attention to the different functional elements of the work of the chief executive because "administration" and "management" have lost all specific content.

1. Planning, that is working out in broad outline the things that need to be done and the methods for doing them to accomplish the purpose set for the enterprise.
2. Organizing, that is the establishment of the formal structure of authority through which work subdivisions are arranged, defined and coordinated for the defined objectives.
3. Staffing, that is the whole personnel function of bringing in and training the staff and maintaining favorable conditions of work.
4. Directing, that is the continuous task of making decisions and embodying them in specific and general orders and instructions and serving as the leader of the enterprise.
5. Co-ordinating, that is the all important duty of inter-relating the various parts of the work.
6. Reporting, that is keeping those to whom the executive is responsible informed as to what is going on, which thus includes keeping himself and his subordinates informed through records.
7. Budgeting, with all that goes with budgeting in the form of fiscal planning, accounting and control.<sup>127</sup>

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<sup>127</sup>Luther Gulick, Papers on the Science of Administration (New York: Institute of Public Administration, 1937), p. 13.

This statement of the work of a chief executive is adapted, according to Gulick, from the functional analysis presented by Henri Fayol in his "Industrial and General Administration." Gulick continues, "It is believed that those who know administration intimately will find in this analysis a valid and helpful pattern, into which can be fitted each of the major activities and duties of any chief executive."<sup>128</sup>

The school superintendent serves in a similar capacity to that of the business executive or manager as he is required to obtain the best results possible with money, time, materials, and people available to him.<sup>129</sup> He is both product-oriented as well as people-oriented, since people are his responsibility. Likewise, the superintendent is responsible to the public for his performance. The superintendent must develop the art of influencing others, coordinating their efforts, and directing them toward the accomplishment of identifiable educational goals or objectives.

Paralleling the business executive, the superintendent accomplishes the organizational objectives by getting results through people. He must possess the personal, emotional, and imaginative qualities that move other people, that enable him to motivate and induce the people not only to agreement, but to action.<sup>130</sup>

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<sup>128</sup>Ibid.

<sup>129</sup>A. K. Rice, Learning for Leadership (London: Tavistock Publications Limited, 1965), p. 20.

<sup>130</sup>David E. Lilienthal, Management: A Humanist Art (New York: Columbia University Press, 1967), pp. 31-32.

## CHAPTER III

LEGAL RESPONSIBILITIES OF SUPERINTENDENTS  
AND SCHOOL BOARDS IN ADMINISTRATION OF  
SCHOOLS IN NORTH CAROLINA

Education in America is a state function (although the Federal government does assume some responsibilities in this field), and the state sets forth the laws, rules and regulations, which control school operations. Administration of the schools, within the conditions of control set by the state, is done locally. Thus, a school board through a local agency, functions within the provisions set by the state government.<sup>1</sup>

Education, according to Campbell,<sup>2</sup> Goldhammer,<sup>3</sup> and Reeves,<sup>4</sup> is a function of the state. In the State of North Carolina, the law specifies that:

A general and uniform system of free public schools shall be provided throughout the State, wherein equal opportunities shall be provided for all students, in accordance with the provisions of Article IX of the Constitution of North Carolina . . . . There shall be operated in every county and city administrative unit a uniform school term . . . .<sup>5</sup>

The State, however, is liberal in the powers and duties it has entrusted to the care of its agent in the local town, the school board

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<sup>1</sup>Albert L. Ayars, Administering the People's Schools (New York: McGraw-Hill Book Company, 1957), pp. 101-102.

<sup>2</sup>Roald F. Campbell, John E. Corbally, Jr., and John A. Ramseyer, Introduction to Educational Administration (Boston: Allyn and Bacon, Inc., 1962), pp. 28-31.

<sup>3</sup>Keith Goldhammer, The School Board (New York: The Center for Applied Research in Education, Inc., 1964), pp. 4-5.

<sup>4</sup>Charles E. Reeves, School Boards: Their Status, Function and Activities (New York: Prentice-Hall, Inc., 1954), pp. 19-20.

<sup>5</sup>North Carolina, Public School Laws, Sec. 115-1 (1976).

or Board of Education. In order for this board to perform its delegated duties, the State legislature outlined the express and implied powers and duties in broad general terms.<sup>6</sup>

### Legal Responsibilities of School Boards

The board of education in North Carolina is the agent of the state in the local school districts, and as such, has many state duties to perform.<sup>7</sup> As the state's agent, the school board cannot be prevented from carrying out its legal duties or responsibilities by town meetings or any other town agency. However, the local citizens have a great deal of influence upon the school board, in areas of discretionary actions. Despite this influence, the school board is a power unto itself in all actions judged to be legal, whether mandatory or discretionary.<sup>8</sup>

School board functions are essentially threefold: (1) policy making, (2) legislative, and (3) evaluative. As an extension of the state, school boards are responsible for the organization, and operational status of the school system where they are located. Duties assumed by the school board are: (1) general personnel management--hiring and firing of employees, (2) determining programs and services, (3) financial management, (4) management of buildings and facilities, (5) representing the voters in the district, and (6) representing the state in its educational function at the local level. In order for the school board to carry out these duties and responsibilities, it will be required to

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<sup>6</sup>North Carolina, op. cit., Sec. 115-4 - 115-9.

<sup>7</sup>North Carolina, op. cit., Sec. 115-35.

<sup>8</sup>John D. Messick, Discretionary Powers of School Boards (Durham: Duke University Press, 1949), p. 4.

employ technical and professional assistance to help execute these functions.<sup>9</sup>

A survey of the Public School Laws of North Carolina enacted by the 1975 North Carolina General Assembly indicates that the statutory responsibilities of education in North Carolina rests with the Board of Education. Accordingly, the school board shall have the powers to carry out the following duties:

1. Annually elect a chairman and secretary. (G.S. Sec. 115-26)
2. Hold board meetings at least once every quarter while school is in session, or elect to hold regular monthly meetings and to meet in special session upon the call of the chairperson or the secretary. (G.S. Sec. 115-28)
3. Under the procedures of G.S. Sec. 153A-92, fix the compensation and expense allowance paid members of the school board. (G.S. Sec. 115-29)
4. Conduct an investigation of alleged charges brought against a board member by State Superintendent of Public Instruction, in accordance with "due process" procedures. (G.S. Sec. 115-31)
5. Issue subpoenas for the attendance of witnesses concerning all matters which may lawfully come within the power of the board. (G.S. Sec. 115-32)
6. Punish for contempt, anyone for disorderly conduct or disturbance tending to disrupt the school board while transacting its official business. (G.S. Sec. 115-32)
7. Fine any witness failing to appear as directed before the school board to testify in any matter under investigation. (G.S. Sec. 115-33)
8. Provide an adequate school system to meet the needs of the communities involved. (G.S. Sec. 115-35a)
9. Control and supervise all matters pertaining to the public schools in their respective administrative units and enforcing the school laws in these respective units, not delegated

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<sup>9</sup>Theodore J. Henson and David L. Clark, Education! Administration (New York: The Center for Applied Research in Education, Inc., 1964), pp. 6-7.



otherwise or expressly conferred to some other official.  
(G.S. Sec. 115-35b)

10. Divide the various school units into attendance areas without regard to district lines. (G.S. Sec. 115-35c)
11. Make rules and regulations to support extra-curricular activities in the schools under their jurisdiction. (G.S. 115-35d)
12. Establish the time of opening and closing the schools, providing those schools utilizing buses will be required to use the same time schedules throughout. (G.S. Sec. 115-35e)
13. Adopt rules and regulations governing solicitations of, sales to, and fund-raising activities conducted by, the students and faculty members within their jurisdiction. (G.S. Sec. 115-35f)
14. Accept, receive and administer any funds or financial assistance given, granted, or provided under the provisions of ESEA of 1965 (PL. 89-10, 89th Congress, HR 2362) and under the provisions of the EOCA of 1964 (PL. 88-452, 88th Congress, S. 2642) or any other federal acts or funds from foundations, and to comply with all conditions, requirements and stipulations for expenditure of said funds. (G.S. Sec. 115-35g)
15. Sponsor or conduct educational research and special projects approved by the State Department of Public Instruction and State Board of Education which can aid in the improvement of the school system. (G.S. Sec. 115-35h)
16. Establish the length of the school day to include any emergencies that might be due to an act of God. (G.S. Sec. 115-36a)
17. Provide qualified teachers to teach the course of study which has been approved by the State Superintendent. (G.S. Sec. 115-37)
18. Elect or appoint a superintendent of schools for a term of either 2 years or 4 years, or until his successor is elected. (G.S. Sec. 115-39)
19. Provide the superintendent a suitable office with necessary tools and equipment to carry out his own duties to the school system. (G.S. Sec. 115-40)
20. Employ sufficient clerical personnel and purchase sufficient office machines to support the administrative needs of the superintendent. (G.S. Sec. 115-40)

21. Prescribe the duties of the superintendent which are not to be in conflict with State law and hold the superintendent responsible. (G. S. Sec. 115-41)
22. Remove the superintendent from office when it is deemed appropriate for the good of the school system or as coordinated with the State Superintendent of Public Instruction. (G.S. Sec. 115-42)
23. Remove committeemen from the school board for cause where the best interest of the school system must be given first consideration. (G.S. Sec. 115-43)
24. Employ additional supervisory personnel and teaching members beyond those paid for by the State Board of Education. (G.S. Sec. 115-44)
25. Have full power, upon the recommendation of the superintendent, to make all just and needful rules and regulations governing the conduct of teachers, principals, and supervisors. (G.S. Sec. 115-45)
26. Provide for the professional growth of teachers. (G.S. Sec. 115-46)
27. Provide for prompt monthly payments of all salaries due teachers, other school officials and employees, current bills and other necessary operating expenses. (G.S. Sec. 115-47)
28. Adopt a salary schedule for non-state paid teachers commensurate with the state schedule. (G.S. Sec. 115-49)
29. Issue salary vouchers to all school employees in accordance with the directions of the State Board of Education. (G.S. Sec. 115-50)
30. Provide to the extent practical school food services to the schools under their jurisdiction. (G.S. Sec. 115-51)
31. Purchase or exchange all supplies, equipment and materials in accordance with contracts to approved vendors. (G.S. Sec. 115-52)
32. Purchase activity buses with local capital and to maintain them in accordance with regulations governing other school buses. (G.S. Sec. 115-52.1)
33. . . . Wave its governmental immunity from liability by securing liability insurance for damage by reason of death or injury to person or property caused by the negligence

or tort of any agent or employee when acting within the scope of his authority or within the course of his employment. (G.S. Sec. 115-53)

34. Pay the lawful premium for such insurance as deemed necessary by the board. (G.S. Sec. 115-53)
35. Provide adequate classroom facilities to meet the requirements as presented in the organization statement and allocation of instructional personnel. (G.S. Sec. 115-59)
36. Authorize the withholding of any salary of any supervisor, principal or teacher who delays or refuses to render such reports as required by law. (G.S. Sec. 115-66)
37. Designate one or more banks or trust companies in this State as the official depositories for the administrative unit. (G.S. Sec. 115-100)
38. Appoint a treasurer for each school within the administrative unit that handles special funds. (G.S. Sec. 115-100.31)
39. Acquire suitable sites for schoolhouses and other school facilities within or without the administrative unit. (G.S. Sec. 115-125)
40. Sell such unnecessary and undesirable lands, building sites or real property owned or held by the board as specified by State law. (G.S. Sec. 115-126)
41. Provide suitable instructional supplies for school buildings such as blackboards, maps, library equipment, and the like. (G.S. Sec. 115-132)
42. Assign students which live within the boundaries of the administrative unit to a public school who are qualified for admission by the laws of the State. (G.S. Sec. 115-176)
43. Operate school buses for the transportation of pupils enrolled within the administrative unit's area of responsibility. (G.S. Sec. 115-180)<sup>10</sup>

#### Legal Responsibilities of the Superintendent

The Public School Laws of North Carolina identify the statutory responsibilities which the superintendent must fulfill. According to

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<sup>10</sup>North Carolina, op. cit., pp. 36-154.

North Carolina statutes, the superintendent is responsible to the local school board. The school board, legally, may sit in continuous sessions and conduct most of the legal responsibilities in the administration of school systems in North Carolina.

A perusal of the Public School Laws of North Carolina enacted by the 1975 Session of the Legislature indicates that the superintendent shall have the power to carry out the following duties:

1. Be the executive officer of the school board. (G.S. Sec. 115-8)
2. Be the agent of the board. (G.S. Sec. 115-56)
3. Perform such other duties as the board shall require of him. (G.S. Sec. 115-56)
4. Keep himself thoroughly informed as to all policies promulgated and rules adopted by the State Superintendent of Public Instruction and State Board of Education. (G.S. Sec. 115-57)
5. Keep the school board and other school personnel fully apprised of the rules and regulations affecting their domain. (G.S. Sec. 115-57)
6. Conduct each year such teachers' meetings and study groups as in his judgment will improve the efficiency of the instruction in the school of his unit. (G.S. Sec. 115-57)
7. Make appropriate distribution to all school personnel all blanks, registers, report cards, record books, bulletins, and all other supplies and information furnished by the State Superintendent for proper use. (G.S. Sec. 115-57)
8. Approve, in his discretion, election of all teachers and personnel for employment within his unit. (G.S. Sec. 115-58)
9. Present names of all principals, teachers and other school personnel to the school board for approval or disapproval (based on his recommendations.) (G.S. Sec. 115-58)
10. Submit annually to the State Board of Education, certified by the local board chairman, showing organization of the schools in his unit and any additional information required by the State Board of Education. (G.S. Sec. 115-59a)

11. File a special report for each school at the end of the first month of school each year with the State Board of Education. (G.S. Sec. 115-59)
12. Furnish tax lists at tax-listing time the boundaries of each taxing district where administrative units are not coterminous with the city or township limits. (G.S. Sec. 115-63)
13. Have on file, a copy of the certificate or certification of each teacher to be placed on the payroll. Substitute or intern teachers may be paid by other rules under the rules of the State Board of Education. (G.S. Sec. 115-64)
14. Prepare a school budget as outlined in Sec. 115.100.7.
15. Appoint or designate a school finance officer subject to the approval of the school board. (G.S. Sec. 115.100.8)
16. Maintain in his office a personnel file for each teacher that contains any complaint, commendation, or suggestion for correction or improvement. (G.S. Sec. 115-142b)
17. Enforce the regulation requiring a health certificate for each school personnel to be on file in the office of the superintendent. (G.S. Sec. 115-143)
18. Under specific conditions, suspend or dismiss a student from the school system. (G.S. Sec. 115-147)
19. Issue appropriate salary vouchers to all school employees by monthly pay in accordance with the State School Board policy. (G.S. Sec. 115-158)
20. Recommend the employment of attendance counselors to the school board for the school system. (G.S. Sec. 115-168)
21. Report the names and addresses of parents, guardians, or custodians of any deaf or blind children residing within the respective school administrative unit. (G.S. Sec. 115-175)
22. Allot and assign sufficient school buses to the respective schools for transportation of students. (G.S. Sec. 115-182)
23. Supervise the use of all school buses operated so as to insure and require compliance with specified rules. (G.S. Sec. 115-183)

24. Act as an official agent of the State Board of Education in regards to all textbooks and instructional material by administering the rules and regulations as set forth by the State Board insofar as they apply to his administrative unit. (G.S. Sec. 115-206.17)
25. Conduct a survey of the preschool-aged children residing in said administrative unit for the purpose of determining the identity of the hearing-impaired and submit a copy of the findings to the school board. (G.S. Sec. 115-314.4)<sup>11</sup>

#### Statutory Delegation of Authority to the Superintendent

North Carolina Boards of Education, as agents of the state in the local community, are responsible to the state for every phase of education, regardless of whether it is performed by the board, delegated to the superintendent of schools, or through the superintendent to members of his staff. A general delegatory statute is recorded in the Public School Laws of North Carolina in reference to the superintendent stating that "all acts of county and city boards of education, not in conflict with State law, shall be binding on the superintendent; and it shall be his duty to carry out all rules and regulations of the board."<sup>12</sup>

A superintendent's authority is delegated to him by the local school board when he becomes the executive agent and ex-officio secretary to the school board. Legislative action has also authorized school boards to allow superintendents to make recommendations to the school board for approval or disapproval of school personnel for employment. Inclusive authority is given to the school board to require their superintendent to perform all duties which the boards shall require of him as executive agent.

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<sup>11</sup>North Carolina, op. cit., pp. 19-190.

<sup>12</sup>North Carolina, op. cit., Sec. 115-41.

## CHAPTER IV

### METHODOLOGY AND ANALYSIS OF THE DATA

#### METHODOLOGY

##### General Concept

The problem of this study was to determine the effectiveness of the evaluation process used by school boards in the North Carolina Public School System to evaluate the performance of their respective school superintendents. This study was further concerned with collecting information from superintendents and chairpersons of school boards representing randomly selected administrative units, which would support or refute the statement that the evaluative process increased the competency of the superintendent according to the perception of the superintendent and chairperson of the school board.

##### Population Design for the Study

Data were collected from the geographical area of the State of North Carolina. The 1977-1978 Educational Directory for the Public School System of North Carolina confirmed that there were one hundred forty-five public school administrative units operating within the eight educational districts of North Carolina.<sup>1</sup> One hundred administrative units were identified as county units, and forty-five were identified as city administrative units.

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<sup>1</sup>Educational Directory, 1977-1978 (Raleigh, North Carolina: State Department of Public Instruction, 1978).

Each administrative unit was characterized by having one school board, one superintendent, and sufficient elementary and secondary schools to support the student enrollment. These administrative units are located throughout the state and have been assigned, by the State Board of Education, to one of the eight educational districts embracing the one hundred state counties as promulgated by state laws.<sup>2</sup>

#### Criteria for Selection of Administrative Units

In order for school administrative units to be eligible to participate in this research, they were required by the investigator to meet the following criteria: (1) school administrative units must be legally organized and employ a superintendent or some designated chief administrator whose primary responsibility is directly to the school board, and (2) school boards must be legally constituted in accordance with the mandates of the State of North Carolina, with one member of the school board being designated as chairperson or in some position of authority so as to act officially in the role of presiding officer. Private and parochial schools and schools within the community college system were excluded from this study.

#### Selection of Administrative Units

Forty-six administrative units were randomly selected using thirty-two percent as the ideal number criterion as shown in Table 1. The total population was stratified according to (1) county unit, (2) city unit, and (3) student enrollment. Thirty-one county units and fifteen city units were

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<sup>2</sup>North Carolina, Public School Laws, Sec. 115-3 (1976).



Table 1  
Number of School Systems and Student Population Count

Student Enrollment	Student Population	Total Units	Type of Unit		No. Selected		Alternates*
			County	City	County	City	
Under 5,001	195,645	63	33	30	10	9	2
05,001-10,000	374,478	51	40	11	12	4	2
10,001-20,000	298,420	22	19**	3	6	1	1
20,001-30,000	103,034	4	3	1	1	1	1
Over 30,000	262,292	5	5	-	2	-	1
Total	1,233,869	145	100	45	31	15	7

\*Alternates are included within random selection (not separately).

\*\*Investigator's county was omitted from random selection.

selected by the investigator. These selected administrative units should provide access to a wide cross-section of socio-economic and student populations.

Within the stratified sample, a reasonable diversity of ethnic groups, societal structures, and urban/rural levels of society was provided. Selection of administrative units automatically qualified the superintendents and chairpersons to participate in the data collection process. This procedure eliminated the necessity for further identification of the participants.

#### Preparation of the Opinionnaire

The opinionnaire, used as the data-gathering instrument, was developed from a review of the related literature and Reopelle's model which could be responded to by superintendents and chairpersons of school boards.<sup>3</sup> The instrument was designed to collect opinions about the effectiveness of the evaluation process of school superintendents in the local school system as perceived by the superintendent and chairperson.

Six major areas of responsibility were identified and selected with a series of statements indicative of the items with which each area deals, inasmuch as the responsibilities of the superintendent are broad. These six areas are (1) School Administration and Organization, (2) Curriculum and Instructional Leadership, (3) Business and Financial Management, (4) Community Relations, (5) Character and Personality of the Superintendent,

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<sup>3</sup>Delton Curtis Reopelle, "A Study of the Evaluation of the School Superintendent" (unpublished Doctoral dissertation, United States International University, San Diego, 1974), p. 1; and letter from Reopelle, District Superintendent of National School District, National City, California, July, 1977.

and (6) Relationship with the School Board.<sup>4</sup> Questions which dealt with the demographic data were considered separately from, and in addition to, the other six major areas of responsibility.

Responses to the statements contained within each major area of responsibility were based on the perception of superintendents and chairpersons. Both groups of participants were instructed to indicate their opinions to the statements on the opinionnaire by checking two levels of agreement, two levels of disagreement, or by checking a column marked "undecided." The superintendents and chairpersons were further informed that no attempt would be made to identify any of the individual responses since the study was concerned with the collective responses of superintendents as compared with the chairpersons.

Five superintendents and five chairpersons from administrative units in the North Carolina Public School System were asked to review and evaluate the contents of the proposed opinionnaire and to submit suggested changes to the investigator. Upon completion of the field test, the opinionnaire was revised (Appendix A) to include the suggested changes.

#### Administration of the Opinionnaire

The opinionnaire, a letter of introduction (Appendix B), and a pre-addressed postage-paid return envelope were distributed by mail to the selected superintendents and chairpersons. Upon receipt of the opinionnaire packet, superintendents and chairpersons were asked to complete the opinion-

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<sup>4</sup>Joseph M. Brooks, Guidelines for Evaluating a Superintendent, U.S., Educational Resources Information Center, ERIC Document ED 114 941, April 1975, pp. 11-13, and "How to Evaluate Your Superintendent," School Management, August 1965, pp. 42-45.

naire according to the instructions provided and to return it in the pre-addressed postage-paid return envelope by a specific date to the researcher.

Follow-up procedures were developed for those superintendents and chairpersons who had not returned their responses by the suspense date. A follow-up "reminder" letter (Appendix C) with another opinionnaire and pre-addressed postage-paid return envelope was mailed to these persons emphasizing the need for their responses.

#### Statistical Treatment of the Data

Data collected were reviewed and analyzed by using the chi square technique.

### ANALYSIS OF THE DATA

The data collected represented opinions of selected school superintendents and chairpersons of school boards in the North Carolina Public School System. Seventy-six percent (thirty-five) of the forty-six superintendents and seventy percent (thirty-two) of the forty-six chairpersons participating in the study returned the opinionnaire. Of the forty-six administrative units selected to participate, sixty-seven percent (thirty-one) were represented by both the superintendent and chairperson.

#### Demographic Data of Superintendents

The first seven items on the opinionnaire were seeking demographic data. Responses to item one, the type of administrative unit, revealed that superintendents represented twenty-three county units and twelve city units; that is, seventy-four percent of the superintendents in county

units and eighty percent of the superintendents in city units participated in the study.

The size of the administrative units indicated by item two were twelve units (34%) with under 5,000 students, twelve units (34%) between 5,001 and 10,000 students, seven units (20%) between 10,001 and 20,000 students, three units (9%) with 20,001 to 30,000 students, and one unit (3%) with more than 30,000 students. Item three, indicating the type of evaluation being conducted in the administrative units, showed one unit (3%) using a formal evaluation based on predetermined standards, three units (9%) conducting a formal evaluation based on task performed, nineteen units (54%) using an informal evaluation program, and twelve (34%) without any evaluation program.

Responses to item four concerning where the evaluation is being conducted revealed that three units (13%) conducted their evaluation at regular board meetings, twelve units (52%) in executive sessions, two (9%) at special board meetings, and six (26%) at other times, usually when considered by the board as needed. Item five responses pertaining to what type of critique or follow-up of the evaluation is made revealed that fifteen units (66%) used an oral (face-to-face) critique, four (17%) units used both written and oral critiques, and four units (17%) do not conduct any critique.

The frequency of the evaluation according to the responses in item six indicated that eleven units (48%) conducted annual sessions, two units (9%) used semi-annual sessions, two units (9%) met more than twice a year, and eight units (34%) met as needed by the school board. Responses to item seven showed that four units (18%) did place a copy of the evaluation report

in the superintendent's record file, eighteen units (78%) did not, and one unit (4%) did not know.

The first three items of the opinionnaire were responded to by thirty-five school superintendents. Twelve of these superintendents further indicated (in item three) that no evaluation program was being conducted in their units. Of the twelve superintendents replying to this item, seven represented county administrative units; the remaining five represented city units. In addition, the number and size of these administrative units with no evaluation program were (1) six units (50%) with under 5,000 students, (2) three units (25%) with 5,001 to 10,000 students, (3) two units (17%) containing 10,001 to 20,000 students, and (4) one unit (8%) with more than 30,000 students. There were no units found in the 20,001 to 30,000 student population grouping.

#### Demographic Data of Chairpersons

The data gathering instrument used for the superintendents was also used with the chairpersons of school boards. Responses to item one, the type of administrative unit, showed that there were twenty-one county units and eleven city units; that is, sixty-six percent of the chairpersons in county units and thirty-four percent of the chairpersons in city units participated in this study.

The size of the administrative units as indicated in responses to item two revealed eleven units (34%) under 5,000 students, twelve units (38%) between 5,001 and 10,000 students, six units (19%) with 10,001 to 20,000 student population, four units (6%) having between 20,001 and 30,000 students, and one unit (3%) over 30,000 students. The type of evaluation conducted as shown by the responses to item three indicated that there were two units (6%)

with a formal evaluation based on predetermined standards, three units (10%) conducting a formal evaluation based on task performed, eighteen (56%) using an informal evaluation system, and nine units (28%) indicating that they did not use any type of evaluation program.

Responses to item four, where the evaluation is conducted, showed that seven units (30%) conducted the evaluation at regular board meetings, eleven (48%) in executive sessions, and five (22%) at other times as determined by the school board. The type of critique conducted after the evaluation showed in item five that there were fifteen units (65%) which hold a face-to-face oral critique, one unit (4%) prepared a written critique report, two units (9%) provided both oral and written critiques, and five units (22%) do not provide for any critiques.

Item six responses pertaining to the frequency of the evaluation indicated that twelve units (53%) conducted annual sessions, one unit (4%) used semi-annual sessions, one unit (4%) met more than twice a year, and nine units (39%) met as needed. Responses to item seven revealed that four units (18%) placed a copy of the evaluation report in the record file of the superintendent, eighteen units (78%) did not place a copy in the record file, and one unit (4%) was uncertain.

The first three items of the opinionnaire were responded to by thirty-two chairpersons of school boards. Nine of these chairpersons indicated in item three that no evaluation of superintendents was being conducted within their units. Of these nine chairpersons, six (67%) represented county administrative units and the remaining three (33%) represented city units. Also, the size of the administrative units that do not conduct any evaluation

program varied. There were four units (45%) with under 5,000 students, three units (33%) between 5,001 and 10,000 students, one unit (11%) containing 10,001 to 20,000 students, and one unit (11%) with over 30,000 students.

#### Total Responses of Superintendents to the Evaluation Process

The total responses of superintendents in items eight through sixteen are shown in Table 2.

#### Total Responses of Chairpersons to the Evaluation Process

The total responses of chairpersons in items eight through sixteen are shown in Table 3.

#### Procedures Used to Analyze Total Responses of Superintendents and Chairpersons

A comparative analysis of the responses made by superintendents and chairpersons will be presented for all statements (items)--eight through sixteen. In order to determine the data for comparison, the total responses received from superintendents and chairpersons were placed in one of three categories. Category I included the Strongly Agree and Agree responses which were considered to be positive (+) in their relationship to the competency of the superintendent. Category II included Disagree and Strongly Disagree responses which were considered to be negative (-) in their relationship to the competency of the superintendent. Category III included the Undecided responses which were considered to be neutral and not used in determining the comparative responses.



Table 2

Total Responses of Superintendents to the Evaluation Process

Statement	Strongly Agree (+)	Agree (+)	Undecided	Disagree (-)	Strongly Disagree (-)
The evaluation process used in the school system has improved the competency of the superintendent in school administration and organization					
a. Delegating authority effectively . . . . .	2	15	3	3	-
b. Establishing lines of responsibility . . . . .	4	15	1	3	-
c. Making prompt and sound decisions . . . . .	2	15	3	3	-
d. Recognizing and correcting needs of the school system . . . . .	4	16	2	1	-
e. Coordinating system resources . . . . .	2	14	5	2	-
f. Originating new approaches to problems . . . . .	4	12	5	1	1
g. Developing two-way communication with staff . . . . .	3	14	4	1	1
h. Developing and maintaining plans for the future . . . . .	4	15	2	2	-
i. Providing professional growth for staff and school personnel . . . . .	3	14	4	2	-
j. Treating staff and school personnel fairly while insisting on competent performance . . . . .	5	12	4	2	-
k. Nominating candidates for appointment to school staff and assigning personnel wisely . . . . .	5	14	1	2	1
The evaluation process used in the school system has improved the competency of the superintendent in curriculum and instructional leadership					
a. Improving the superintendent's understanding of the instructional program . . . . .	3	4	10	5	1

Table 2 (continued)

Statement	Strongly Agree (+)	Agree (+)	Undecided	Disagree (-)	Strongly Disagree (-)
b. Coordinating staff and community in curriculum development and improvement . . . . .	2	10	5	6	-
c. Implementing the system's philosophy of education . . . . .	6	13	3	1	-
d. Determining educational needs of the community . . . . .	4	13	4	2	-
e. Organizing an evaluative system for programs and personnel . . . . .	3	9	5	5	1
f. Exemplifying skills and attitudes of a master teacher and inspiring others to the highest professional standards . . . . .	2	11	7	3	-
The evaluation process used in the school system has improved the competency of the superintendent in business and financial management					
a. Keeping abreast of legislation pertaining to school finance . . . . .	8	6	5	2	2
b. Organizing structure for budget preparation . . . . .	6	9	4	3	1
c. Evaluating financial needs and making recommendations to the school board . . . . .	6	14	2	1	-
d. Organizing structure for proper spending, controlling, and accounting for money . . . . .	5	9	4	5	-
e. Establishing a maintenance program for school facilities, equipment, and transportation units . . . . .	4	13	4	2	-

Table 2 (continued)

Statement	Strongly Agree (+)	Agree (+)	Undecided	Disagree (-)	Strongly Disagree (-)
The evaluation process used in the school system has improved the competency of the superintendent in community relations					
a. Gaining respect and support of the community . . . . .	3	14	6	-	-
b. Participating in community life and affairs . . . . .	4	12	5	2	-
c. Interpreting school programs to all facets of the community . . . . .	4	13	6	-	-
d. Working effectively with public and private agencies . . .	3	15	3	2	-
e. Developing and operating an adequate school-community relations program . . . . .	4	8	9	2	-
f. Developing friendly and cooperative relationships with the news media . . . . .	5	10	5	3	-
The evaluation process used in the school system has improved relevant qualities in character and personality of the superintendent					
a. Maintaining high standards of ethics, honesty, and integrity . . . . .	3	7	5	6	2
b. Working well with individuals and groups . . . . .	2	14	3	3	1
c. Writing and speaking clearly and concisely . . . . .	2	4	6	9	2
d. Earning respect and standing among professional colleagues . . . . .	3	8	9	2	1
e. Ability to stimulate or motivate others to perform to their maximum capabilities . . . . .	2	11	6	2	2
f. Ability to recognize and deal effectively with different organizational changes such as legal structure, new clients, and new technology . . . . .	2	11	6	3	1

Table 2 (continued)

Statement	Strongly Agree (+)	Agree (+)	Undecided	Disagree (-)	Strongly Disagree (-)
The evaluation process used in the school system has improved the superintendent's relationship with the school board					
a. Keeping the board informed on issues, needs, and school affairs . . . . .	9	13	1	-	-
b. Interpreting the needs of the school system and offering professional advice to the school board . . . . .	6	16	1	-	-
c. Implementing and executing all policies adopted by the board . . . . .	6	13	4	-	-
d. Treating all board members alike . . . . .	5	9	7	1	1
e. Seeking and accepting constructive criticism from the board . . . . .	4	10	7	2	-
f. Maintaining harmonious relationship with school board . . . . .	6	13	4	-	-
g. Feeling free to oppose a matter under discussion prior to the board reaching a decision . . . . .	5	12	3	3	-
The evaluation process, as designed, is necessary for the improvement of the superintendent's competency . . . . .	5	7	6	5	-
The evaluation process, as designed, will make a major contribution in the future toward the improvement of the superintendent's competency . . . . .	3	8	6	6	-
Members of the school board have adequate knowledge and expertise to evaluate the superintendent's competency . . . . .	2	6	12	3	-

Table 3

Total Responses of Chairpersons to the Evaluation Process

Statement	Strongly Agree (+)	Agree (+)	Undecided	Disagree (-)	Strongly Disagree (-)
The evaluation process used in the school system has improved the competency of the superintendent in school administration and organization					
a. Delegating authority effectively . . . . .	2	20	1	-	-
b. Establishing lines of responsibility . . . . .	3	16	2	2	-
c. Making prompt and sound decisions . . . . .	5	16	2	-	-
d. Recognizing and correcting needs of the school system . . . . .	4	16	3	-	-
e. Coordinating system resources . . . . .	1	19	3	-	-
f. Originating new approaches to problems . . . . .	3	16	3	1	-
g. Developing two-way communication with staff . . . . .	4	14	2	3	-
h. Developing and maintaining plans for the future . . . . .	5	14	2	2	-
i. Providing professional growth for staff and school personnel . . . . .	4	15	4	-	-
j. Treating staff and school personnel fairly while insisting on competent performance . . . . .	4	14	4	1	-
k. Nominating candidates for appointment to school staff and assigning personnel wisely . . . . .	3	15	3	2	-
The evaluation process used in the school system has improved the competency of the superintendent in curriculum and instructional leadership					
a. Improving the superintendent's understanding of the instructional program . . . . .	4	10	9	-	-

Table 3 (continued)

Statement	Strongly Agree (+)	Agree (+)	Undecided	Disagree (-)	Strongly Disagree (-)
b. Coordinating staff and community in curriculum development and improvement . . . . .	3	11	9	-	-
c. Implementing the system's philosophy of education . . . . .	3	17	3	-	-
d. Determining educational needs of the community . . . . .	5	13	4	1	-
e. Organizing an evaluative system for programs and personnel . . . . .	3	12	5	3	-
f. Exemplifying skills and attitudes of a master teacher and inspiring others to the highest professional standards . . . . .	5	10	5	3	-
The evaluation process used in the school system has improved the competency of the superintendent in business and financial management					
a. Keeping abreast of legislation pertaining to school finance . . . . .	13	6	4	-	-
b. Organizing structure for budget preparation . . . . .	5	14	3	1	-
c. Evaluating financial needs and making recommendations to the school board . . . . .	7	13	2	1	-
d. Organizing structure for proper spending, controlling, and accounting for money . . . . .	6	13	2	2	-
e. Establishing a maintenance program for school facilities, equipment, and transportation units . . . . .	7	10	5	1	-

Table 3 (continued)

Statement	Strongly Agree (+)	Agree (+)	Undecided	Disagree (-)	Strongly Disagree (-)
The evaluation process used in the school system has improved the competency of the superintendent in community relations					
a. Gaining respect and support of the community . . . . .	5	12	4	2	-
b. Participating in community life and affairs . . . . .	4	16	3	-	-
c. Interpreting school programs to all facets of the community . . . . .	2	12	6	3	-
d. Working effectively with public and private agencies . . .	7	11	4	1	-
e. Developing and operating an adequate school-community relations program . . . . .	4	11	5	2	-
f. Developing friendly and cooperative relationships with the news media . . . . .	6	13	4	-	-
The evaluation process used in the school system has improved relevant qualities in character and personality of the superintendent					
a. Maintaining high standards of ethics, honesty, and integrity . . . . .	7	14	2	-	-
b. Working well with individuals and groups . . . . .	5	14	4	-	-
c. Writing and speaking clearly and concisely . . . . .	7	6	4	6	1
d. Earning respect and standing among professional colleagues . . . . .	8	11	4	-	-
e. Ability to stimulate or motivate others to perform to their maximum capabilities . . . . .	3	16	4	-	-
f. Ability to recognize and deal effectively with different organizational changes such as legal structure, new clients, and new technology . . . . .	4	14	4	1	-

Table 3 (continued)

Statement	Strongly Agree (+)	Agree (+)	Undecided	Disagree (-)	Strongly Disagree (-)
The evaluation process used in the school system has improved the superintendent's relationship with the school board					
a. Keeping the board informed on issues, needs, and school affairs . . . . .	13	9	1	-	-
b. Interpreting the needs of the school system and offering professional advice to the school board . . . . .	8	13	2	-	-
c. Implementing and executing all policies adopted by the board . . . . .	8	13	2	-	-
d. Treating all board members alike . . . . .	8	10	5	-	-
e. Seeking and accepting constructive criticism from the board . . . . .	8	11	3	1	-
f. Maintaining harmonious relationship with school board . . . . .	9	13	1	-	-
g. Feeling free to oppose a matter under discussion prior to the board reaching a decision . . . . .	5	15	3	-	-
The evaluation process, as designed, is necessary for the improvement of the superintendent's competency . . . . .	2	14	6	1	-
The evaluation process, as designed, will make a major contribution in the future toward the improvement of the superintendent's competency . . . . .	2	14	5	2	-
Members of the school board have adequate knowledge and expertise to evaluate the superintendent's competency . . . . .	4	16	2	1	-



By adding the responses of each category separately, the difference in totals between these two categories could be ascertained. Thus, the type of influence or attitude of any particular group could be determined. For example, the first line in Table 4 indicates that fourteen (61%) more superintendents agreed with the statement than disagreed while twenty-two (96%) more chairpersons agreed with the statement than disagreed. This example is an indication by the superintendents and chairpersons that the competency of the superintendent is improved according to the specific statement.

The following criteria were established in order to analyze the differences observed in the responses between superintendents and chairpersons to each statement or item and to assist in establishing a relationship between the type of influence found.

1. Marked difference denotes a difference of seven or more responses between categories and groups.
2. Slight difference denotes a difference of four to six responses between categories and groups.
3. No difference denotes a difference of three or less responses between categories and groups.

The researcher also established that a total of twelve (52%) or more responses by either the superintendents or the chairpersons for a particular statement would indicate the importance of the item in contributing to the competency of the superintendent.

Comparative Responses of Superintendents  
and Chairpersons to School Administration  
and Organization

In Table 4, comparative responses are presented as they pertain to School Administration and Organization. Marked differences in the responses were found in delegating authority effectively and making prompt and sound decisions. Slight differences were observed in the statements concerning coordinating system resources, originating new approaches, and providing professional growth for staff and school personnel. No differences were seen in the remaining responses. All responses indicated the importance of the items to the competency of the superintendent.

Comparative Responses of Superintendents  
and Chairpersons to Curriculum and  
Instructional Leadership

Comparative responses in relation to Curriculum and Instructional Leadership are presented in Table 5. Marked differences in responses are shown for improving the superintendent's understanding of the instructional program and coordinating staff and community in curriculum development and improvement. Slight differences are noted in organizing an evaluative system for programs and personnel. No differences were observed in the remaining responses.

Responses of superintendents identified implementing the system's philosophy of education and determining the educational needs of the community as being the important factors contributing to the competency of the superintendent. Chairpersons indicated all items in this section as major contributing factors to the competency of the superintendent.

Table 4  
 Analysis of Comparative Responses of Superintendents and  
 Chairpersons to School Administration and Organization

The Evaluation Process Used in the School System Has Improved the Competency of the Superintendent in School Administration/Organization	Superintendent Responses (N=23)		Chairperson Responses (N=23)	
	No.	%	No.	%
a. Delegating authority effectively	14	60.9	22	95.7
b. Establishing lines of responsibility . . . . .	16	69.6	17	73.9
c. Making prompt and sound decisions	14	60.9	21	91.3
d. Recognizing and correcting needs of the school system . . . . .	19	82.6	20	87.0
e. Coordinating system resources .	14	60.9	20	87.0
f. Originating new approaches . . .	14	60.9	18	78.3
g. Developing two-way communication with staff . . . . .	15	65.2	15	65.2
h. Developing and maintaining plans for the future . . . . .	17	73.9	17	73.9
i. Providing professional growth for staff and school personnel .	15	65.2	19	82.6
j. Treating staff and school personnel fairly while insisting on competent performance . . . .	15	65.2	17	73.9
k. Nominating candidates for appointment to school staff and assigning personnel wisely . . . . .	16	69.6	16	69.6

Table 5  
 Analysis of Comparative Responses of Superintendents and  
 Chairpersons to Curriculum and Instructional Leadership

The Evaluation Process Used in the School System Has Improved the Competency of the Superintendent in Curriculum/Instructional Leadership	Superintendent Responses (N=23)		Chairperson Responses (N=23)	
	No.	%	No.	%
a. Improving the superintendent's understanding of the instructional program . . . . .	1	4.3	14	60.9
b. Coordinating staff and community in curriculum development and improvement . . . . .	6	26.1	14	60.9
c. Implementing the system's philosophy of education . . . . .	18	78.3	20	87.0
d. Determining educational needs of the community . . . . .	15	65.2	17	73.9
e. Organizing an evaluative system for programs and personnel . . . . .	6	26.1	12	52.2
f. Exemplifying skills and attitudes of a master teacher and inspiring others to the highest professional standards . . . . .	10	43.5	12	52.2

Comparative Responses of Superintendents  
and Chairpersons Pertaining to Business  
and Financial Management

In Table 6, comparative responses are presented as they pertain to Business and Financial Management. Marked differences were observed in keeping abreast of legislation pertaining to school finance, organizing structure for budget preparation, and organizing structure for proper spending, controlling, and accounting for money. No differences were found in the remaining responses.

Superintendents identified evaluating financial needs and making recommendations to the school board and establishing a maintenance program for school facilities, equipment, and transportation units as contributing factors to the competency of the superintendent. Chairpersons, however, agreed that all five items were important toward the development of the superintendent's competency.

Comparative Responses of Superintendents  
and Chairpersons in Relation  
to Community Relations

Comparative responses in relation to Community Relations are presented in Table 7. One marked difference was observed in developing friendly and cooperative relationship with the news media. Slight differences were found in the responses pertaining to participating in community life and affairs and interpreting school programs to all facets of the community. There were no differences identified in the remaining responses. Responses by superintendents to the statement "interpreting school programs to all facets of the community," revealed more superintendents were in agreement than were the chairpersons. Up to this statement, more chair-

Table 6  
 Analysis of Comparative Responses of Superintendents and  
 Chairpersons to Business and Financial Management

The Evaluation Process Used in the School System Has Improved the Competency of the Superintendent in Business and Financial Management	Superintendent Responses (N=23)		Chairperson Responses (N=23)	
	No.	%	No.	%
a. Keeping abreast of legislation pertaining to school finance . . .	10	43.5	19	82.6
b. Organizing structure for budget preparation . . . . .	11	47.8	18	78.3
c. Evaluating financial needs and making recommendations to the school board . . . . .	19	82.6	19	82.6
d. Organizing structure for proper spending, controlling, and accounting for money . . . . .	9	39.1	17	73.9
e. Establishing a maintenance program for school facilities, equipment, and transportation units . .	15	65.2	16	69.6

Table 7  
 Analysis of Comparative Responses of Superintendents and  
 Chairpersons to Community Relations

The Evaluation Process Used in the School System Has Improved the Competency of the Superintendent in Community Relations	Superintendent Responses (N=23)		Chairperson Responses (N=23)	
	No.	%	No.	%
a. Gaining respect and support of the community . . . . .	17	73.9	15	65.2
b. Participating in community life and affairs . . . . .	14	60.9	20	87.0
c. Interpreting school programs to all facets of the community . . .	17	73.9	11	47.8
d. Working effectively with public and private agencies . . . . .	16	69.6	17	73.9
e. Developing and operating an adequate school-community relations program . . . . .	10	43.5	13	56.5
f. Developing friendly and cooperative relationships with the news media	12	52.2	19	82.6

persons had indicated a greater number of positive responses to the individual items than had the superintendents.

Superintendents identified five of the six statements as being important in the development of the superintendent's competency. The item dealing with developing and operating an adequate school-community relations program was not considered to be of sufficient importance to the superintendent's competency. In contrast, chairpersons agreed that all statements except the one concerned with interpreting school programs to all facets of the community were important to the development of the superintendent's competency.

Comparative Responses of Superintendents  
and Chairpersons to the Character and  
Personality of the Superintendents

Table 8 contains the responses of superintendents and chairpersons pertaining to the Character and Personality of the superintendent. Marked differences were noted in all six of the descriptive items. More chairpersons responded affirmatively to each statement than did the superintendents. Superintendents responded negatively to the statement concerning writing and speaking clearly and concisely, in contrast with the six more chairpersons who agreed than disagreed with the statement.

Responses of the superintendents indicated that the statement "working well with individuals and groups" was an important element of consideration in the development of the superintendent's competency. Chairpersons, on the other hand, identified five of the statements as important factors in developing the superintendent's competency. They did not accept



Table 8  
 Analysis of Comparative Responses of Superintendents and  
 Chairpersons to Character and Personality  
 of the Superintendent

The Evaluation Process Used in the School System Has Improved Relevant Qualities in Character and Personality of the Superintendent	Superintendent Responses (N=23)		Chairperson Responses (N=23)	
	No.	%	No.	%
a. Maintaining high standards of ethics, honesty, and integrity . . .	2	8.7	21	91.3
b. Working well with individuals and groups . . . . .	12	52.2	19	82.6
c. Writing and speaking clearly and concisely . . . . .	5	21.7	6	26.1
d. Earning respect and standing among professional colleagues . .	8	34.8	19	82.6
e. Ability to stimulate or motivate others to perform to their maximum capabilities . . . . .	9	39.1	19	82.6
f. Ability to recognize and deal effectively with different organizational changes such as legal structure, new clients, and new technology . . . . .	9	39.1	17	73.9

writing and speaking clearly and concisely as being of sufficient importance to help improve the superintendent's competency.

Comparative Responses of Superintendents  
and Chairpersons to the Relationship  
with the School Board

In Table 9, comparative responses of the superintendents and chairpersons are presented as they pertain to the Relationship with the School Board. Slight differences in the responses were noted in the items treating all board members alike, seeking and accepting constructive criticism from the board, and feeling free to oppose a matter under discussion prior to the board reaching a decision. No differences were observed in the remaining statements.

The responses from the superintendents and chairpersons indicated that all of the seven items in this section are considered to be important factors in the improvement of the superintendent's competency.

Comparative Responses of Superintendents  
and Chairpersons in Relation to the  
Necessity of the Evaluation Process

The comparative responses pertaining to the necessity of the evaluation in the present and in the future to improve the competency of the superintendent and whether the school board members have the ability to adequately evaluate the superintendent are presented in Table 10. Marked differences in the responses were shown in all three statements. Seven (30.4%) of the superintendents as compared with fifteen (65.2%) of the chairpersons agreed that the evaluation process, as it is presently designed, is necessary for the improvement of the superintendent's competency. Responses to the

Table 9  
 Analysis of Comparative Responses of Superintendents and  
 Chairpersons to Relationship with the School Board

The Evaluation Process Used in the School System Has Improved the Superintendent's Relationship With the School Board	Superintendent Responses (N=23)		Chairperson Responses (N=23)	
	No.	%	No.	%
a. Keeping the board informed on issues, needs, and school affairs	22	95.7	22	95.7
b. Interpreting the needs of the school system and offering professional advice to the school board . . . . .	22	95.7	21	91.3
c. Implementing and executing all policies adopted by the board . .	19	82.6	21	91.3
d. Treating all board members alike	12	52.2	18	78.3
e. Seeking and accepting constructive criticism from the board . . . .	12	52.2	18	78.3
f. Maintaining harmonious relationship with the school board . . . . .	19	82.6	22	95.7
g. Feeling free to oppose a matter under discussion prior to the board reaching a decision . . . .	14	60.9	20	87.0

Table 10  
 Analysis of Comparative Responses of Superintendents and  
 Chairpersons to the Necessity of the Evaluation  
 Process and the Knowledge and Expertise of  
 School Board Members

Statement	Superintendent Responses (N=23)		Chairperson Responses (N=23)	
	No.	%	No.	%
The evaluation process, as designed, is necessary for the improvement of the superintendent's competency . . .	7	30.4	15	65.2
The evaluation process, as designed, will make a major contribution to the future toward the improvement of the superintendent's competency . . . . .	5	21.7	14	60.9
Members of the school board have adequate knowledge and expertise to evaluate the superintendent's competency . . . . .	5	21.7	19	82.6

second statement indicated that five (21.7%) of the superintendents and fourteen (60.9%) of the chairpersons stated their agreement to the process contributing to the future improvement of the competency of the superintendent. Five (21.7%) superintendents and nineteen (82.6%) chairpersons agreed that members of the school board have adequate knowledge and expertise to evaluate the superintendent's competency. Responses of the chairpersons indicated that these three areas are considered to be important to the improvement of the superintendent's competency, in contrast to the perception of the superintendents.

Comparative Responses of Superintendents  
and Chairpersons of County and City  
Administrative Units

In Tables 11-17, the comparative responses of superintendents and chairpersons in county and city administrative units have been tabulated. The pattern developed in both types of administrative units indicated that the overall evaluation process, according to chairpersons, contributed more to the competency of the superintendents than is indicated by superintendents. Some of the differences recognized in the pattern of responses by superintendents are included for further study.

One statement in Table 11, pertaining to the development of two-way communication with the staff, indicated that thirteen more county superintendents agreed than disagreed while eight more county chairpersons expressed their agreement. The statement in Table 12 concerning the skills and attitudes of a master teacher and inspiring others to the highest professional standards followed the same general pattern by having a greater number of county superintendents agreeing with the statement than county chairpersons.

Table 11

Analysis of Comparative Responses of Superintendents and  
Chairpersons of County and City Administrative Units  
to School Administration and Organization

The Evaluation Process Used in the School System Has Improved the Com- petency of the Superintendent in School Administration/Organization	County		City	
	Superintendent Responses (N=15)	Chairperson Responses (N=15)	Superintendent Responses (N=7)	Chairperson Responses (N=8)
a. Delegating authority effectively .	11	15	5	8
b. Establishing lines of responsi- bility . . . . .	11	12	4	5
c. Making prompt and sound decisions	10	15	4	6
d. Recognizing and correcting needs of the school system . . . . .	12	13	6	7
e. Coordinating system resources . .	10	13	5	7
f. Originating new approaches . . . .	11	12	4	6
g. Developing two-way communication with staff . . . . .	13	8	3	7
h. Developing and maintaining plans for the future . . . . .	11	12	5	5
i. Providing professional growth for staff and school personnel . . . . .	12	12	3	7
j. Treating staff and school personnel fairly while insisting on competent performance . . . . .	10	12	5	5
k. Nominating candidates for appoint- ment to school staff and assigning personnel wisely . . . . .	13	12	4	4

Table 12

Analysis of Comparative Responses of Superintendents and  
Chairpersons of County and City Administrative Units  
to Curriculum and Instructional Leadership

The Evaluation Process Used in the School System Has Improved the Com- petency of the Superintendent in Curriculum/Instructional Leadership	County		City	
	Superintendent Responses (N=15)	Chairperson Responses (N=15)	Superintendent Responses (N=7)	Chairperson Responses (N=8)
a. Improving the superintendent's understanding of the instruc- tional program . . . . .	2	11	-	3
b. Coordinating staff and community in curriculum development and improvement . . . . .	4	11	1	3
c. Implementing the system's philos- ophy of education . . . . .	14	14	3	6
d. Determining educational needs of the community . . . . .	10	12	4	5
e. Organizing an evaluative system for programs and personnel . . . . .	8	8	-1	4
f. Exemplifying skills and attitudes of a master teacher and inspiring others to the highest professional standards . . . . .	10	8	-	4

In Table 13 the responses to the statement dealing with establishing a maintenance program for school facilities, equipment, and transportation units also indicated that eleven more county superintendents agreed than disagreed even though there were ten county chairpersons in agreement.

In the area of Community Relations (Table 14), three of the six responses by county superintendents indicated the evaluation process contributed more to the competency of the superintendent than was expressed by the county chairpersons. An analysis of the responses in Table 15 to the statement pertaining to high standards of ethics, honesty, and integrity showed that only two more county superintendents agreed with the statement than disagreed. However, fourteen more county chairpersons perceived this statement as an important factor toward development of the superintendent's competency.

In addition, the statement pertaining to high standards of ethics, honesty, and integrity was one of three statements within the study that had any significance level according to the chi square technique. The chi square value was 13.21904 with four degrees of freedom; it was significant at the .01 level. Even though the significance level indicated a rejection of the statement, this may not be the situation due to the fact that two of the five choice cells for the statement did not receive any responses.

The responsibility which dealt with the relationship of the superintendent to the school board (Table 16) contained one statement which county superintendents considered to be of greater importance to the competency of the superintendent than perceived by the county chairpersons. Table 17 was unique in one respect; it did not show any responses for the city superin-



Table 13

Analysis of Comparative Responses of Superintendents and  
Chairpersons of County and City Administrative Units  
to Business and Financial Management

The Evaluation Process Used in the School System Has Improved the Competency of the Superintendent in Business and Financial Management	County		City	
	Superintendent	Chairperson	Superintendent	Chairperson
	Responses (N=15)	Responses (N=15)	Responses (N=7)	Responses (N=8)
a. Keeping abreast of legislation pertaining to school finance . . .	8	12	3	7
b. Organizing structure for budget preparation . . . . .	8	11	4	7
c. Evaluating financial needs and making recommendations to the school board . . . . .	12	13	6	6
d. Organizing structure for proper spending, controlling, and accounting for money . . . . .	7	13	3	4
e. Establishing a maintenance program for school facilities, equipment, and transportation units . . . . .	11	10	5	6

Table 14

Analysis of Comparative Responses of Superintendents and  
Chairpersons of County and City Administrative Units  
to Community Relations

The Evaluation Process Used in the School System Has Improved the Competency of the Superintendent in Community Relations	County		City	
	Superintendent Responses (N=15)	Chairperson Responses (N=15)	Superintendent Responses (N=7)	Chairperson Responses (N=8)
a. Gaining respect and support of the community . . . . .	13	8	4	7
b. Participating in community life and affairs . . . . .	11	13	2	7
c. Interpreting school programs to all facets of the community . . .	11	5	5	6
d. Working effectively with public and private agencies . . . . .	13	10	4	7
e. Developing and operating an adequate school-community relations program . . . . .	9	9	1	3
f. Developing friendly and cooperative relationships with the news media	11	13	2	6

Table 15

Analysis of Comparative Responses of Superintendents and  
Chairpersons of County and City Administrative Units  
to Character and Personality of the  
Superintendent

The Evaluation Process Used in the School System Has Improved Relevant Qualities in Character and Person- ality of the Superintendent	County		City	
	Superintendent Responses (N=15)	Chairperson Responses (N=15)	Superintendent Responses (N=7)	Chairperson Responses (N=8)
a. Maintaining high standards of ethics, honesty, and integrity . .	2	14	1	7
b. Working well with individuals and groups . . . . .	9	12	4	7
c. Writing and speaking clearly and concisely . . . . .	-4	6	-	1
d. Earning respect and standing among professional colleagues . .	6	13	3	6
e. Ability to stimulate or motivate others to perform to their maximum capabilities . . . . .	9	12	1	7
f. Ability to recognize and deal effectively with different organi- zational changes such as legal structure, new clients, and new technology . . . . .	6	11	4	6

Table 16

Analysis of Comparative Responses of Superintendents and  
Chairpersons of County and City Administrative Units  
to Relationship with the School Board

The Evaluation Process Used in the School System Has Improved the Super- intendent's Relationship With the School Board	County		City	
	Superintendent Responses (N=15)	Chairperson Responses (N=15)	Superintendent Responses (N=7)	Chairperson Responses (N=8)
a. Keeping the board informed on issues, needs, and school affairs	15	15	6	7
b. Interpreting the needs of the school system and offering pro- fessional advice to the school board . . . . .	15	14	6	7
c. Implementing and executing all policies adopted by the board . .	13	14	6	7
d. Treating all board members alike	10	11	3	7
e. Seeking and accepting constructive criticism from the board . . . .	9	12	3	6
f. Maintaining harmonious relation- ship with the school board . . .	12	15	6	7
g. Feeling free to oppose a matter under discussion prior to the board reaching a decision . . . . .	12	14	2	6

Table 17

Analysis of Comparative Responses of Superintendents and  
 Chairpersons of County and City Administrative Units  
 to the Necessity of the Evaluation Process and  
 the Knowledge and Expertise of  
 School Board Members

Statement	County		City	
	Superintendent Responses (N=15)	Chairperson Responses (N=15)	Superintendent Responses (N=7)	Chairperson Responses (N=8)
The evaluation process, as designed, is necessary for the improvement of the superintendent's competency . . .	8	10	-	5
The evaluation process, as designed, will make a major contribution in the future toward the improvement of the superintendent's competency . . . . .	6	10	-	4
Members of the school board have adequate knowledge and expertise to evaluate the superintendent's competency . . . . .	4	14	-	5

tendents to the three statements presented. This was due apparently to the number of positive responses being the same as the number of negative responses to each statement.

The last statement presented in Table 17, which is concerned with the knowledge and expertise of the school board members to evaluate the competency of the superintendent, was found to be significant from two different aspects. Analyzing the responses to the statement by using the chi square technique based on the type administrative position, it was determined that the value of chi square was 13.35498 with three degrees of freedom; it was significant at the .01 level. Also, when analyzing the responses to this statement by type administrative unit, it was found that the county unit had a chi square value of 10.5000 with three degrees of freedom; it was significant at the .01 level, indicating a rejection of this statement.

#### Comparative Responses of Superintendents and Chairpersons in Relation to Student Population in Administrative Units

The responses were analyzed on the basis of student population; however, the data showed no pattern of responses in relation to student population.

#### Comparative Responses of Superintendents and Chairpersons Using Formal and Informal Evaluation Processes

The responses were analyzed on the basis of formal and informal evaluations being conducted in the administrative units of the participating superintendents and chairpersons. No pattern of responses was observed from the data collected.

Comparative Responses of Superintendents  
and Chairpersons Based on Where the  
Evaluation was Being Conducted

The data collected showed no pattern of responses in relation to the type of meetings where the evaluation of the superintendent was conducted by the school board.

Comparative Responses of Superintendents  
and Chairpersons According to the  
Frequency of the Evaluation Meetings

No pattern of responses was observed from the data collected.

Present and Future Need  
for an Evaluation Program

In the data received from superintendents, seven more agreed than disagreed that the evaluation process, as designed, was necessary for the improvement of the superintendent's competency. Chairpersons indicated that fifteen more agreed than disagreed with this statement. In regard to the evaluation process, as designed, making a major contribution in the future to the competency of the superintendent, five more superintendents agreed than disagreed while fourteen more chairpersons agreed than disagreed.

Knowledge and Expertise of the School  
Board Members to Evaluate the  
Superintendent

In response to the statement that school board members have adequate knowledge and expertise to conduct an evaluation of the competency of the superintendent, nineteen more chairpersons agreed than disagreed, in contrast to five superintendents agreeing.

Combined Responses of Superintendents  
and Chairpersons in Relation to  
Effectiveness of the Evaluation Process

Of the total forty-four statements concerned with the improvement of the superintendent's competency, twenty-eight (63.6%) statements were recognized by superintendents as contributing factors in development of the superintendent's competency. In contrast however, the consensus of the chairpersons was that forty-two (95.5%) statements contributed to the development of the competency of superintendents.

The combined responses of superintendents and chairpersons indicated that thirty-seven (84.1%) of the forty-four statements contributed to the improvement of the superintendent's competency.



## CHAPTER V

### SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

#### SUMMARY

The purpose of this study was to determine the effectiveness of the evaluation process used by school boards in the North Carolina Public School System to evaluate the performance of their respective superintendents as reflected by the perception of the superintendents and chairpersons of school boards. More specifically, the study was oriented toward the following four questions:

1. What procedures are being used to evaluate superintendents?
2. What is the attitude of the superintendent and chairperson of the school board toward the need for an evaluation of the superintendent's performance?
3. What effect has the evaluation process had in improving the competency of the superintendent as perceived by both the chairperson of the school board and the superintendent?
4. What effect has the evaluative program had in helping to develop a better understanding and closer relationship between the superintendent and school board?

The study of the degree of effectiveness that the evaluation process has on improving the superintendent's competency as perceived by the superintendent and chairperson is founded in the following basic assumptions:

1. A variety of instruments are used to make assessments of the superintendent's performance.

2. Chairpersons of school boards believe the evaluation process improves the competency of superintendents to a greater degree than is recognized by the superintendents.
3. Chairpersons of school boards believe the evaluation process in the future will be of more value in improving the competency of superintendents than is believed by the superintendents.
4. Chairpersons of school boards believe that the need exists for evaluation of superintendents to a greater degree than is believed by the superintendents.
5. There is no significant difference in the opinions of the chairpersons of school boards and superintendents in the effect of the evaluation process on the closeness of the relationship between the school board and superintendent.

Following a review of the related literature, an opinionnaire was prepared for distribution to superintendents and chairpersons of school boards from forty-six randomly selected school administrative units in North Carolina. Of the forty-six units, thirty-one were identified as county and fifteen were identified as city units to participate in the study. The data obtained from these sources were compiled and analyzed.

Based upon an analysis of the data generated by the letter of introduction, by the opinionnaire, and by the follow-up letter, the following findings are reported:

1. Thirty-one of the forty-six randomly selected administrative units were represented in the study by both their chairperson and superintendent.

2. Thirty-five superintendents and thirty-two chairpersons responded to the opinionnaire.

3. The data revealed that 54-56 percent of the administrative units use informal evaluation procedures, 9-10 percent of the units use a formal evaluation based on task performed, 3-6 percent use a formal evaluation based on predetermined standards, and 28-34 percent of the administrative units do not evaluate the superintendent.

4. Evaluation of the superintendent normally occurs annually in an executive session in more than 50 percent of the administrative units.

5. Critiques of evaluation of the superintendent are mainly face-to-face meetings without any written report or record being prepared.

6. Seventy-eight percent of the administrative units do not maintain any record of the evaluation of the superintendents.

7. Of the eleven items on the opinionnaire describing the functions of the superintendent in the area of School Administration and Organization, superintendents and chairpersons responded with marked differences on two of the items, slight differences on three items, and with no difference on six items. Superintendents and chairpersons did indicate the evaluation process made an important contribution to the superintendent's competency in all eleven items in this area.

8. Of the six items on the opinionnaire describing the functions of the superintendent in the area of Curriculum and Instructional Leadership, superintendents and chairpersons responded with marked differences on two of the items, slight differences on one item, and no differences on three items. Superintendents indicated the evaluation process made an important contribution to the superintendent's competency in the areas of

implementing the system's philosophy of education and determining the educational needs of the community. Chairpersons identified all six areas as being important in the development of the competency of the superintendent.

9. Of the five items on the opinionnaire describing the functions of the superintendent in the area of Business and Financial Management, superintendents and chairpersons responded with marked differences on three items and with no differences on two items. Superintendents indicated the evaluation process made an important contribution to the superintendent's competency in the areas of evaluating financial needs and establishing a maintenance program. Chairpersons agreed that all five of the items were important to the improvement of the superintendent's competency.

10. Of the six items on the opinionnaire describing the functions of the superintendent in the area of Community Relations, superintendents and chairpersons responded with marked differences on one of the items, slight differences on two items, and no differences on three items. Superintendents indicated five of the six items as contributing factors in the improvement of the superintendent's competency. The item concerning the development of a school-community relations program was excluded. Chairpersons recognized five of the six items as being important, omitting interpreting the school program to all facets of the community.

11. Of the six items on the opinionnaire describing the functions of the superintendent in regards to Character and Personality of the Superintendent, marked differences in the responses between the superintendents and chairpersons were observed in all six of the items. Superintendents identified one area, working well with individuals and groups, as an important factor in the development of the superintendent's competency. Chair-

persons identified five of the six items as being important, but writing and speaking clearly and concisely was excluded.

12. Of the seven items on the opinionnaire describing the functions of the superintendent concerning Relationship with the School Board, superintendents and chairpersons responded with slight differences on three items and with no differences on four of the items. Responses of the chairpersons and superintendents indicated the evaluation process made an important contribution to the competency of superintendents in all seven items.

13. In response to the item which indicated the members of the school board had adequate knowledge and expertise to conduct an evaluation of the superintendent's competency, more chairpersons concurred than did superintendents. Nineteen more chairpersons agreed than disagreed while only five more superintendents agreed than disagreed.

14. More chairpersons concurred that the evaluation process for the superintendent contributed more to the competency of the superintendent than was perceived by the superintendents.

15. More chairpersons agreed that the evaluation process will make a major contribution in the future toward improving the competency of the superintendent than was perceived by the superintendents.

16. Superintendents identified twenty-eight of the forty-four items on the opinionnaire as important contributing factors to the improvement of the superintendent's competency.

17. Chairpersons identified forty-two of the forty-four items on the opinionnaire as important contributing factors in the improvement of the competency of the superintendent.

18. The study indicated that the smaller the administrative unit the more likely it will have an informal evaluation program.

19. No single area of administrative responsibility could be identified in which the competency of the superintendent appeared to improve due to the evaluation.

20. The data revealed no pattern of responses between the superintendents and chairpersons in relation to student population, formal and informal evaluation procedures, frequency of evaluation, location, and type of critique.

21. The combined responses of all chairpersons and superintendents identified thirty-seven of the forty-four items on the opinionnaire describing the functions of the superintendent as important factors in development of the superintendent's competency.

#### CONCLUSIONS

The conclusions of this study, based on the findings, indicate:

1. Formal evaluation of the superintendent is conducted in less than 20 percent of the administrative units in North Carolina.

2. Informal evaluation of the superintendent by school boards is conducted in more than 50 percent of the administrative units.

3. Twenty-five percent of the administrative units do not evaluate the superintendent.

4. Evaluation of the superintendent usually occurs annually in an executive session with other members of the school board present.

5. Superintendents are not in complete agreement with chairpersons that members of the school board possess sufficient knowledge and expertise to evaluate the superintendent's competency.

6. The evaluation process is important to the development of the competency of the superintendent.

7. The future value of the evaluation process is important in the development of the superintendent's competency.

8. Superintendents do not perceive measuring character and personality of the superintendent as an important factor for improving the superintendent's competency.

9. An evaluation instrument for use by school boards with superintendents should include areas important and relative to the role the superintendent is performing.

10. Functional areas of responsibility of the superintendent were identified from the data collected as school administration and organization, curriculum and instructional leadership, business and financial management, community relations, and relationship with the school board. Based on the comments from the study, character and personality of the superintendent were removed from consideration as part of any proposed model evaluation instrument.

## RECOMMENDATIONS

Based on the findings and conclusions drawn from this study, the investigator would recommend that:

1. Evaluation of the competency of the superintendent should be conducted by the school board.

2. The evaluation process should be designed for the purpose of improving the competency of the superintendent.

3. Members of the school board should review existing evaluation policies and procedures and make revisions as needed in relation to the changing responsibilities of the superintendent.

4. Educational programs should be designed to train members of the school board to evaluate the competency of the superintendent and should be mandatory for any newly elected or appointed member of the school board.



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APPENDIXES

APPENDIX A

Opinionnaire for Superintendents and Chairpersons

## OPINIONNAIRE FOR SUPERINTENDENTS AND CHAIRPERSONS

### A Study of the Evaluation Process of School Superintendents in North Carolina

This survey instrument has been designed to collect opinions about the effectiveness of the evaluation process of the school superintendent in the local school system as perceived by the superintendent and the chairperson of the school board. No attempt will be made by this survey to identify the responses of any participants. The right to personal privacy will be respected.

PLEASE CHECK THE CATEGORY WHICH BEST DESCRIBES YOUR ORGANIZATION.

1. Type of administrative unit.

a. County                       b. City                       c. Other

2. Size of the school district.

a. Under 5,001 students                       d. 20,001 to 30,000 students  
 b. 5,001 to 10,000 students                       e. Over 30,000 students  
 c. 10,001 to 20,000 students

3. Which type evaluation best describes the one used in your school system?

a. Formal evaluation based on predetermined standards  
 b. Formal evaluation based on task performed  
 c. Informal evaluation  
 d. No evaluation conducted

4. Evaluation is conducted.

a. At regular board meetings                       c. At a special board meeting  
 b. In an executive session                       d. Other (specify) \_\_\_\_\_



STATEMENT	STRONGLY AGREE	AGREE	UNDECIDED	DISAGREE	STRONGLY DISAGREE
e. Coordinating system resources . . . . .					
f. Originating new approaches to problems . . . . .					
g. Developing two-way communication with staff . . . . .					
h. Developing and maintaining plans for the future . . . . .					
i. Providing professional growth for staff and school personnel . . . . .					
j. Treating staff and school personnel fairly while insisting on competent performance . . . . .					
k. Nominating candidates for appointment to school staff and assigning personnel wisely . . . . .					
9. The evaluation process used in the school system has improved the competency of the superintendent in Curriculum and Instructional Leadership as follows:					
a. Improving the superintendent's understanding of the instructional program . . . . .					
b. Coordinating staff and community in curriculum development and improvement . . . . .					
c. Implementing the system's philosophy of education . . . . .					
d. Determining educational needs of the community . . . . .					

STATEMENT	STRONGLY AGREE	AGREE	UNDECIDED	DISAGREE	STRONGLY DISAGREE
e. Organizing an evaluative system for programs and personnel . . . . .					
f. Exemplifying skills and attitudes of a master teacher and inspiring others to the highest professional standards . . . . .					
10. The evaluation process used in the school system has improved the competency of the superintendent in Business and Financial Management as follows:					
a. Keeping abreast of legislation pertaining to school finance . . . . .					
b. Organizing structure for budget preparation . . . . .					
c. Evaluating financial needs and making recommendations to the school board . . . . .					
d. Organizing structure for proper spending, controlling, and accounting for money . . . . .					
e. Establishing a maintenance program for school facilities, equipment, and transportation units . . . . .					



STATEMENT	STRONGLY AGREE	AGREE	UNDECIDED	DISAGREE	STRONGLY DISAGREE
11. The evaluation process used in the school system has improved the competency of the superintendent in Community Relations as follows:					
a. Gaining respect and support of the community . . . .					
b. Participating in community life and affairs . . . .					
c. Interpreting school programs to all facets of the community . . . . .					
d. Working effectively with public and private agencies . . . . .					
e. Developing and operating an adequate school-community relations program . . . . .					
f. Developing friendly and cooperative relationships with the news media . . . . .					
12. The evaluation process used in the school system has improved relevant qualities in Character and Personality of the superintendent as follows:					
a. Maintaining high standards of ethics, honesty, and integrity . . . . .					
b. Working well with individuals and groups . . . . .					
c. Writing and speaking clearly and concisely . . . . .					

STATEMENT	STRONGLY AGREE	AGREE	UNDECIDED	DISAGREE	STRONGLY DISAGREE
d. Earning respect and standing among professional colleagues . . . . .					
e. Ability to stimulate or motivate others to perform to their maximum capabilities . . . . .					
f. Ability to recognize and deal effectively with different organizational changes such as legal structure, new clients, and new technology . . . . .					
13. The evaluation process used in the school system has improved the superintendent's Relationship with the School Board as follows:					
a. Keeping the board informed on issues, needs, and school affairs . . . . .					
b. Interpreting the needs of the school system and offering professional advice to the school board . . . . .					
c. Implementing and executing all policies adopted by the board . . . . .					
d. Treating all board members alike . . . . .					
e. Seeking and accepting constructive criticism from the board . . . . .					

STATEMENT	STRONGLY AGREE	AGREE	UNDECIDED	DISAGREE	STRONGLY DISAGREE
f. Maintaining harmonious relationship with school board . . . . .					
g. Feeling free to oppose a matter under discussion prior to the board reaching a decision . . . . .					
14. The evaluation process, as designed, is necessary for the improvement of the superintendent's competency . . . . .					
15. The evaluation process, as designed, will make a major contribution in the future toward the improvement of the superintendent's competency . . . . .					
16. Members of the school board have adequate knowledge and expertise to evaluate the superintendent's competency . . . . .					

17. If there are any other comments you may wish to make concerning the evaluation process of school superintendents, indicate below:

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18. If you would be interested in receiving a summary of this study, please provide the following information:

Name \_\_\_\_\_ Title \_\_\_\_\_ Address \_\_\_\_\_

REMINDER: MAIL OPINIONNAIRE TO HENRY S. GRILL, ROUTE 2, BOX 291, VALDESE, NC 28690 IN THE PRE-ADDRESSED POSTAGE-PAID ENVELOPE BY JANUARY 27, 1978. THANK YOU FOR YOUR COOPERATION.

>

APPENDIX B

Letter of Introduction

THE UNIVERSITY OF NORTH CAROLINA  
AT GREENSBORO

School of Education

January 11, 1978

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Dear \_\_\_\_\_

Your school administrative unit has been selected to participate in a study of the evaluation process of school superintendents in North Carolina. This statewide study will be conducted under the supervision of Dr. Joseph E. Bryson, Professor, Graduate School of Education, The University of North Carolina at Greensboro. The purpose of the study is to collect opinions of superintendents and chairpersons of school boards in North Carolina.

An opinionnaire is enclosed for your perusal and completion. It should take only a few minutes to complete, and the responses received from superintendents and chairpersons will not be individually identified. Your right to personal privacy will be respected. A pre-addressed postage-paid envelope is enclosed for your convenience in returning the completed opinionnaire by January 27, 1978.

A summary of the study will be available to each participant who completes and returns the opinionnaire. Thanks for your participation and assistance in the completion of this study.

Sincerely yours

Henry S. Grill

Enclosures: Opinionnaire  
Envelope

APPENDIX C

Follow-Up Letter

THE UNIVERSITY OF NORTH CAROLINA  
AT GREENSBORO

School of Education

January 28, 1978

R-E-M-I-N-D-E-R

EVALUATION PROCESS OPINIONNAIRE

HAVE YOU FORGOTTEN? If you have not completed and returned the opinionnaire we sent to you recently, will you please do so now. We need your assistance and cooperation very much to help us make the study a success.

If the completed opinionnaire is on its way, please disregard this evidence of our eagerness to have your responses to the statements. Another opinionnaire and pre-addressed postage-paid return envelope are enclosed for your consideration.

Sincerely yours

Henry S. Grill

Enclosures: Opinionnaire  
Envelope