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A STUDY OF SELF AND DIRECT REPORT PERCEPTIONS OF THE SKILLS AND PERFORMANCE COMPETENCIES IMPORTANT FOR SUPERINTENDENT EFFECTIVENESS

by

Sandra Jessee Hood

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HOOD, SANDRA JESSEE, Ph.D. A Study of Self and Direct Report Perceptions of the Skills and Performance Competencies Important for Superintendent Effectiveness. (1996) Directed by Dr. Dale Brubaker and Dr. John Hattie. 186 pp.

The major purpose of this study was to determine superintendent effectiveness as perceived by direct reports and superintendents. The relationship between the perceived effectiveness, determined by the researcher's superintendent effectiveness questionnaire, was compared to the Center for Creative Leadership's (CCL) Benchmarks® assessment of leadership skills important to the success of executive leaders. The author developed superintendent effectiveness questionnaire was based on the eight professional standards established in 1993 by the American Association of School Administrators.

The population for this study was defined as 59 Ohio public school superintendents and their direct reports who participated in the 1995 leadership development program conducted by CCL in Greensboro, North Carolina. CCL granted permission to utilize this data base and Benchmarks® data were downloaded for use in this study. The researcher's superintendent effectiveness measure was mailed to 54 Ohio superintendents who agreed to participate in the effectiveness research. These 54 superintendent's were instructed to self report on their effectiveness, and have the same five direct report's who completed the Benchmarks® survey to also complete the effectiveness instrument. All

effectiveness questionnaires were returned directly to this researcher. A useable effectiveness return of 47 superintendent questionnaires and 224 matching direct report responses was received.

Statistical analyses for this study utilized descriptive statistics, alpha reliability for the measurement scales, exploratory and confirmatory factor analyses, and structural equation modeling to analyze the perceived relationships between superintendent effectiveness and leadership skills. Conclusions from the study present measurement models which indicate that superintendents and their direct reports view leadership and effectiveness as two major constructs. Results of the structural equation models indicate there is no relationship between these leadership skills and the effectiveness measures.

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CHAPTER I

INTRODUCTION

The Role of the School Superintendent

Hoyle (1993) contends that "to a great extent, the quality of America's schools depends on the effectiveness of school superintendents" (p. 1). The publication of A Nation at Risk: The Imperative for Educational Reform (1983), and similar educational commission reports, have created increased pressure on these administrators to be accountable for their schools' effectiveness.

The effective schools movement originally concentrated on the principal's responsibility to improve student achievement. Schlechty states that by 1985 the Boards of Education and the superintendency were the primary agents accountable for school performance and that their accountability rested on measures such as test scores, the expenditure of funds, adequate facilities, and the hiring of suitable personnel. At that time, a need for research on effective school superintendents was recognized and pursued only to a limited degree. Public apprehension about the school superintendent's ability to create effective schools remains a critical issue today largely because only limited research regarding the skills and competencies of

superintendents has been offered to answer the public's concerns associated with superintendents' effectiveness (Hoyle, 1988; Murphy & Hallinger, 1986).

The professional administrative role of the public school superintendent brings with it accountability for effective educational programs. The superintendent has become the individual most susceptible to public criticism and attention by the press. Accountability measures, such as balanced budgets and schools' test performance also serve as measures by which to criticize the superintendent's performance. Not surprisingly, an exodus from top school leadership has resulted from such increased public pressure (Bradley, 1990; Brubaker, 1994; Glass, 1992; Renchler, 1992).

The movement in educational administration to create a new type of leader has also shaped the role of the school superintendent. Wesson (1993) notes that two powerful reform movements are presently occurring in educational administration: 1) the reconceptualization of the public school structure away from central control to shared governance (Langlois & McAdams, 1992), and 2) the paradigm shift to a more collaborative consensus building style of leadership (Aburdene & Naisbitt, 1990, 1992; Capper, 1993; Covey, 1989). Superintendents are no longer simply the "managers" in charge of the school district.

Because of the positional power they hold in their

districts, school superintendents also play a critical role in the reconceptualization of leadership in educational settings. Although contradictory to the concepts of shared governance and collaborative leadership, the superintendent is still viewed as the chief executive officer (CEO) of the school system (Glass, 1992). At the same time, however, the changing educational structures have created the imperative that the district school superintendent is a "change agent", placing her/him in a tranformational role (Glass, 1992).

Konnert and Augenstein (1990) refer to transformational leadership as an emerging, holistic, creative, and promising approach to superintendent leadership. They depict the transformational leader as a risk-taker who challenges old ways of thinking. Konnert and Augenstein further describe a transformational leader as "having a vision of what the school system can be and motivating all associated with the system to have pride in the system and to achieve more than they thought possible for the good of the system" (p. 74). Glass concurs -

> No definite answers have emerged as to who will develop educational policy and who will control schools in the 1990s. If school boards and superintendents are to retain their leadership, they must be open to significant change in areas such as board training and superintendent preparation-and they must examine whether their current roles and behaviors are consistent with the needs of school systems of the 21st century (Glass, 1992, p. 4).

Such lack of consensus about a superintendent's job

responsibilities makes assessing a superintendent's effectiveness difficult. Legislators and educators have only recently begun to address this question by looking for methods to develop effective superintendents (Hoyle,1989).

Studies have determined that skill development is basic to the growth of professional administrators. Griffiths' (1966) model of the superintendent's responsibilities connects human, technical, and conceptual skills with job functions. The American Association of School Administrators (AASA) has published several works that address common skills and professional standards of superintendents. These publications include AASA's Guidelines for the Preparation of School Administrators (1982) and the most recent Professional Standards for the Superintendency (1993). The latter set of standards provides the conceptual base for the instrument developed to determine superintendent effectiveness in this study.

Valid assessment of superintendent skills is important for administrative training and development programs, for professional leadership development plans, and as guidelines for the selection and evaluation of the superintendent's effectiveness. This study identifies skills important to the success of Ohio superintendents using the Center for Creative Leadership's (CCL) assessment instrument Benchmarks®.

Definition of Terms

The following descriptions of terms are relevant to ideas regarding superintendent effectiveness and leadership skills. The definitions used for this study are as follows:

1. American Association of School Administrators (AASA) - AASA is a national professional organization for school administrators. The organization undertakes research related to the training and development of the school superintendent.
2. Assessment - For the purposes of this study, assessment refers to the process of using a survey instrument designed to determine the strengths and weaknesses of the participants leadership skills. Assessment is used to specify areas of needed professional growth (Elsaesser, 1990).
3. Benchmarks® - Benchmarks® is a copyrighted instrument developed by The Center for Creative Leadership as a multi-rater feedback tool for assessing the skills and perspectives of managers and executives.
4. Board of Education - The school board is the publicly elected or appointed governing agency for the district's schools.
5. Center for Creative Leadership (CCL) - CCL is "an international, nonprofit educational institution dedicated to developing the effectiveness of leaders and teams from many different environments" (CCL brochure,

1993). Headquarters for the CCL is located in Greensboro, North Carolina.

6. Direct Reports - For the purposes of this study, "direct reports" are subordinates such as central office administrators and school principals who are responsible to the superintendent for their job performance.
7. Leadership - Argyris's (1976) definition of leadership as "effective influence," although brief, is the most applicable for superintendents in this study.
8. Skills - The term skills is used to refer to the learned behavior used to accomplish effectively the tasks required of school superintendents. This study primarily concentrates on the 16 skills and perspectives identified by CCL as necessary for effective leaders (see pages 72-77 ,Table I - III for a list of these 16 skills). CCL combines the terms skills and perspectives to imply that some items like "balance between work and life" involve one's skills but include personal values and beliefs as well.
9. Superintendent - "The superintendent is the public school district's chief executive officer and its chief administrator. Most administrators are appointed by the local board of education and are responsible for administering the policies established by the board" (Robinson & Bickers, 1990).

10. Superintendent Effectiveness - In this study the effectiveness ratings, indicated by the superintendent and her/his direct reports in response to the "Superintendent Effectiveness Questionnaire" (based on AASA performance standards), are used to determine the effectiveness of superintendents.

Effective Leadership Assumptions

Before identifying the skills important for superintendent effectiveness, certain principles are basic to a leader's success. Listed below are five assumptions underlying the effectiveness of school leaders:

1. Leaders must have the ability to create change (Buskin & Bassis, 1985; Glass, 1992; Smith & Piele, 1989; Wesson, 1993).
2. Vision (sense of purpose, point of view, directed goals) is a prerequisite for leaders (Barker,1993; Bennis, 1989; Brubaker, 1994; Bryson, 1993; Hesburgh, 1988; Smith & Piele, 1989; Kotter,1988).
3. Effective leaders communicate a language of outcomes (Bogue, 1992; Hattie, 1992).
4. Assessment is a valid tool for developing successful leaders (CCL, 1994; Guskin & Bassis, 1985; NASSP cited in Lunenberg & Ornstein, 1991; Elsaesse, 1990; Douglas & Johnson, 1986).

5. Effective leaders learn from a variety of challenging experiences which include challenging assignments, learning from others, hardships, and other events (McCall, Lombardo, & Morrison, 1988).

Leadership Skills

Although the definition of leadership varies greatly, authors agree that leaders are not born -- leadership must be learned (Bennis, 1989; Donaldson, 1993; McCall, Lombardo, & Morrison, 1988). Leadership is described in as many ways as it is defined. Characteristics, styles, traits, behavior, abilities, power, authority, skills and perspectives are aspects used to portray leaders. For the purposes of this study leadership is defined by Argyris (1976) as "effective influence" and is described in terms of skills and perspectives of effective leaders.

To understand leadership skills and perspectives, McCall, Lombardo, and Morrison (1988) researched the life and work experiences of executives. Their book, Lessons of Experience, explains that the challenges of our experiences create the lessons that develop the skills and perspectives needed to be successful leaders. Now in its 21st printing, the wide acceptance of this thesis is a given; in addition, McCall, Lombardo, and Morrison's study is the framework for the development of the assessment tool Benchmarks® used in this present study.

CCL's (1994) Benchmark® assessment tool describes 16 skills and perspectives (see Table I) that revolve around one of the following three concepts: 1) handling the demands of the management job, 2) dealing with employees, and 3) respect for others. The combining of the terms skills and perspectives indicates that personal values and lessons of hardships such as failures, mistakes, or personal traumas are also factors associated with the development of successful leaders. The assessment tool Benchmarks®, utilized in this study, identifies those skills and perspectives important for effective Ohio superintendent leadership.

Because the selection and development of effective superintendents are critical factors in the creation of effective educational cultures, an effective assessment tool can aid in developing more effective schools by promoting the professional growth of superintendents. Elsaesser (1990) recommends that an "assessment of current skills should be part of any professional development plan" (p. 8).

Purpose of the Study

The major purpose of the present study is to determine superintendent effectiveness as perceived by direct reports and superintendents. The relationship between the perceived effectiveness, determined by the researcher's superintendent effectiveness questionnaire,

will be compared to CCL's Benchmarks® assessment of skills important to the success of executive leaders. Superintendent effectiveness is based on the eight professional standards established in 1993 by the American Association of School Administrators (AASA). The eight AASA general professional standards for the superintendency are as follows:

1. Leadership and District Culture
2. Policy and Governance
3. Communications and Community Relations
4. Organizational Management
5. Curriculum Planning and Development
6. Instructional Management
7. Human Resource Management
8. Values and Ethics of Leadership (AASA, p.2)

These standards of performance developed by the Commission on Standards for the Superintendency emanates from the suggestions of leaders in education, business, government, and other walks of life (AASA, 1993).

This study examines a sample of Ohio superintendents' effectiveness ratings using a questionnaire based on AASA's performance guidelines and also examines the superintendents' skills assessed by CCL's Benchmarks®. By comparing the relationship of Benchmarks® skills with the effectiveness of Ohio superintendents as perceived by the superintendent and their direct reports, the research questions address the following five issues: (a) superintendent background and characteristics, (b) reliability of the measurement scales,

(c) superintendent effectiveness, (d) Benchmarks® skills and perspectives, and (e) the relationship between Benchmarks® skills and superintendent effectiveness.

Superintendent Background and Characterisctics

1. What are the characteristics regarding this sample of Ohio superintendents -

(a) experience, (b) education, (c) age, (d) race, (e) sex, (f) district size, and (g) district description (urban, rural, or suburban)?

2. How does the profile of this sample of superintendents compare to Glass's (1992) national demographics of superintendent characteristics?

Reliability of Measurement Scales

3. How reliable are the indices of the Likert scales and magnitude effectiveness scales for measuring superintendent effectiveness?

4. How reliable are the indices of the 16 Benchmarks® scales for measuring superintendent skills and perspectives?

Superintendent Effectiveness

5. What are the direct reports' perceptions about their bosses' effectiveness as defined by the AASA performance standards?

(a) On which of the AASA performance standards do the

direct reports evaluate the Ohio superintendents most positively?

(b) On which of the AASA performance standards do the direct reports evaluate the Ohio superintendents most negatively?

6. What are the Ohio superintendents' perceptions about their own effectiveness as defined by the AASA performance standards?

7. How similar are the Ohio superintendents' and direct reports' ratings on the measure of superintendent effectiveness?

Benchmarks® Skills and Perspectives

8. What are the perceptions of the Ohio direct reports about the eight Benchmarks® skills rated as most important to their superintendents' effectiveness?

9. What are the perceptions of Ohio superintendents about the eight Benchmarks® skills rated as most important for effectiveness on her/his job?

Benchmarks® vs Superintendent Effectiveness

10. What validity evidence is determined from the structural equation model matrix for utilizing Benchmarks® to measure the leadership skills and perspectives of Ohio superintendents?

Significance of the Study

Educational accountability has broadened its focus from considering the efficiency of schools to the assessment of the effectiveness of schools and the schools' administrators. The present study, related to the effectiveness of Ohio superintendents, is important for the following two reasons.

First, research on the skills needed for effective superintendent performance is scarce. Murphy and Hallinger (1986) suggest that "research on the superintendent in general is remarkably thin, while research on the leadership role of superintendents is sparser still" (p. 214). This study will contribute to the research base regarding superintendent effectiveness. Second, evidence of the concurrent validity between the superintendent effectiveness measure and high scores on Benchmarks® skills would suggest that CCL's assessment tool Benchmarks® has practical application for the development of school executives. A high degree of relationship between the effectiveness of Ohio superintendents and Benchmarks® data would suggest that the 16 skills and perspectives focused on by this instrument are important factors for effective school superintendents and that Benchmarks® is a valid instrument for assessing these leadership skills.

Organization of the Remainder of the Study

Chapter Two presents a detailed summary of the literature regarding the role of the superintendent and the leadership skills necessary for the effective performance of superintendents. The literature review covers the historical evolution of the superintendent's role, educational administration and superintendent effectiveness, skill theories of educational administration used as the conceptual basis for this study, assessment as a development tool, and the identification of the skills needed by educational administrators to be effective leaders.

Chapter Three describes the methodology of the study. That chapter presents a description of the population and the sample, the two data collection procedures and instruments used to evaluate superintendent effectiveness and skills, and the data analyses procedures. Chapter Four reports the results of the study. This chapter compares the ratings of superintendent effectiveness to the leadership skills assessed by Benchmarks®. Chapter Five presents the author's conclusions which focus on the the perceptions of Ohio superintendents and their direct reports regarding the factors important in indicating a superintendent's effectiveness.

CHAPTER II

REVIEW OF THE LITERATURE

The purpose of this chapter is to summarize the literature related to the role of the school superintendent and the skills important for effective job performance in our current educational climate. This summary includes the historical evolution of the superintendent's role, educational administration and superintendent effectiveness, skill theories of educational administration used as the conceptual basis for this study, assessment as a development tool, and the identification of the skills needed by educational administrators to be effective leaders.

In his book The Creation of Settings and the Future Societies (1972), Seymour Sarason states that most participants have so much concern for the future success of the setting that they do not look back to the historical origins. He describes how new settings always have some of the features of the old setting. By reviewing the historical development of the role of superintendent in a social context of the time, it became apparent that Sarason's explanation of history of settings is an accurate assessment of the role of school superintendent.

Historical Development of the Superintendency

The crown, church, and an informal system of deference governed colonial society. Bailyn notes that the line of separation between "public" and "private" education was unknown until the end of the eighteenth century. Education trained young minds to read scripture and become moral citizens; the purpose of education was "the training of the individual for specific social roles" (Bailyn, 1960, p. 97). Such an historical perspective on the evolution of education explains the powerful influence that organized religion had over education in the colonial period. That religious influence continued into the 19th century, evidenced by the number of clergy who maintained authority over local school boards.

The appointment of the first local school superintendent in 1837 occurred over a hundred years after the establishment of education in this country. Griffiths (1966) divides the historical evolution of the school superintendent into the following three generations: 1) 1837-1910, 2) 1910-1945, and 3) 1956 to present. The discussion below closely follows Griffiths' three historical periods. This literature review describes a fourth period from 1960 to 1980, and a fifth period explaining the changing role of the school superintendent from the 1980s forward.

Instruction Oriented Role (1837-1910)

Glass (1992) describes the first generation of superintendents as teachers appointed by the school board to oversee instruction. AASA (1952) notes that the first superintendent appointments occurred in the large urban areas of Buffalo and Louisville in 1837. These "schoolmasters" had no decision making authority, and functioned as general managers responsible for the daily operation of the schools (Glass, 1992).

By 1860, 27 cities had created the district position of superintendent (Glass, 1992), and authority for local school boards to hire school superintendents was legally established in the 1870s: "The duties and responsibilities of the position was left, largely to the discretion of local boards of education. To a large extent, this is still true today." (Konnert & Augenstein, 1990, p. 6). By the end of the 19th century, superintendents had gained decision making authority which was separate from the authority of the school board (Glass, 1992).

Efficiency and Management Role (1910-1945)

According to Glass (1992), from 1900-1930 the role of the superintendent followed a quasi-corporate model of leadership; responsibilities extended beyond the daily operation of schools to spreading the American dream of an education for all of its citizens. Urban growth created a

more centralized bureaucratic structure of schools with the superintendent still the business manager. Increased enrollments due to a flood of immigrants into America created large complex school systems. Urban demands of these larger more complex schools, and increased state funding for education, created the need for the financial and organizational management of school systems (Griffiths, 1966). Glass (1992) refers to the 1940s movement as the beginning of the superintendent's role as a professional educator.

Professional Administrator (1945-1960)

As responsibilities expanded to include more than financial management, the school superintendent became a master administrator. Professional organizations such as AASA sponsored studies leading to the training, selection, and development of the superintendency (Griffiths, 1966). Griffiths (1966) stated that by 1956 the superintendent's role had evolved into that of professional school administrator. Considered as a leader having an "expert" knowledge base, the superintendent was also politically driven by the board and the community (Glass, 1992). Schools were organized by corporate models and superintendents became referred to as chief executive officers (CEO).

Superintendent Under Fire (1960-1980)

During the 1960s and 70s, the role of the superintendent and her/his relationship with the board again changed. Glass (1992) uses the phrase "superintendent under fire" to describe the displeasure of parents and citizens during the 1960s and 1970s (p. 3). Schools were not meeting community expectations and the public's trust in educational "experts" faded. Reform created a stronger focus on educational tests, measures, and accountability for student achievement.

Glass (1992) notes that equal opportunity issues and the public disenchantment with American schools created an environment where school boards assumed greater responsibility for policy formation. States began to shift their policy-making authority to the local school district. Two-thirds of the superintendents surveyed in The 1992 Study of the American School Superintendency (Glass) stated they were the primary initiators of new policy in their school districts. Site-based management of the 1980s continued the downward shift of authority and accountability to the level of building supervisor (principal).

The Changing Educational Role (1980-present)

Based on national commission and education reports, Bjork (1993) found that the current educational reform movement and its effect on the superintendent's leadership

role had three waves. He stated that a regulatory environment, characteristic of the first wave (1982-1986), reinforced bureaucratic "top-down" management techniques. The reform environment of the second wave (1986-1989) maintained that schools failed because of their bureaucratic structure. Therefore, educational commissions and task force reports suggested that administrative control be shifted to the district and building level (site-based management).

In 1988, a third wave emerged which criticized the previous recommendations for reform. These proposals were more comprehensive and suggested a more child centered structure:

> The new child-centered "delivery system" envisioned from restructured schools would require school administrators to redefine the nature of their work and roles. New approaches would be required in managing schools, working with empowered teachers as colleagues, providing instructional leadership, being skilled political analysts, acting as stewards of school-based governance mechanisms, and serving as advocates for children, while brokering services from among a wide array of state and federal agencies (Bjork, 1993).

Many school systems are still struggling with the site-based (bottom-up) management leadership role of the second wave, and most have not moved into the more comprehensive third wave of the instructional leadership role.

Chand (1988) states that education became a political and social issue in the late 1980s. Educational commissions, politicians, boards of education, parents, and

other special interest groups now set the rules and regulations (boundaries) which tell a superintendent how to be successful. The context of the present school administration in the 1990s emphasizes accountability, divided interest groups, decentralization, American skepticism with leaders, and choice concepts.

The educational reform movement has indeed created new perceptions about our public schools. Public displeasure during the 1980s-1990s created the paradigm shift from state to local control. In his video Business of Paradigms, Barker (1993) states that a paradigm affects our judgments and decision making by changing our perceptions. Langlois and McAdams (1992) explain the new leadership paradigm for educational administrators as a shift from central control to shared governance, shared decision making, and collaborative relationships featuring team work. School superintendents, as the primary leader of schools in a changing educational paradigm, are instrumental in shaping their district's school culture and climate while their own roles are being shaped by the paradigm.

Administrators must attune themselves to the complexities and changing rhetoric of society. The superintendent may choose to be what Barker calls a "Paradigm-Pioneer" and change education for tomorrow, or become stagnant with uncertainty and catch the virus he called "Paradigm-Paralysis." Superintendents are faced with

decisions based on partial information, divided expert opinion, and situations in which "you will be second-guessed by members of your staff and community who are often wrong, but never in doubt" (Langlois & McAdams, 1992, p.1). In such an uncertain and changing time of educational reform, Glass (1992) reports that superintendents today often find themselves in one of three leadership roles: 1) as a change agent, 2) as a developer of new programs or schools, or 3) as a maintainer of the status quo.

Konnert and Augenstein (1990) suggested that the "primary responsibility of the superintendents is to provide leadership in establishing a vision for the educational organization and then converting this vision into a set of goals and priorities for the organization" (p. 11). Superintendents realize that their success in accomplishing the goals related to the vision for the organization depends on community support. Glass' data (1992) reports that 71.2 percent of the superintendents responding to the AASA survey said there was a strong need to involve citizens in decision making. The principal difference in the superintendent of today and that of yesterday lies in the educational reforms and public demands which have changed the role of yesteryears' overseer into that of a leader who now has complex visionary goals.

Issues of superintendent effectiveness are inextricably tied to the social context of the district and the changing

educational climate. Crowson and Glass (1991) state that the changing conception of the role of the local school district superintendent in American has:

> a focus with a decided "impact" and "effectiveness" flavor. There is a renewed research interest in a better understanding of productivity-producing linkages between the superintendent's office and the school-site, the leadership skills and styles of effective superintendents, the mysteries of the organizational hierarchy in local education, and leadership therein, and the political/contextual determinants of administrative leadership-toward-effectiveness (p. 12).

The nation's crisis over quality schools is creating a renewed interest in research related to the work of the chief executive officer of public schools.

According to Crowson and Glass (1991) the rationale for effective superintendent research can be explained by the following four reasons: (a) concern over achieving a more demographically representative pool of superintendent applicants as the "graying" population retires, (b) the dissatisfaction of the public and superintendents with large urban schools, (c) the need for a CEO who can balance centralized and decentralized functions of public schools, and (d) the renewed interest in executive leaders linked to effectiveness (p. 2-4). The present study is based on Crowson and Glass's fourth rationale regarding effective superintendent research, which is the <u>link between effectiveness and executive leaders</u>.

Effectiveness of Educational Administrators

Getzels, Lipham, and Campbell (1968) state that successful leadership is associated with expectations for superior administrative performance and the observation of effective role behavior.

> Effectiveness is then a measure of the concordance of the role behavior and the role expectations. Two crucial consequences follow: (1) The same behavior may be held effective at one time and ineffective at another time by the same person, depending on the expectation he applies to the behavior. (2) The same behavior may be held effective and ineffective simultaneously because different persons or groups apply different expectations to the behavior. In either case, judgments of effective and ineffective are impossible to interpret unless both the expectations being applied and the behavior being observed are known (Getzels, Lipham, & Campbell, 1968, p.129).

In Chapter One, five leadership assumptions were presented as underlying the effectiveness of school leaders. Of those, this section will expand the first three: 1) leaders must have the ability to create change, 2) vision is a prerequisite for leaders, and 3) effective leaders communicate a language of outcomes. The section of the review of literature entitled "assessment as a development tool" will address assessment as a valid tool for developing successful leaders, the fourth assumption. The fifth assumption, leaders learn from challenging experience, appears in a section which discusses the research conducted by McCall, Lombardo, and Morrison, which formed the framework for the development of the Center for

Creative Leadership's (CCL) Benchmarks® assessment tool. Following the leadership assumptions (ability to create change, vision, and a language of outcomes), three additional topics that relate to the effectiveness of educational administrators are present in this section. Those three topics are: 1) effectiveness as a function of competence, 2) moral and ethical decisions, and 3) women as effective administrators.

Ability to Create Change

Change is imminent in education, yet there is little agreement on what should be altered. Smith and Piele (1989) contend that effective leaders are not afraid of positive change. Schools are complex environments that require a more flexible organizational structure than the rigid hierarchical (factory like) structure of the 19th century models (Aburdene & Naisbitt, 1992; Covey, 1990; Wesson, 1993). Effective administrators must be attuned to the complexities and the changing culture of schools.

To be effective in the role of a "change agent" (Glass, 1992), administrators must be able to create institutional reform. Guskin and Bassis (1985) state that "changes in the demography of enrollments, in levels of financial support, and in the expectations of students, parents, and employees are only a few of the external pressures impelling institutions" to adapt to changing environments (p.13).

They also explain that building an organizational environment encouraging creativity, risk taking, and innovation "requires leaders who have a vision of the future that is congruent with institutional priorities, who are committed to empowering people throughout the organization, and who understand how to use fiscal, human, and symbolic resources to emphasize institutional directions" (p. 14).

Vision

There is a strong connection between the leadership characteristic vision and change. Barker (1993) in The Power of Vision explains that a vision without action is only a dream, but a vision with action creates change. He states that leaders need to develop positive and inspiring visions and then transmit them to the community. Barker maintains that positive visions are forceful motivators for change and cites examples of leaders with positive vision creating successful environments. One of the success stories Barker told is how a sixth grade class of "at risk" students were given the vision that if they completed high school successfully the community would provide financial assistance for them to attend college. The vision created a success story of which any school would be proud. Forty-eight of the fifty-four students graduated, and forty attended college.

Effective school leaders need to have a clear vision

and strong drive for action or task completion. Smith and Piele (1989) hypothesize that such vision is a prerequisite for leadership. Smith and Piele claim, "effective school leaders are people of action. They have the ability to visualize, and clearly communicate goals - goals that are ambitious and specifically tied into student improvement" (p. 22). Hesburgh (1988) also recognizes the importance of vision. He maintains that "a leader needs a clear and challenging vision, a magic with words, the ability to motivate others, the courage to stay on course, and the persistence not to lose hope" (p. 5).

A Language of Outcomes

According to Bogue (1992), the definition of leadership effectiveness focuses on performance indicators, goals and outcomes, personal attributes, and leadership style theories. He describes the following eight conditions for evaluating his personal effectiveness as former chancellor of Louisiana State University: vision, longevity/survival, goal and mission achievement, organizational integrity, faculty/staff diversity, constituent satisfaction, leadership climate, and colleague growth and development.

Although the superintendent's capacity to produce desired results is not a formal part of this study, the author recognizes that there is a necessary connection between the administrator's behavior and the achievement of

desired outcomes. Koestenbaum (1991) summarizes the importance of achieving desired outcomes by stating "effectiveness means that you are obligated to achieve results within your organization" (p. 201). In his keynote address to Western Australian Primary Principals' Association on "Educational Leadership in Schools", Hattie (1992) proposed that effective leaders communicate a language of outcomes and use reflective listening to increase self-efficacy. He stated that "effective leaders have a high sense of self-efficacy, strive for mastery, and have well developed coping behaviors" (p. 10).

Sergiovanni (1980) analyzes the activities of public school administrators and their search for order and control. He describes the keys to effective educational leadership as planning and management. He describes how educational administrators loose control by not delegating to others and spending too much time on trivial tasks. Serviovanni employs Peter Drucker's (1967) Principles of Effective Executives to describe how effective administrators concentrate on the few major tasks where superior performance will produce outstanding outcomes.

Effectiveness as a Function of Competence

Duke (1992) defines, administrative effectiveness by utilizing the concept of competence and identifying the discrete skills needed to perform administrative tasks.

> A particular task (supervision, for instance) may depend on various skills, including conferencing, observation of teaching, data analysis, and prescription. Futhermore, the concept of competence implies that levels of acceptable performance can be established for each task" (Duke, 1992, p. 110).

This research study attempts to identify the relationship between Benchmarks® skills and the effectiveness of Ohio superintendents as perceived by superintendents and direct reports. The actual level of the superintendent's performance is determined by asking superintendents and direct reports to rate the superintendent's effectiveness on eight AASA performance standards for superintendents and a ninth overall effectiveness measure.

Moral and Ethical Decisions

Konnert and Augenstein (1990) state that the effectiveness of an organization depends on the values of the individuals involved. Moral and ethical judgments underlie the daily decisions that administrators make about school organizations. Greenfield (cited in Capper, 1993) recommends incorporating a moral dimension to "develop the attitudes, beliefs, knowledge, and skills associated with competence in moral reasoning," in the preparation and training of school administrators (p. 285).

Capper (1993) argues that the paradigm of structural functionalism with its focus on management and efficiency does not create an ethical enterprise. She describes a

multiparadigm approach for administration in a pluralistic society. Her approach combines the critical theory and the feminist post-structuralist theory to weave ethics and values into educational administration. Capper presents a paradigm that values connectedness, human development, and diversity. These leadership styles are labeled in the literature by Aburdene and Naisbitt (1992) as "feminine."

Women as Effective Administrators

Capper (1993) states "I knew that the literature and research (or "stories") I had studied in educational administration, both theoretically and practically, failed to address the range of "others" I had experienced as a teacher, administrator, and researcher" (p. 2). The "others" were women and minorities who comprise a small percentage of top educational administrators.

Helgesen (1990) explains that women's qualities such as leading in a humanitarian way, communicating with voices, creating webs instead of pyramids, and creating an atmosphere where information can flow freely are critical in the Information Age. Women are able to switch gears quickly, understand differing values surrounding global diversity, and understand how to handle a variety of tasks and situations effectively. Incorporating female characteristics in the male dominated field of educational administration is necessary to create the educational

changes needed for an information society. Koshland (1991) states that in this Information Age of change and technology, we cannot afford to underutilize the talents of half of the American population.

In summary, it is important to define leadership behaviors according to the context of the organization and people over which the leader has influence. A lack of consensus in regarding effective educational leadership becomes apparent from the literature review presented in this section about effective educational administrators (Bogue, 1992; Capper, 1993; Getzels, Lipham, & Campbell, 1968; Glass, 1992; Hattie, 1992; Hesburgh, 1988; Konnert & Augenstein, 1990; Sergiovanni, 1980; Smith & Piele, 1989). The strongest themes for effective leaders evolve around creating change, the need for a positive vision, and a focus on outcomes as a measure of effectiveness.

The following section offers a demographic profile of the superintendent and describes effectiveness in terms of the tasks required of the job. Additionally, research associated with the polar discussion of effectiveness -- the instability and ineffectiveness in the superintendency -- is reviewed.

Superintendent Effectiveness

Cunningham and Hentges (1982) report that superintendents rate "general effectiveness of performance"

(p. 34) as the most important criterion for evaluation of their position. Crowson and Glass (1991) noted --

> While the role of the U.S. superintendent is not easily described and varies with context we would argue that there is a changing conception of the job--from "manager" and "efficiency expert" to leader of school district quality and "effectiveness" (p. 14).

The following section reviews the literature concerning superintendent effectiveness by first describing the current demographic profile of school superintendents in the United States. Presented next is the literature regarding the competencies, skills, and activities related to the superintendent's job description. Third, the factors associated with superintendent ineffectiveness that may be related to the high turnover rate of the superintendency are examined. Fourth, a review of the limited research explaining direct reports (subordinates) perceptions of their superintendent's leadership styles and behaviors is presented.

Profile of Superintendent

The profile of the school superintendent has not changed significantly over the past decade. In 1982, Cunningham and Hentges reported that school superintendents had the following characteristics:

1. 97% are white, 98% are male
2. 92% are married

3. 49 is the median age
4. 7 years is the average in the profession
5. 50% would choose the profession again
6. Majority are confident in themselves
7. Most feel competent to meet job challenges
8. Most view the superintendency as growing in importance and status as a career
9. They report increased tension between themselves and school boards
10. 33% hold doctorates
11. Most have held extracurricular duties in their schools as necessary steps up the administrative ladder

Hoyle (1988) concludes that the superintendent profile has not notably changed since 1982, exceptions being the small number of women and minorities who have become superintendents. In Glass's 1992 national study of 1,734 superintendents, he reports most superintendents are still white, male, middle-aged (50), college educated, and moderate-conservatives. In the 1992 study, only 115 superintendents (6.6%) were women, and 67 (3.9%) were minorities. AASA, Glass (1992), Derrington (1991), Shakeshaft (1987), and others have noted the need for the placement of women and minorities in the role of superintendency as a major challenge facing the profession. AASA has been instrumental in placing women and minorities

in positions of governance within their association.

Job Description

Superintendents perform such a wide variety of tasks it is difficult to provide a common description of their job. District superintendents' school boards that govern local schools define the precise duties for their CEO. Chand's (1983) study of the job descriptions of school superintendents in the United States finds that school boards seek professional skills (listed in order of decreasing frequency) "in curriculum, school finance, human relations, collective bargaining, bilingual/cross cultural education, communication, personnel, planning, school laws and other areas of school administration" (pp. 9-12).

Hoyle (1988) notes very little experimental research about effective characteristics of school superintendents. "In Search of Excellence in the Superintendency" (cited in Hoyle), a project conducted by doctoral students Sclafin, Collier and Burnham at the University of Texas, identifies the performance areas and skills (based on AASA guidelines) required for effective job performance in the superintendency. In Collier's (1987) doctoral study Texas superintendents ranked the following three skills as most important: (a) finance, (b) leadership in creating a healthy school climate, and (c) developing and delivering effective curriculum. These same three skills were

determined by Sclafani's (1987) national survey of superintendents as most important for job performance, except that a healthy school climate was ranked first and finance second.

In another study, Haugland (1987) compares the perceptions of South Dakota school board members and superintendents regarding the professional competencies of superintendents. Haugland determined that school board members ranked personnel management, school finance, and curriculum development as the three most important competencies. However, superintendents in his study perceive the most important competencies for success as good relations between the superintendent and board, personnel management, and public relations. Pitner and Ogawa (1981) note a lack of research about the daily tasks a superintendent performs. Studies by Pitner describe and analyze the actual day-to-day behavior of school superintendents. Ogawa's previous study provides data on the meaning that superintendents attach to their work. Pitner and Ogawa have merged the two related studies and determined that the following two patterns predominate:

> "First, superintending is communicating. Second, superintendents are constrained by social and organizational structures and, yet, control a major part of their day-to-day work and exert an important organizational influence" (p. 45).

Pitner and Ogawa claim that communications and daily

activities form an image of the superintendent as a mediator or conciliator of elements of a social system.

The AASA's 1992 national survey of the American School Superintendency: American's Education Leaders in a Time of Reform has found that boards still generally expect superintendents to be general managers. Superintendents of large school districts fit the CEO model, and small district superintendents report a leadership style like that of a general business manager (Glass, 1992). Although duties of the job vary, the expectation that the superintendent should be an effective CEO or general manager still exists for most modern school superintendents. She/He is the executive officer (CEO) of the school system. Responsibilities as CEO make her/him the target of attack when schools do not run as effectively as the community expects.

Instability and Ineffectiveness in the Superintendency

Changes in career attitudes, politics, and legislation have created an exodus from top school leadership. Renchler (1992) and Bradley (1990) state the average tenure of urban superintendents is only 2.5 years. The 1992 Glass study of American school superintendents reports that the mean tenure for large and small districts combined is 6.47 years. Glass comments that the major reason the superintendency seems to be in turmoil is the rapid turnover in urban districts. An average turnover of six and a half years is not enough time

for leaders to convert goals and priorities of educational outcomes into realities. Such instability in leadership has not generated an image of excellence for the school superintendency.

The 40-50 percent turnover rate Hoyle (1988) predicted for superintendents by the year 2005 is a reality in 1995. Brubaker and Coble (1995) explain that superintendent "derailment is a staggering waste of talent and of an organization's investment in time, money, and human resources. It is also a personal tragedy" (p. 35).

Brubaker and Shelton (1995) call this here-today, gone-tomorrow phenomena the "disposable leader syndrome" (p. 16). They note the following three reasons for the shorter tenure of superintendents: 1) the public's desire to be involved in the governance of schools (demonstrated via special interest groups and school board agenda), 2) the public's inability to distinguish between celebrities and heroes, and 3) the lack of loyalty that people and organizations have for each other.

To help superintendents operate in an era where society's answer to ineffectiveness is to change leaders, Brubaker and Shelton (1995) recommend the following quidelines.

> Your character is at the center of your leadership. . . Make your decision in ways that reflect this basic assumption. . . .
> Build a sense of community. It's your best vehicle for combating the disposable leader syndrome. . . .

> Good leaders are teachers first. Effective leaders use their talents to help others identify and use their talents . . . (p. 18).

Hauglands' (1987) study of school board perceptions of professional superintendent competencies notes that "incompetency was listed 46 percent of the time and neglect of duty 41 percent by public school board members as the reason for non-renewal of the superintendent's contract" (Haugland, 1987, p. 7). In Chance and Capps', 1990 phone survey of 25 rural school board presidents, the board presidents interviewed represent districts that had a total of 63 superintendents who had left in the last five years. The study by Chance and Capps, based on interviews of school board presidents, reports 43 percent of these superintendents were either terminated or forced to resign to avoid termination. Chance and Capps identify the financial management of school districts as a major problem area creating turnover of superintendents in these districts. Integrity, followed by communication issues, and personnel problems rate as the next reasons for superintendent turnover.

Glass (1992) also finds that superintendents rate adequate funding, insignificant demands, and compliance with state mandated reforms as the three major areas that inhibited their effectiveness. Superintendents state that they leave their positions most often because of the lack of

adequate funding, and secondly because of the lack of community support (Glass, 1992).

The relationships between the superintendent and her/his staff influence the superintendent's performance. A former superintendent stated that a superintendent's direct reports may be in the best position to view the superintendents effectiveness (L. Coble, personal communications, April 24, 1995).

Direct Reports' Perceptions of Superintendents

For the purposes of this research "direct reports" are defined as subordinates such as central office staff and school principals responsible to the superintendent for their job performance. Research should not depend solely on self-descriptions (Bass, 1990), hence it is important to understand the perceptions of direct reports about the attributes of the superintendents. Bass (1990) states that overtime, training and research efforts will "make greater use of superiors', peers', and subordinates' ratings and less of leaders' self-ratings of their purported behavior" (p. 890).

In the Bass and Stoghill Handbook of Leadership (1990), Bass notes the following regarding the interactive effects of leader-follower relationships:

> Followers affect, to a considerable extent, what their leaders may do or can do (p. 361).

> The compliance of followers is the mirror image of successful leadership. Just as successful leadership may be seen to influence the completion of tasks . . . it also seems obvious that by their performance, subordinates control the nature of the feedback from their superior. . . (p. 345).

Bass recognizes that followers' perceptions of their leaders' motives and actions may constrain their leaders success. In many organizations feedback from subordinates, even when they may be reluctant to risk displeasure with their boss, is recognized as important for improving the effectiveness of leaders and their operations. Bass also notes -

> The "quality" of the leader-member exchange, the satisfaction of either or both parties with it, should be a determinant of subsequent outcomes of joint efforts (p. 333).

A framework for viewing the social interactions which affect how one is perceived by others in social situations was offered by Goffman in 1959. For Goffman, there is a disparity between the leader's intentions and the follower's understanding of what the leader may be trying to do. Using Goffman's language of performances, superintendents' concern about being perceived as ineffective would lead them to offer different performances to different audiences, such as the school board (superiors) or principals (subordinates).

The role the superintendent adopts when working with board members may be different from the one he adopts with her/his staff. Haplin's 1959 study (cited in Getzels et al., 1968) suggests -

> Whether the observed variation in the perception of the same role by different members of a role-set is due to personality differences, whether the variation in perception is due to the circumstances that the administrator adopts different miens when dealing with different reference groups, whether the reference groups are simply in different positions to view the same administrative behavior and therefore obtain different perceptions of it, or whether some combination of all these is operative, the important fact here is that extensive disagreements in the perception of administrative role behavior in the educational setting do exist. (Getzels et all, 1968, p. 303).

Therefore, what one subordinate may see as an "invigorating challenge, another may see as a stress-laden threat. It is all in the eye of the beholder" (Bass, 1990, p. 635).

Getzel et all (1968) emphasize that individuals are selective in their perceptions, and that each person's personal and cultural values influence their perceptions. They suggest that the important issue in the judgment of an administrators effectiveness is the extent to which the perceptions of complimentary expectations for the participants overlap.

The majority of the literature regarding perceptions about superintendents' leadership deals with the external perceptions of boards, and community members concerning superintendents' leadership styles and behaviors. This researcher's review of literature, from 1980 forward, found only seven studies about direct report/subordinate /follower perceptions of superintendents' leadership. A discussion of the results of these seven studies describing direct reports

perception of superintendent leadership is summarized in the remainder of this section.

Wilcox conducted a study in 1982 which addressed assistant superintendents' perceptions of the effectiveness of Missouri superintendents, job satisfaction, and satisfaction with their superintendents' skills. The Bass-Valenze Boss Management Styles survey and the Subordinate Management Styles Survey were utilized. The results indicated that no significant difference existed between the assistant superintendents' and superintendents' perceptions of the leadership styles used by Missouri superintendents, or between independent variables concerning superintendents leadership styles and qualities. No significant differences were determined for the relationships between job satisfaction of the assistant superintendents, satisfaction with their superintendent, or perceived job effectiveness of their superintendent.

In 1985, Southard also used the Bass-Valenzi Profile to gather data on Missouri superintendents' leadership behavior, principals' perceptions of the superintendents' job effectiveness, and the principals' job satisfaction. Results of Southard's study reveal that:

> (1) Superintendents perceived themselves as consultative leaders while principals saw their superintendents as directive leaders. (2) Both superintendents and principals perceived delegative leadership as the least used management style by superintendents. (3) Superintendents and principals perceive the five leadership styles as being associated

> with one another. (4) Direction, consultation, participation, and delegation are significantly correlated to principals' job satisfaction, and perceived effectiveness of the superintendent. (5) Principals and superintendents saw a relationship between job satisfaction, satisfaction with supervision, and job effectiveness (Southard,1985, abstract).

Southard concludes that principals who perceived their superintendents as effective have a higher level of job satisfaction.

A third study by Bright (1987) utilized a modified form of the Bass Leadership Questionnaire to examine the situational demands and perceptions by superintendents, board members, and principals of the leadership behavior of Ohio superintendents. The findings indicate that there are significant differences between the various groups' perceptions concerning superintendent leadership behavior.

It was also determined by Wolf (1987) that principals and superintendents differ in their perceptions of the superintendents role. He compares superintendents' perceptions of their role with an exemplary superintendent model (developed by the researcher with expert input). Questionnaires containing 30 specific activities, performed in the superintendent's role, were sent to superintendents and principals in the state of Washington. Principals saw superintendents as more involved in improving educational opportunities and much less in school board activities. Superintendents gave low priority to curriculum and

instruction activities, suggesting that teaching and learning were far from their primary activities. Conclusions from Wolf's study suggest that this difference in perception was due to the principals placing their ideals, concerning the importance of being involved in teaching and learning, as important to the superintendent in performing his role.

The Leader Behavior Analysis-Other and Self forms were used to identify perceived superintendent leadership styles in Ponder's (1990) study of the self-perceptions of leadership styles of Alabama superintendents as related to perceptions of the superintendents leadership style by central office staff. Results indicate there are no significant correlations between these perceptions. No significant correlations were determined for the relationships between demographic variables and the superintendents' primary leadership style (high supportive, low directive) flexibility, and effectiveness.

Armstein's (1986) study, based on the 12 dimensions of the Leader Behavior Questionnaire, investigates whether principals' perceptions of their superintendent's leadership behavior is affected by selected demographic variables. Significant differences in the superintendents' perceived leadership behavior are noted for the variables of gender, race, city vs county systems, last dates of attending graduate school, and elected vs appointed superintendent

positions.

A study by Barnett (1983) examines the differences of principals, superintendents, and board presidents, in the leadership effectiveness of elected vs appointed Mississippi superintendents. The results indicate that superintendents perceive themselves as more effective than do board presidents or principals. Secondary principals perceive appointed superintendents to be more effective than elected superintendents.

The fact that differing groups hold differing expectations for the role of superintendent is not a new finding. These seven studies explore the perceptions of principals and central office staff (direct reports) regarding the perceived leadership styles, behaviors, role activities, and effectiveness of their superintendents. Five of the studies examined principals perceptions about the superintendent's leadership style, behavior, and effectiveness. There is consensus in the results, indicating that there is a difference in the perceptions of principals and superintendents about the superintendents role. However, the two studies which investigated the perceptions of the assistant superintendent and central office staff about the superintendents' leadership styles indicate no significant difference between the perception of these groups and the superintendent.

Conceptual Basis for Measuring Superintendent Effectiveness

Myers (1992) states that "educational leadership has no definitive theory or model of its own" (p.98). Because the conceptual framework for this present study relates direct reports' and superintendents' perceptions about the superintendent's effectiveness to the Benchmarks® skills, the focus of this section is the administrative skills models found in the literature.

Griffiths (1966) describes the superintendent's role as an interplay between the job, the person, and the social setting. He suggests a tri-dimensional model based on the three leadership skill areas of Katz (1955) to analyze educational administration. The three skill concepts he presents are: 1) conceptual skills, 2) human skills, and 3) technical skills. Griffiths relates these three skill concepts to each of the following four functions of school superintendents:

1. Improving educational opportunity
2. Obtaining and developing personnel
3. Relating to community
4. Providing and maintaining funds and facilities

Nottingham (1985) also uses the Katz technical, conceptual, and human skills concept to outline professional expectations of superintendents. She describes the components of these three skills as follows:

Technical Skills
1. having language skills
2. understanding teaching and being a teacher
3. being current on learning theory
4. being familiar with a variety of curriculum
5. acting as a liaison between the board and the staff

Conceptual Skills
1. being a visionary
2. clarifying goals
3. understanding organizational systems
4. having good judgments
5. understanding community power structures

Human Skills
1. negotiation abilities
2. catalytic leadership
3. empathy
4. high expectations
5. loyalty
6. maturity
7. sense of humor (Nottingham, 1985, p. 2-5).

Blumberg (1985) describes these skill models of educational administrators as "formal images" of the superintendent. He notes that these lists of job skills, functions, or responsibilities represent a rational view of what a superintendent is held accountable for through her/his own actions or the delegation of responsibility to others. Because these lists do not tell us very much about what a superintendent does, Blumberg interviewed 25 superintendents and discussed the metaphors they use to describe themselves on the job. The broad underlying focus of his book <u>The School Superintendent: Living with Conflict</u> is developed from these interviews. He finds that the essential meaning of the superintendency "is the need to continually deal with and mangage conflicts of one kind or

another" (p. xi). In the preface, Sarason explains that the complexity of educational change creates conflict for all those who populate our schools.

Although Blumberg feels that lists of job skills cannot fully describe the job, other studies indicate that technical skills like finance and facilities management are critical to the superintendent's success. The 1991 research by Crowson and Glass elaborates on the importance of technical skills and people skills. The present study follows more closely the descriptive model of the school superintendency proposed by Griffiths than the others described in this report.

Waite (1993) concludes that much of the leadership development literature erroneously assumes that people come to their jobs as a blank slate, that is, without relevant experience. He suggests that too little attention has been paid to previous life experiences, and the potential to transfer skills and knowledge previously gained from a variety of life experiences to the challenges of the leaders present position.

Douglas's and Johnston's (1986) study of the training needs of superintendents uses the Educational Administrative Skills Inventory (EASI) to obtain ratings of the importance of 14 job activities and 16 behavioral skill dimensions engaged in by superintendents. They define activities as "job-actions derived from the requirements of school

administrative roles" (p. 6). Douglas's and Johnston's 14 job activities based on the National Association of Secondary School Principals' (NASSP) and AASA administrative activities are: curriculum development, supervision of instruction, program evaluation, staff evaluation, school climate, budget development, student activities, records and accounting, student behavior, community relations, facilities management, staff-development, and long range planning. The completed list of job activities includes every item listed as an administrative activity by NASSP and AASA.

Behavioral skills defined by Douglas and Johnston are capabilities "of job-holders or perspective job-holders to behave in specific ways that are generally seen as effective in accomplishing job-tasks or activities" (p. 6). Behaviors identified for the skill dimensions are those noted from the literature as appropriate to each skill. Twelve of the 16 skill dimensions are those identified by the NASSP performance evaluation of principals. Although the NASSP skills assessment was developed for principals, not superintendents, the following 12 skill dimensions are utilized by Douglas and Johnston as important for superintendents: problem analysis, judgment, organizational ability, leader, sensitivity, decisiveness, range of interest, personal motivation, educational values, stress tolerance, oral communication, and written communication. A

validity study by Yates (1991), comparing the predictive usefulness of the NASSP assessment center process with the perceived effectiveness ratings of selected principals, concludes that the dimensions NASSP identified for principals may not be the same behaviors needed to be an effective principal. The Yates study may indicate that the NASSP skills may not be valid for principals, one would also question the validity of applying these skills to measure superintendent effectiveness. After reviewing the literature associated with the school administrator's job, Douglas and Johnson added the following four skill dimensions to the 12 NASSP skill dimensions: 1) conflict management, 2) political astuteness, 3) risk taking, and 4) creativity.

Results of the Douglas and Johnson study suggest that the skill dimensions consistently needing improvement involve the process of making judgments, decisiveness, oral communication, risk taking, and stress tolerance. Superintendents demonstrated strength in the skill dimensions of educational values, personal motivation, written communication, and sensitivity. Job-activities needing improvement are curriculum development, program evaluation, school climate, community relations, and staff development. Activity areas of performance strength are budget development, staff selection, records and accounting, and facilities management.

The AASA has contributed the primary research related to the "successful skills" for superintendents. National surveys such as Skills for Successful School Leaders (1986) and the development of the Professional Standards for the Superintendency (1993) have provided information related to the performance goals and skills considered important for effective superintendents' performance. A result of this work has been several dissertations based on the AASA eight performance areas and the 52 skill areas identified as components of these performance goals.

Sclafani's (1987) dissertation research, AASA guidelines for preparation of school administrators: Do they represent the important job behaviors of superintendents?, collected survey data based on the 1982 AASA performance guidelines. In her national survey of superintendents she categorized job-behaviors for the study and reported results as "national" (the total sample of all superintendents), and "effective" (based on each state's nomination of two effective superintendents in each of four subpopulations). The three AASA performance goals effective superintendents ranked most important to their job performance are climate, curriculum, and instruction. The national group (total sample) of superintendents ranked climate, finance, and curriculum as the most important job performance areas.

Sclafani (1987) further discussed that the four most

important skills and related goal areas for the national sample of superintendents surveyed are: 1) leadership skills (Goal Area - climate), 2) personnel management (Goal Area - management), 3) financial planning and cash flow management (Goal Area - finance), and 4) effective school and community relations (Goal Area - support).

Sass (1989) replicated Sclafani's study with professors of educational administration. He reports that professors of educational administration rank climate, curriculum, and evaluation as the three most important performance areas identified by AASA. This national population of professors report the top four skill areas for superintendent performance are all the same goal area - climate. The four most important skills reported are: 1) understanding of human relations/leadership skills, 2) interpersonal communication skills, 3) utilizes human relations, and 4) uses a broad array of leadership skills. Sass (1989) explained that "these skills centered around a superintendent's communication, interpersonal human relations, and general leadership skills" (p. 161). Further study on board and administrative evaluation of the superintendent related to the AASA goals is suggested by Sass. He states that relationships "could then be made by comparing superintendents' rankings to actual perceptions of performance by individuals working with the superintendent" (p. 4).

An additional study by Douglas (1990) was patterned after Sclafani's (1987) study previously described in this review of literature. Douglas' questionnaire attempted to determine which of the AASA guidelines for the preparation of school administrators were representative of important job behaviors critical to the success of Tennessee public school superintendents. Her findings indicated that the three most important performance areas to the superintendents' job success are: 1) establishing and maintaining a positive and open learning environment, 2) managing school finances, and 3) managing school system operations and facilities to enhance student learning.

From this review of literature, the AASA guidelines appear to be the best available source of information regarding skills and competencies of successful superintendents; these professional standards for the superintendency were developed by the Commission on Standards for the Superintendency, chaired by John Hoyle. AASA (1993) notes -

> the standards are based on reviews of significant research and in-depth discussions with those who serve as superintendents, those who prepare superintendents for their professional responsibilities, and those in society who depend on an educated citizenry. . . . They are dynamic, not static (p. 1).

AASA's eight professional standards serve as the conceptual framework for designing the effectiveness instrument for this research. These eight professional standards for the

superintendency revised in 1993 by AASA are:

Standard 1: Leadership and District Culture
Standard 2: Policy and Governance
Standard 3: Communications and Community Relations
Standard 4: Organizational Management
Standard 5: Curriculum Planning and Development
Standard 6: Instructional Management
Standard 7: Human Resource Management
Standard 8: Values and Ethics of Leadership (p. 2)

The 1992 AASA Study of the American School Superintendency reports that superintendents in larger school districts consider their jobs to be similar to CEOs in the private sector. AASA (1993) explains "both executive offices require many of the same management and executive skills to meet the complex issues of large budgets, personnel, product accountability, and competition" (p. 3). AASA research has also found that the variables of district size and culture create different challenges and problems for superintendents in smaller settings. Although many of the challenges and problems of small school leaders are different than CEOs, many are still regarded as similar. A recent tendency to ignore superintendency candidates with education backgrounds in favor of people from business is also noted by AASA (1993). Because the literature compares the role of the superintendent to executive business leaders, the appropriateness of using assessment tools developed for executive business leaders to identify skills important to superintendent effectiveness is worthy of investigation.

Assessment as a Development Tool

Assessment may be helpful in creating a self-portrait of how one is perceived by others (Guskin and Bassis, 1985). When an individual's assessment is compared to normative group data, the evaluation information can aid the person in building on her/his strengths and on compensating for weaknesses. The AASA identifies two assessment needs that could improve the professional development process for superintendents. First, there is a need to determine the appropriate skills and behaviors for success. Second, there is a need to develop valid assessment tools to determine the superintendents' strengths and weaknesses in these appropriate skill and behavior areas (Melton, 1987). For assessment results to guide the professional growth of school administrators the use of appropriate feedback is necessary.

In order for leaders to improve or change their behavior, an assessment of current skills and perspectives should include appropriate feedback. A study by Elaesser (1990) uses assessment center results and written surveys to investigate the use of assessment centers in identifying specific staff development needs for aspiring and practicing principals. Elsaesser states that feedback has the potential for changing behavior. A variety of formats may be used to provide participants specific information regarding assessment results. The most critical factor

related to the participants' use of this knowledge is the manner in which feedback is given and how the participant responds (Elsaesser, 1990).

Elsaesse (1990) states that "assessment centers use simulations and exercises to assess leadership skills and behaviors of individuals and can be used to specify areas of needed professional growth" (p. 2). To address the developmental needs identified by assessment the individual participants should establish goals and an action strategy for improving areas where skills are weaker. A professional development plan may be employed to assist the executive in thinking about her/his jobs from a developmental perspective (CCL, 1994). A challenging developmental plan can lead to professional growth.

Covey (1989) states that "knowledge is the theoretical paradigm, the what to do and why. Skill is the how to do. And desire is the motivation, the want to do" (p. 47). He suggests that the essence of effectiveness lies in the ability to balance the production of desired results within the capacity of production. Because we change from the inside out, not the outside in, Covey views the most profound learning as being internally driven.

Executive managers have little opportunity to receive feedback which may generate professional development activities. Such development activities, a form of self-renewal, can assist superintendents in overcoming weaknesses

and avoiding derailment. After one recognizes the needed areas of professional development, professional growth may be achieved through reading, research, workshops, training, creating challenging experiences, and reflective practice.

However, a 1973 study by Bartz found no significant difference in perceived behaviors (e.g. attitudes, openness, delegation, fairness, leadership skills, appearance) between a control group of 12 superintendents, which did not receive feedback, and a experimental group of 12 superintendents which did receive feedback from principals and school board members. The change in perceived behaviors was evaluated after two months, which may not have been enough time for behavioral changes to occur. The Bartz study did not incorporate the idea that specific goals based on the feedback report should be incorporated into a professional development plan in order to be beneficial. Bartz did recommend that new models be developed, but did not give specifics on what the models for creating a behavioral change should include. Graduate education programs provide professional feedback to developing school administrators.

Donaldson, Barnes, Marnic, and Martin (1993) "have repeatedly voiced concern that developing practical leadership competencies has not been a part of their own graduate education or that of the leaders with whom they work" (p. 3). In contrast, the Maine Academy for School Leaders (Donaldson and others, 1993) has developed a program

which includes the creation of Leadership Development Plans (LDP). One purpose of the LDP plan is to challenge and support leaders to define their own learning goals and seek resources to fulfill them. To remediate the weak areas which assessment may reveal, superintendents need to create their own professional development plan that states their goals, activities, and action to create the desired change.

McCauley and Hughes-James (1994) conducted an evaluation of the Center for Creative Leadership's (CCL), Chief Executive Officer Leadership Development Program (CEOLDP) with 38 Florida Superintendents. The year long program included assessments (Benchmarks®, Myers Briggs , California Psychological Inventory), classroom sessions, coaching, journal writing, and learning projects. During the week long CEOLDP session, superintendents established personal goals and learning projects. Opportunities were created by the superintendents to practice and improve skills and behaviors in their job situations back home. Results of the evaluation found that the intensive week of feedback at CCL increased self-awareness, created a positive developmental relationship by assigning an executive facilitator to each superintendent, increased reflective thinking practices through the use of journal entries, and increased the progress superintendents made on the back home projects by having superintendents create specific goals.

McCauley and Hughes-James thus conclude that two

factors were important in increasing the growth and development of superintendents in the CEOLDP. The first was the bridge between the program activities and actual work problems. Second, the flexibility of the program allowed for the differences the participants brought to the setting. The evaluative study by McCauley and Hughes-James pointed out that the outcomes of participants varied with some actually showing a downward shift on Benchmarks® scores for straight forwardness, acting with flexibility, decisiveness, and putting people at ease. Individuals who came to CEOLDP with higher motivation, opportunity, and support for learning benefitted the most from their developmental leadership plans.

Benchmarks® an Assessment Tool for Managerial Effectiveness

Benchmarks® an assessment tool for managerial effectiveness, developed by the Center for Creative Leadership (CCL), has the following components determined as important in assessment tools for development purposes:

1. This type of assessment is described as a 360 degree measurement tool, because it provides perceptions of how the manager/executive is perceived by her/his self, superiors, peers, and direct reports.
2. It provides the following types of analyses, first an overview of the importance ratings (as

designated by raters) for the skills, second a comparison of self and all observer skill scores to normative data, third a comparison of superior, peer, and direct report skill scores to normative data, and fourth actual self scores and mean observer scores by item. Normative data provide information on how leaders measure up to other leaders (Guskin and Bassis, 1985).

3. The development of this instrument was based on the experiential aspect of executive leaders (Waite, 1993; McCall, Lombardo, and Morrison, 1988).
4. Donaldson and others (1993) note that the practical leadership competencies are not part of graduate leadership programs. Therefore, leadership competencies must often be learned on the job, from other experiences, or from other professional development activities such as the assessment of leadership skills.
5. Feedback is important to changing behavior (Elsaesse, 1990). CCL (1994) notes that the ownership of feedback is important for behavioral change to occur. Bass (1990) claims that the provision of feedback to promote greater accuracy between self-reports and those received from others probably provides the most effective method of management and leadership development.

6. CCL studies provide evidence of the psychometric reliability and validity of using Benchmarks® to evaluate executive leaders.

The research that lead to the development, and evidence of reliability and validity of Benchmarks® as a tool for developing leaders is described in the methodology chapter.

Common Skills Found in the Literature

To examine the relationship of the skills and perspectives included in Benchmarks® to the common skills, determined by this researcher's review of current literature which are associated with successful educational leadership, three tables are presented. The three tables are based on the three skill domains of Griffiths' (1966) model for school superintendents: 1) technical, 2) human, and 3) conceptual.

Griffiths (1966) describes each of the three skill areas as related to four primary functions of the superintendent - educational opportunity, obtaining and developing personnel, relations with the community, and providing and maintaining funds and facilities. Technical skills include scheduling; accounting; maintaining records; giving and receiving feedback from the community; obtaining and developing staff; and creating a safe environment. Human skills necessary for superintendents involve motivating employees to accomplish the goals of the

organization; instilling high morale in employees that will result in a high level of effectiveness and efficiency; and demonstrating individual and group communication skills. The conceptual skills he considers important to preforming the four functions include the preparation of statements to be presented to the board for consideration in establishing educational policy; an attitude of respect and dignity for others; and plans for personnel, public relations, budget, and facility needs. Griffiths notes that the superintendent should be knowledgeable of all these skills, but does not need to perform them all her/himself.

Each of Griffiths three skill domains are matched to the most similar group of CCL's (1994) clusters for Benchmarks® skills (noted in brackets is the table number and Benchmarks® skill cluster). Benchmarks® skill clusters are described as follows:

> Technical skills [Table 1 - Handling the demands of the management job]. This cluster includes the resourcefulness needed to cope with the demands of the management job, the drive and attitudes necessary to do this, and the ability to learn and make decisions quickly. These demands include solving problems, thinking strategically, working with upper management, building structure and control systems, acting with incomplete information, taking full responsibility for actions, facing adversity, and seizing opportunities.
>
> Human skills [Table 2 - Dealing with employees]. This cluster focuses on behaviors directed toward the specific group of individuals for whom the manager is responsible. These include setting a developmental climate for employees, sizing up potential employees, delegating and encouraging, developing shared expectations, confronting problem people, and developing a team. Accomplishing these tasks is

> related to the skills and perspectives inherent in the other two clusters: interpersonal skills and resourcefulness. Yet this cluster adds unique components needed in the manager: being team-focused and having the ability to motivate others.
>
> Conceptual skills [Table 3 - Respect for self and others]. This cluster includes compassion and sensitivity toward others, treating them with integrity and putting them at ease. It also includes the ability to build cooperative relationships and handle conflicts without blood shed. Interestingly, scales focusing on oneself also fall into this cluster-having a realistic view of one's strengths and weaknesses and trying to balance one's personal and work lives. As frequently acknowledged by practitioners in the mental health field, knowledge and appreciation of self is an important prerequisite for dealing with others effectively. This personal knowledge is also important for an expression of personal balance-being able to behave in opposite ways such as being tough and compassionate, being able to lead and allowing others to lead as well
> (Benchmarks® Training Manual, Section I - p. 4).

To demonstrate the comparison between Benchmarks® skills and the factors important to the success of educational administrators, citations from the review of literature are added to the table for each of the 16 Benchmarks® skills. Like the definitions of leadership, there is much imprecision in using terms with the same meaning. The four Benchmarks® skill areas of decisiveness; leading employees; compassion and sensitivity; straightforwardness and composure; and balance between personal life and work are discussed in the literature in identical or synonymous terms such as the use of "empathy" for "sensitivity", or "adaptable" for "flexible". Generalizations have been made by this researcher in

matching the language of the other twelve leadership skills. The following explanations are offered as justification for the matching of terms which are not synonymous.

Benchmarks® skill area "resourcefulness", is described by CCL (1994) as the ability to think strategically, engage in problem-solving, and work effectively with higher management. The literature relating this type of skill for educational administrators used the language of decision-making, problem analysis, and strategic planning (Konnert & Augenstein, 1990; NASSP, cited in Lunenburg, 1991).

Konnert and Augenstein (1990) describe the need for an educational administrator to be creative and break out of the routine. They note that in order to form original solutions a leader must be creative or as the related Benchmarks® skill states "do whatever it takes". Another related behavior important to facing obstacles and persevering is risk-taking. (Konnert & Augenstein, 1990, p. 98). Gilley et all (1986) state that it is important to encourage people to take risks. Courageous risk-taking is described by Johnson (1994) as one of the "heart-and-soul" factors of leadership, even more important for superintendents than professional standards.

Benchmarks® skill item three, "being a quick study", is described by CCL (1994) as the ability to quickly master new technical and business knowledge. The advice Krinsky (1993) and others offer for selecting a superintendent includes

intelligence and sensitivity (skill item eleven). Additionally, in order to be current on learning theory and familiar with a variety of curricula (Nottingham, 1985) the skill of quickly mastering new technical knowledge is critical for superintendents.

Lunenburg and Ornstein (1991) maintain that the "recent attention to school effectiveness and organizational culture has re-emphasized the importance of organizational climate" (p. 75). Benchmarks® skill "setting a developmental climate," focuses on assessing a leader's ability to provide a challenging climate to encourage employee's development.

"Work team orientation" the Benchmarks® skill for being able to accomplish tasks by managing others, is discussed in most current leadership literature regarding organizational dynamics, group dynamics, or teamwork. Although, teamwork may be divergent from granting the superintendent central authority for the schools which filters from the top of the organization down, Konnert and Augenstein (1990) suggest a team approach even when communicating with the board. They state "communicating with the board is a time-consuming and terribly important process, and thus, a team approach is suggested" (p. 126). Crowson and Glass (1991) note the importance of superintendents understanding organizational dynamics as an area of emerging research which supports the new emphasis in the superintendent's role in school quality and effectiveness.

As important as the ability to deal effectively with personnel issues is for superintendents, Benchmarks® skills "confronting problem employees" and "hiring talented staff" are rarely discussed in the literature for superintendents. Konnert and Augenstein (1990) do note that an important leadership factor for superintendents is the ability to effectively manage human and material resources.

"Building and mending relationships;" this Benchmarks® skill is described by CCL (1994) as knowing how to build and maintain working relationships with co-workers and external parties. The research on superintendent relationships focuses on the importance of the external relationships with the board and community, but rarely the relationships with co-workers.

Having an accurate picture of one's strengths and weaknesses and being willing to improve is the CCL (1994) description of the Benchmarks® skill "self-awareness." Brubaker (1982) suggests that leaders should determine what they want and decide how to get it through self-evaluation. Nottingham's (1985) conceptual skill judgment, defined as a "skill acquired from experience, framed by intelligence, and strengthened by knowledge," includes the knowledge of oneself (p. 4).

The Benchmarks® skill "putting people at ease," is defined by CCL (1994) as a leaders ability to display warmth and a good sense of humor. A sense of humor, is noted by

Gilley et all (1986), Hemming (1982), and Nottingham (1985) as an important leadership trait.

Hodgetts (1992) management theory explains that "the emphasis today is on a flexible style that achieves results" (p. 361). The final Benchmarks® skill, "acting with flexibility," aligns with this flexible leadership style. Gilley et all (1986), In Searching for Academic Excellence, also suggest that leaders try to be flexible and prompt in providing what the community wants.

Table 1

TECHNICAL SKILLS FOR EFFECTIVE EDUCATIONAL ADMINISTRATORS

Benchmarks® Skill Cluster:
Handling the demands of the management job.

Benchmarks® Skills (CCL, 1994, p. 6-7)	Literature Citations
1. Resourcefulness	Strategic planning, decision making (Konnert & Augenstein, 1990); problem analysis (NASSP, cited in Lunenburg, 1991)
2. Doing whatever it takes	Persistence (Hesburgh, 1988; Yukl, cited in Lunenburg, 1991); sensible risk-taking (Gilley et all, 1986; Holt, 1981; Konnert & Augenstein, 1990); courageous risk-taking (Johnson, 1994); using creative ideas (Gilley et all, 1986; Yukl, cited in Lunenburg, 1991)
3. Being a quick study	Intelligence (Gilley et all, 1986; Yukl, cited in Lunenburg, 1991; Kinsky, 1993); being current in learning theory (Nottingham, 1985)
4. Decisiveness	Decisive (NASSP and Yukl, cited in Lunenburg, 1991)

Table 2

HUMAN SKILLS FOR EFFECTIVE EDUCATIONAL ADMINISTRATORS

Benchmarks® Skill Cluster:
Dealing with employees.

Benchmarks® Skills (CCL, 1994, p. 6-7)	Literature Citations
5. Leading employees	Leadership (NASSP, cited in Lunenburg, 1991; Nottingham, 1985); empowers, delegates to employees effectively (Konnert & Augenstein, 1990); fairness and objectivity (Holt, 1981)
6. Setting a developmental climate	Motivating (Hesburgh, 1988; Konnert & Augenstein, 1990); high expectations (Nottingham, 1985); create and control work environment (Gilley et all, 1985); organizational dynamics (Konnert & Augenstein, 1990; Crowson and Glass, 1991); organizational ability (NASSP, cited in Lunenburg, 1991; Nottingham, 1985); community relationships (Konnert & Augenstein, 1990; Nottingham, 1985)
7. Confronting problem employees	
8. Work team orientation	Group dynamics (Konnert & Augenstein, 1990); sustains team morale (Hesburgh, 1988); team builder, delegation, Gilley et all, 1986); knowledge about group tasks (Yukl, cited in Lunenburg, 1991)
9. Hiring talented staff	Resource management (Konnert & Augenstein, 1990)

Table 3
CONCEPTUAL SKILLS FOR EFFECTIVE EDUCATIONAL ADMINISTRATORS

Benchmarks® Skill Cluster:
Respect for self and others.

Benchmarks® Skills (CCL, 1994, p. 6-7)	Literature Citations
10. Building and mending relationships	Diplomatic and tactful (Yukl, cited in Lunenburg, 1991);
11. Compassion and sensitivity	Sensitivity (Hesburgh, 1988;NASSP, cited in Lunenburg,1991); compassionate (Hesburgh, 1988); empathy (Nottingham, 1985)
12. Straightforwardness and composure	Dependable, assertive (Yukl, cited in Lunenburg, 1991); loyalty (Nottingham, 1985)
13. Balance between personal life and work	Stress and time management (Hesburgh, 1988; NASSP, cited in Lunenburg, 1991); balance career and family (Morrison, 1992)
14. Self-awareness	Judgement (NASSP, cited in Lunenburg, 1991; Nottingham, 1985); self-evaluation (Brubaker, 1982)
15. Putting people at ease	Sense of humor (Hemming, 1982; Gilley et all, 1986; Nottingham, 1985) infinite time for people, openness (Aburdene & Naisbitt, 1992)
16. Acting with flexibility	Flexible (Aburdene & Naisbitt, 1992); flexibility, anticipate change (Hemming, 1992); broad range of interest (NASSP, cited in Lunenburg, 1991); adaptable (Yukl, cited in Lunenburg, 1991)

Reviewing Tables 1, 2, and 3 does indicate that, although the language may vary, the skills and perspectives focused on by Benchmarks® for the development of successful executive leaders are repeated in this researcher's review of literature that relates to educational administrators and superintendents specifically. The three Benchmarks® skills which were not cited as frequently in the literature review are self-awareness, confronting problem employees, and hiring talented staff.

Summary

The role of the superintendent, like school reform, has changed over time. A historical review of the superintendency found that the superintendent's role has developed into a person who is more than a general overseer of schools. The principal difference in the superintendent of today and that of yesterday lies in the educational reforms and public demands which have changed the role of yesteryears' overseer into that of a leader who now has complex visionary goals.

School superintendents, as the primary leaders of schools in a changing educational environment, are instrumental in shaping their district's school culture and climate while their own roles are being shaped by educational reform. Crowson and Glass (1991) state that the changing conception of the role of the local school district

superintendent in America has a decided "impact" and "effectiveness" flavor (p. 12). Leaders of school quality and effectiveness may find that new approaches and skills are required for the management of public schools (Bjork, 1993). The nation's crisis over quality schools is creating a renewed interest in research related to superintendent effectiveness.

Although the job description and responsibilities for the superintendent vary, the expectation that the superintendent should be an effective CEO still exists for most school superintendents (Glass, 1992). The complexity of the superintendent's role requires a diverse array of knowledge and skills -- and an understanding of the appropriate skills for the situation.

Recognizing the importance of effective leadership in creating educational excellence, this dissertation synthesizes the literature on assessing the skills of effective superintendents. Although many lists of leadership characteristics, personality traits, and behaviors have been developed, Konnert (1990) notes the impossibility of developing a list of traits that guarantees that if an individual possesses these characteristics, she/he will be an effective leader. The skills and competencies described by this research are not guarantees but indicators of effectiveness.

Gretzel, Lipham, and Campbell (1968) state that

successful leadership is associated with expectations for superior administrative performance and the observation of effective role behavior. Superintendents perceive the relations between the superintendent and her/his personnel (direct reports), boards of education, and the public as important competencies for success (Haugland, 1987).

Because superintendent effectiveness is a measure of concordance between role behavior and role expectations (Getzels, Lipham, & Campbell, 1968), by a variety of people with sometimes conflicting goals, what is perceived as effective by one group may not be perceived as effective by a different group. A former superintendent explains that based on his personal experience, direct reports (principals and central office administrators), may be in the best position to see effectiveness in terms of leadership and management skills (L. Coble, personal communication, April 24, 1995). However selective the perceptions of direct reports may be, the perception of the superintendent's role by her/his followers offers an alternate image to the self-reports of superintendent effectiveness. The focus of this research is to determine if superintendent effectiveness as perceived by direct reports, based on the researcher's effectiveness questionnaire and CCL's Benchmarks® skills, aligns with the superintendent's perceptions.

The review of literature suggests that the assessment of superintendents is needed (Melton, 1987); providing an

effective assessment tool can aid in promoting professional growth and school improvement. Assessment aids in creating a self-portrait, in recognizing how others perceive superintendents, in determining how superintendents measure up to other superintendents, and in determining strengths and weaknesses so superintendents are able to create individual professional development plans (Guskin & Bassis, 1985; Elsaesse, 1990). Assessment is considered a valid tool for the development of successful leaders (CCL, 1994; Guskin & Bassis, 1985; NASSP, 1990; Elsaesse, 1990; Douglas & Johnson, 1986).

A comparison of the literature which discussed Griffiths' educational administration model and leadership characteristics found that the majority of the 16 skills and perspectives focused on by Benchmarks® are common skills addressed in the literature on successful educational leaders (CCL, 1994; Konnert, 1990; Yukl, NASSP, cited in Lunenburg & Ornstein, 1991; Nottingham, 1985; Hesburgh, 1988; Gilley, Fulmer, & Reithlingshoefer, 1986). Therefore, Benchmarks® may be an appropriate assessment tool for educational leaders. In order to determine the validity of Benchmarks® for assessing superintendent skills, direct reports and self perceptions of the superintendent's effectiveness are obtained through the researcher's superintendent effectiveness questionnaire based on the AASA performance goals. The AASA guidelines are the best

available source of information regarding the professional competencies of successful superintendents. The present study will add to the knowledge about superintendent and direct reports perceptions of the skills and professional competencies superintendents need to be an effective school administrator.

CHAPTER III

METHODOLOGY OF THE STUDY

The skills of school superintendents have only partially been identified through prior research. AASA provides the primary source of studies related to the skills and standards of professional competency for the superintendency. The AASA professional standards are used as the basis for the development of the independent measure of effectiveness in this investigation (the superintendent effectiveness questionnaire). In addition, the assessment of skills and perspectives as factors for successful executive managers are evaluated through the use of CCL's (1994) instrument Benchmarks®.

This researcher submitted a proposal (November, 1994) to the Center for Creative Leadership in Greensboro, NC for a doctoral study concerning the validity of using Benchmarks® for assessing the skills of educational leaders. Approval was granted and in May, 1995, as part of a leadership development program for 60 Ohio superintendents (30 superintendents completed the same program in 1994), CCL assessed Ohio superintendent skills utilizing their Benchmarks® assessment tool. The assessment data for the 59 Ohio superintendents who completed the Benchmarks® assessment was downloaded from CCL files for the purposes of

comparing Benchmarks® skills to the concurrent assessment of superintendent effectiveness by the researcher.

One method of assessing effectiveness involves the rating of a professional by her/his subordinates regarding job performance. In order to assess superintendent effectiveness this study had Ohio superintendents and their direct reports (subordinates) concurrently complete the researcher's effectiveness questionnaire.

The major purpose of this study is to determine superintendent effectiveness as perceived by direct reports and superintendents. The relationship between the perceived effectiveness, determined by the researcher's superintendent effectiveness questionnaire, is compared with CCL's Benchmarks® leadership assessment scores for the same superintendents and their direct reports.

This study is designed as a concurrent validity study utilizing factor analyses and structural equation modeling to analyze the relationship between Benchmarks® leadership skills and the independent measures of Ohio superintendent effectiveness. In addition to assessing the validity of using the Benchmarks® instrument with educational executive leaders, this study determines which of the skills identified by superintendents and direct reports are most important to the success of the school superintendents

participating in this investigation. The research questions addressed are related to five major topic areas: (a) superintendent background and characteristics, (b) reliability of the measurement scales, (c) superintendent effectiveness, (d) Benchmarks® skills and perspectives, and (e) the relationship between Benchmarks® skills and superintendent effectiveness.

Research Questions

Superintendent Background and Characteristics

1. What are the characteristics regarding this sample of Ohio superintendents -

   (a) experience, (b) education, (c) age, (d) race, (e) sex, (f) district size, and (g) district description (urban, rural, or suburban)?

2. How does the profile of this sample of superintendents compare to Glass's (1992) national demographics of superintendent characteristics?

Reliability of Measurement Scales

3. How reliable are the indices for the category and magnitude effectiveness scales for measuring superintendent effectiveness?

4. How reliable are the indices for the 16 Benchmarks® scales for measuring superintendent skills and perspectives?

Superintendent Effectiveness

5. What are the direct reports perceptions' about their bosses' effectiveness as defined by the AASA performance standards?

   (a) On which of the AASA performance standards do the direct reports evaluate the Ohio superintendents most positively?

   (b) On which of the AASA performance standards do the direct reports evaluate the Ohio superintendents most negatively?

6. What are the Ohio superintendents' perceptions about their own effectiveness as defined by the AASA performance standards for superintendent effectiveness?

7. How similar are the Ohio superintendents' and direct reports' ratings on the measure of superintendent effectiveness?

Benchmarks® Skills and Perspectives

8. What are the perceptions of Ohio direct reports about the eight Benchmarks® skills rated as most important for their superintendents' effectiveness?

9. What are the perceptions of Ohio superintendents about the eight Benchmarks® skills rated as most important for effectiveness on her/his job?

Benchmarks® vs Superintendent Effectiveness

10. What validity evidence is determined from the structural equation model matrix for utilizing Benchmarks® to measure the leadership skills and perspectives of Ohio superintendents?

The remainder of this chapter is organized in the following manner: First, the Ohio population of superintendents and the sample who participated in this study will be described. Benchmarks® and the superintendent effectiveness questionnaire, the two data collection instruments used for this study, are described in the second part of the chapter. Third, the method of data reduction is described for the two instruments. Fourth a summary of the statistical analyses used to address the research questions are presented.

Population and Sample

The population for this study is 59 Ohio public school superintendents participating in the 1995 leadership development program conducted by the Center for Creative Leadership for Ohio superintendents, under the direction of Larry Coble. A list of these superintendents was obtained from CCL. All 59 Ohio superintendents were presented a letter (Dr. Larry Coble personally delivered the letter to the group during a preliminary workshop explaining the Benchmarks® assessment.) explaining the study, assuring the confidentiality of their responses, and requesting their

participation.

Of the total sample population of 59 Ohio superintendents, ninety-two percent (54) volunteered to participate in this study comparing superintendent effectiveness and Benchmarks® skills. This sample of Ohio superintendents were mailed the following materials for the study: the researcher's superintendent background information form, a self-report superintendent effectiveness questionnaire, and five direct report effectiveness questionnaires to be completed by the same direct reports who completed their Benchmarks® instrument.

CCL managed the administration of Benchmarks® and superintendents were instructed to mail all Benchmarks® materials directly back to CCL. Benchmarks® data were available for all 59 superintendents who participated in the CCL leadership development program for Ohio superintendents.

This researcher did a separate mailing to the 54 Ohio participants and enclosed separate pre-addressed postage-paid envelopes so that the effectiveness questionnaires could be returned directly to Sandra Hood. Responses were received from 47 of the 54 superintendents who agreed to participate, yielding a response rate of 87 percent. Based on the total population of 59 Ohio superintendents in the 1995 CCL leadership program the response rate is 79.7 percent. This sample also represents 52 percent of the total population of 90 superintendents in the state of Ohio.

Direct report responses were received for four superintendents that did not return the effectiveness questionnaire, leaving a useable return of 47 superintendent questionnaires and 224 direct report responses. Data for the superintendent effectiveness measure from superintendents and direct reports were maintained separately by the researcher and later correlated with the Benchmarks® assessment center scores. This procedure will be described in the data reduction section.

Data Collection Instruments

This methodology section describes the two instruments used to collect data for this study. Because Benchmarks® is a copyrighted instrument it may not be reproduced in this study. Permission to utilize Benchmarks® data for this study is granted by CCL and the Ohio superintendents who agreed to participate. The independent measure of superintendent effectiveness, referred to as the superintendent effectiveness questionnaire, is included in Appendix A.

Superintendent Effectiveness Questionnaire

An independent measure of superintendent effectiveness was necessary to validate the utilization of Benchmarks® in determining the leadership skills needed by effective superintendents. This researcher was unable to locate a

short (published or unpublished) instrument specifically designed to evaluate superintendent effectiveness. Realizing that it takes about one hour for each participant to complete the Benchmarks® assessment, criteria for the development of the instrument included a well grounded construct for measuring effectiveness, and the ability to complete the instrument in under fifteen minutes.

The first criterion is satisfied by basing the instrument on the eight AASA professional standards for superintendents. The eight professional areas utilized in the questionnaire are as follows:

1. Leadership and District Culture
2. Policy and Governance
3. Communications and Community Relations
4. Organizational Management
5. Curriculum Planning and Development
6. Instructional Management
7. Human Resource Management
8. Values and Ethics of Leadership (AASA, 1993, p. 2)

In developing the superintendent effectiveness questionnaire the researcher realized that a superintendent may be considered highly effective overall, but not be rated highly effective on each of the AASA guidelines. Therefore, in addition to the eight AASA standards, respondents were asked to judge the superintendent's overall effectiveness. The criterion of brevity is satisfied by assessing the nine questionnaire items in two different ways, a Likert category format and a magnitude scaling format, that requires about 10 minutes for each participant to complete.

Two forms of the same instrument are used to survey participants. Form one is to be completed by the superintendent regarding her/his level of effectiveness on the eight professional AASA standards for superintendent performance and her/his overall effectiveness rating. The second form is the same instrument designed for direct reports to indicate their opinion of the superintendents effectiveness on the same items. To maintain confidentiality, direct reports are instructed to mail the instrument anonymously to the researcher. Therefore, their boss has no access to the responses from the direct reports. Confidentiality is guaranteed and their individual responses are not shared with the superintendent to whom they report.

Two methods of response for each of the nine items are used. First, the respondents are asked to circle the number next to the five point Likert category which best describes the superintendents' effectiveness on that AASA item (see Appendix A for superintendent effectiveness questionnaire). For example the superintendent form directed the respondent to: "Circle the number corresponding to your effectiveness in **LEADERSHIP AND CREATING A HEALTHY DISTRICT CULTURE?**"

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

The second part for each of the nine items asks the respondent to draw a line relative to a given reference line that indicates an average level of effectiveness. The line they draw represents the strength of their opinion about the superintendents' effectiveness. For example the superintendent form directed the respondent to: "Now draw a response line relative to the reference line to represent your effectiveness in **LEADERSHIP AND CREATING A HEALTHY DISTRICT CULTURE?**" This indirect method of measurement is known as magnitude scaling.

Lodge (1981) noted that magnitude scaling is an indirect method of measuring the direction and strength of people's beliefs and preferences. Magnitude scaling is a way to present effectiveness without defining categories quantitatively. The interval assumptions made by respondents about superintendents are used to measure the strength of the respondents opinion. In magnitude estimation, respondent perceptions are matched to the given average reference line and assessed to be proportional to this line. Effectiveness is measured on nine items, a high correlation of these multiple subscales will support the validity claims that the questionnaire measures superintendent effectiveness.

The effectiveness questionnaire was reviewed by a member of CCL's research staff and the dissertation committee members which included professors of educational

leadership, a former school superintendent, and two educational research psychometricians. Revisions were made based on their suggestions and two pilot tests.

The first pilot test consisted of 13 graduate students in an Administrative Leadership Theories class at the University of North Carolina, Greensboro. Most of these students currently work as principals, assistant principals, or central office staff in the North Carolina Public School System and thus have similar experiences to the direct report participants for the Ohio study. Data analyses for the first pilot indicated that the correlation between the Likert category scales and the magnitude scales of responses for the nine items on the instrument ranged from .64 to .86. Six of the relationships between the two scales were found to be significant at the .01 level, the other three were significant at the .05 level. Reliability analyses using the Statistical Package for Social Sciences (SPSS) were performed for the category scales, magnitude scales, and all questionnaire items. The high alpha reliability results for category scales (.92), magnitude scales (.97), and all items (.96) indicated that the respondents understood the effectiveness construct. Several of the first pilot group indicated that they had difficulty in understanding the directions for magnitude scaling. Therefore, the directions were revised and a second pilot test conducted.

The revised instrument was tested a second time with a

group of 18 graduate students consisting of students in educational leadership, curriculum and teaching, and educational research methodology. The new instructions which provided a more clearly stated example question and provided a reference line for each item for magnitude scaling were found to be clearer. Results indicated that six of the correlations between the category and magnitude scales were significant at the .01 level, and three at the .05 level. Coefficient alpha results for the SPSS analyses of reliability were as follows: category scales (.82), magnitude scales (.86), and all items (.90). Magnitude scaling instructions were better understood by participants of the second pilot and the superintendent effectiveness questionnaire was determined to be a reliable measure of superintendent effectiveness for the purposes of this study.

Benchmarks®

Extensive research by the staff at the CCL has led to the development of Benchmarks®. CCL (1994) describes the Benchmarks® assessment tool as:

> "a 164-item, multi-rater feedback instrument for middle- to upper-level managers and executives, not only provides a complete assessment of strengths and developmental needs, but offers an opportunity to identify derailment potential and chart goals for overcoming problem areas" (CCL brochure, p.1).

Benchmarks® was developed from studies of how successful managers develop. Lessons of Experiences,

research by McCall, Lombardo, and Morrison (1988), asked successful business executives to identify three key events in their careers that made a difference in the way they manage. This qualitative study addressed two major questions related to this lasting change in management behavior: 1) What happened? and 2) What did you learn from this experience? CCL (1994) provides the following description of how the dynamics of the Benchmarks® scales were developed:

> Benchmarks® was developed from studies of how successful managers develop, not from what they do or what qualities they should possess to do their jobs. Instruments focusing on what managers do emphasize visible skills and behaviors. Those that measure qualities such as intelligence or optimism emphasize innate characteristics that usually change little across a lifetime. Benchmarks® differs in that it captures what successful executives believe they learned from experience that mattered the most: the skills they developed, how qualities are expressed in behavior, and what values and perspectives are learned (and relearned). In the world executives described, there are few constants. Skills and qualities are mutable-strengths become weaknesses, skills "change" and the context in which they play out is critical (Section I - p. 2).

CCL's (1994) development process for Benchmarks® utilized responses by executives to the research questions to generate three sections of items: 1) lessons which executives reported as learning from critical event in their career, 2) categories of flaws associated with "executive derailment", and 3) the types of job experiences executives found important to their leadership development. Items were reviewed and pilot tested by research and human resource

professionals.

CCL found that "for feedback to be meaningful and easier to interpret, items covering the same concept need to be clustered into scales" (Section II, p. 1). Researchers for CCL chose to construct the scales by looking for items that clustered empirically, but also used their knowledge of priori categories to move items that did not seem to conceptually fit a particular scale. For scale construction purposes, data were gathered from 336 bosses who rated their direct reports using Benchmarks®. Analyses of these data included item standard deviations, factor analyses, item-scale and item-other correlations.

Further refinement determined that the concepts of staffing carefully and self-awareness were not covered in Section I of the Benchmarks® instrument. Therefore, two additional scales were written for these missing constructs of leadership skills. The final version of Benchmarks® had three major sections: " 1) managerial skills and perspectives (16 scales, 106 items), 2) potential flaws (6 scales, 26 items), and 3) the ability to handle difficult management assignments (16 items)" (CCL, 1994, Section II, p. 3).

Benchmarks® does not measure basic administrative skills, job knowledge, or intellectual ability; it claims to predict the skills important for long term leadership potential. CCL (1994) states that the factors measured by

Benchmarks® are learned from experience. One of the major theories of leadership identified by the Lessons of Experience research is that challenging experiences create leadership lessons. The major focus of the present study is on Section I of Benchmarks®, the 16 skills and perspectives for successful leadership. Section II provides information related to problems that can stall a career, and section III addresses handling challenging jobs.

Reasons why the Benchmarks® tool may be relevant to school superintendents include: 1) Superintendents are school executives, and Benchmarks® assesses information about what successful executives believe they have learned from their experiences. 2) Benchmarks® assess skills and perspectives based on the context in which they play out. This is critical because of the diverse and changing role of the superintendent. 3) The ability to determine flaws that may stall a career makes this an instrument which should be evaluated for use with superintendents, that have an average turnover of six and a half years.

Reliability

Scale internal consistencies (alpha, N = 336) are reported by CCL for the 16 skills and perspectives and range from .75 to .97. CCL (1994) reports test-retest reliability estimates for self reports (N = 75) on the 16 skills as ranging from .51 to .87. The lowest self reported

reliability noted by CCL are the skill areas "hiring talented staff" (.51) and "work team orientation" (.62). The lowest test-retest reliability estimate (N = 33) reported by others for a skill area is .71 for "being a quick study"; the additional 15 skills and perspectives reliability estimates range from .80 to .95.

Validity

CCL (1994) notes that content validity is built into the scales by developing items based on the qualitative research of McCall, Lombardo, and Morrison with a sample of successful executives. Validation studies based on the correlation of the bosses' ratings on Benchmarks® with the following criteria for the manager (participant) who completed the Benchmarks® assessment provide further evidence of validation: (a) the bosses' assessment of the manager's promotability, (b) correlations with the assessment of the managers' general performance, (c) performance evaluation ratings two years after the initial Benchmarks® ratings, and (d) subsequent movement of the manager within the organization 24 to 30 months after the initial Benchmarks ratings (CCL, 1994, Section II, p. 6).

Results of these validation studies by CCL (1994) find that 15 of the 16 Benchmarks® scales, excluding the "balance between personal life and work", correlate with at least one of the four criteria measures. Validity study four (N =

253), considered the most rigorous validity study, concludes that all except two of the 16 scales are valid indicators of the skills necessary for successful leadership. The two factors found to be invalid indicators for managerial success in the fourth validity study are "work team orientation" and "balance between personal life and work". CCL (1994) recognizes that the skill category, "balance between personal life and work" is not significantly valid, but contends that its importance to a leader's success justifies leaving this measure in the assessment instrument.

The Benchmarks® instrument is utilized to assess leadership skills across a wide range of organizations. As of September 1993, CCL (1994) reports a database consisting of 746 participants in the upper level/public sector management group. Benchmarks® scores are correlated with the independent effectiveness measure for superintendents to evaluate the validity of using the Benchmarks® instrument with superintendents.

Superintendent Background Information

Extensive biographical information was collected to profile the superintendents in this study. The superintendents educational level, age, sex, and race came from the Benchmarks® data files. The variables of superintendent experience, district size, and whether the district was urban, rural, or suburban were collected as

part of the superintendent effectiveness instrument.

Data Reduction

CCL managed the data reduction for the Benchmarks® instrument, and the researcher separately managed data reduction for the superintendent effectiveness questionnaire. Scoring methods for the copyrighted instrument Benchmarks® are confidential, therefore completed Benchmarks® surveys were returned to CCL for scoring. CCL's policy regarding the confidentiality of the participant data collected by Benchmarks® required that the data be stripped of superintendent names prior to downloading data files. A coding scheme for matching the superintendent effectiveness ratings with the appropriate superintendent Benchmarks® scores was developed, and data were downloaded to an ASCII file for this researcher's analyses.

Data reduction for the superintendent effectiveness questionnaire responses required the numerical entry of a coded identification number for each superintendent, the superintendent background information, the 1 - 5 Likert rating of the nine categorical items, and the length in centimeters of the line drawn in response to the nine magnitude scaled items. A magnitude score was computed for each item, a transformation consisting of log base 10 of the ratio for the measurement of the line drawn by respondents

to the length of the given reference line (which was 7 centimeters in length). These scores represent the respondents judgements about the superintendents' effectiveness on each of the nine effectiveness items.

Statistical Analyses

Data analyses for this study are performed using the statistical package SPSS, including the LISREL module for structural equation modeling. The methods of statistical analyses are presented as they related to the following five major topics of research questions: 1) superintendent background information, 2) reliability of measurement scales, 3) superintendent effectiveness, 4) Benchmarks® skills and perspectives, and 5) the relationship of Benchmarks® and the superintendent effectiveness measures.

For the purposes of answering research question one the demographic variables were summarized using appropriate descriptive statistics (percents, frequencies, averages). In response to research question two these statistics were descriptively compared with those of Glass's (1992) national sample of superintendents.

Reliability for Benchmarks® and the effectiveness measurement scales were analyzed to determine if they are sufficiently reliable for use in this study. Internal consistency reliability analyses were performed for the 16 Benchmarks scales, and for the category and magnitude scales

of the nine effectiveness scales (research questions three and four).

The superintendent effectiveness questionnaire was initially examined by calculating correlations to compare the relationship between the Likert scales and magnitude scales on all nine effectiveness measures. Descriptive statistics (means, standard deviations, percentages) were calculated for the nine categories to describe the perceptions about Ohio superintendents effectiveness (research question five). Data for the direct reports were collapsed for each superintendent providing an average subordinate score of effectiveness, and then analyzed using descriptive statistics to determine the positive and negative judgements by direct reports about their superintendents performance (research question six). The mean values obtained from the effectiveness data were utilized to determine the similarity between the superintendent and the mean of their direct report ratings (research question 7) .

Means and ratings of importance (indicated by superintendents and direct reports) for the Benchmarks® scales were utilized to describe the skills and perspectives of Ohio superintendents in this study. CCL provided for each superintendent and their direct reports the identity of the eight most important skills for the superintendent's success. This experimenter summarized the ranking assigned

by the superintendent and their direct reports for the eight most important skills for superintendent success (research questions eight and nine). Results are compared to the Benchmarks® normative data which lists the most frequently reported skills necessary for a leaders success.

The primary research question investigated the relationship between the scores of Benchmarks® skills and superintendent effectiveness using confirmatory factor analysis and structural equation modeling techniques. The basic LISREL model was the statistical system utilized to test the complex structural model derived from the confirmatory factor analyses of the self and direct report perceptions related to the superintendent's leadership skills, and the superintendent's effectiveness. Kerlinger (1989) explained that the conception of LISREL brought "psychological and sociological theory and multi-variate math and statistical analysis together into a unique and powerful synthesis that will probably revolutionize behavioral research" (p. 609).

The quantitative dimensions of behavioral phenomena such as leadership and effectiveness are not directly observable. A philosophical assumption underlying the hypothetical model is that strength in leadership skills should be related to the superintendent's effectiveness. The confirmatory factor analysis approach was utilized to analyze the responses to the Benchmarks® survey items and

superintendent effectiveness questionnaire to determine the hypothetical variables inferred for the dimensions of superintendent leadership and effectiveness.

Structural Equation Modeling

Once the theories were developed the factor loadings germane to the hypothesized model were utilized in the structural equation model analysis to determine if the hypothetical model was congruent with the obtained data for the study. Assuming the model is true, the structural equation part of the model compares the relationship between the expected values and the values in the observed sample using various goodness-of-fit measures, such as the chi-square test. When the value is small relative to the number of degrees of freedom, the model is said to provide an acceptable fit for the data. Two related models are assessed by subtracting the chi-square for the model with the larger number of degrees of freedom from the chi-square for the model with the smaller degrees of freedom. The resulting chi-square is used to assess whether the model with the larger number of degrees of freedom contributed significantly to the fit of the model to the data.

Morris, Bargain, and Fulginite (1991) stated that "structural equation techniques can be used for the more fundamental purpose of validating measures used in research and practice" (p. 371). Results of the structural analyses,

presented in Chapter Four, are used to respond to the major research question regarding the validity of Benchmarks® in measuring the leadership skills and perspectives of Ohio superintendents.

CHAPTER IV

RESULTS OF THE STUDY

Description of the Sample

During the spring of 1995 CCL conducted a leadership development program for 60 Ohio superintendents. As part of this program superintendents were requested to complete CCL's Benchmarks® assessment tool. The instructions to the Benchmarks® participants requested that each participating superintendent complete the Benchmarks® questionnaire and select an immediate superior, five peers, and five direct reports to complete the same questionnaire about the superintendent's leadership skills and perspectives. Benchmarks® assessment data for 59 Ohio superintendents and 276 direct reports were downloaded from this CCL data base for the purposes of this study. To maintain the privacy of the CCL program participants, names were removed and a numerical superintendent code was used which corresponded to the researcher's superintendent effectiveness data.

This researcher mailed the superintendent effectiveness questionnaires to 54 of the same superintendents who had agreed to participate in this study. These superintendents were asked to complete and return a self effectiveness questionnaire, and ask the same five direct reports who completed Benchmarks® to also complete and return their

perceptions of the superintendents effectiveness. A useable return of effectiveness questionnaires for 47 superintendents and 224 of their direct reports was analyzed for this study. Direct report responses were eliminated for superintendents who did not return their questionnaire.

To maintain the confidentiality of their responses the direct reports returned the effectiveness questionnaires (coded by superintendent id) anonymously to the researcher. Biographical information was not collected from the direct reports. The direct report responses to Benchmarks® and this researcher's effectiveness measure were combined so that the feedback provided superintendents remained anonymous.

Organization of the Chapter

In this chapter, the results are presented as they relate to 10 research questions addressing the self and direct report perceptions of the superintendent's leadership skills and performance competencies important for Ohio school superintendent's effectiveness. The research questions are organized according to five sections in order to present the data in a logical manner. Data are organized under the following five topics: 1) superintendent background information, 2) reliability of measurement

scales, 3) superintendent effectiveness, 4) Benchmarks® skills and perspectives, and 5) the relationship of Benchmarks® and the superintendent effectiveness measures.

Superintendent Background Information

Demographics for the superintendents were obtained from two sources for this study. While there were 59 Ohio superintendents who completed the Benchmarks® assessment, 47 (79.7%) of these participants responded to this researcher's effectiveness instrument. The superintendent's educational level, age, sex, and race came from the sample of 59 Ohio superintendents who completed the Benchmarks® participant background form. Additional variables addressing the superintendents' experience, district size, and whether the district was urban, rural, or suburban are presented for the 47 superintendents who responded to the superintendent effectiveness questionnaire. Since the sample represents only Ohio superintendents, the profile of this sample was compared to Glass's (1992) national demographics to determine the generalizability of this sample of school superintendents.

In this study research questions one and two present the following characteristics regarding this sample of Ohio superintendents, and profile these characteristics with Glass's (1992) national demographics -

(a) experience, (b) education, (c) age, (d) race,

(e) sex, (f) district size, and (g) district description (urban, rural, or suburban).

Experience

Superintendents who completed the superintendent effectiveness questionnaire were asked to indicate their years of experience as a K-12 teacher, assistant principal, principal, central office administrator, total years as a school superintendent, years in their present position as superintendent, other educational experiences such as higher education or educational consulting, and years they may have spent in professions other than education. Table 4 presents the means and standard deviations by experience category. Percentages presented for less than five years of experience and greater than five years of experience do not always total 100 percent because some superintendent's did not indicate any years of experience in categories such as assistant principal, principal, or central office administration.

Table 4

Summary of Ohio Superintendents' Experience (n = 47)

Variable	Mean Years	Standard Deviation	%1 - 5 Years	% > 5 Years
K-12 teacher	7.0	4.34	36.1	63.9
Assistant principal	2.0	2.50	46.8	8.5
Principal	5.5	3.77	29.8	53.2
Central office administration	4.9	5.11	23.4	40.4
Superintendent (total years)	5.2	4.39	70.2	29.8
Superintendent (present position)	3.6	2.68	80.4	17.4
Other educational experience	1.6	4.14	15.2	10.9
Other professions	1.3	2.71	17.1	10.6

The majority (53.2%) of the Ohio superintendents in this study followed the typical career path which includes experience as a teacher, principal or assistant principal, and central office administrator before becoming a superintendent. Glass (1992) stated that 37.7% of the superintendents who responded to his national survey followed the historical career ladder of teacher, principal, and superintendent. He also noted that a career stop in the central office is more necessary than in prior decades to provide the experience in personnel and financial matters. The majority of Ohio superintendents appear to be making this necessary central office stop. Table 5 presents a comparison of the superintendents' years of experience based

on The 1992 Study of the American School Superintendency by Glass and this study of Ohio superintendents.

Table 5

Years of Experience as a School Superintendent

Years in Current Position	Ohio (1995) Profile	Glass's (1992) National Profile
0 - 3	58.7	38.8
3.1 - 6	28.3	24.7
6.1 - 9	6.5	13.4
9.1 >	6.5	23.0
Total Years as a Superintendent		
0 - 4	57.4	25.6
5 - 9	25.6	28.2
10 - 14	12.7	19.9
15 >	4.2	26.3

Results of the comparisons between the years of experience of the Ohio superintendents' profile and the national profile indicate quite different levels of experience. After six years, the percent of Ohio superintendents in this sample have significantly fewer years in their current position. It was also determined that 83 percent of these superintendent's have less than 10 years total experience.

Education, Age, Race, Sex

Demographic characteristics of education, age, race, and sex were obtained from CCL's participant background form which was completed by the 59 Ohio superintendents (n = the

number of valid observations available for each demographic item). Thirty-one percent (n = 55) of the sample of Ohio superintendents indicated they hold a doctorate degree. The remainder indicated they hold a master's degree. The median and average age for the superintendents (n = 54) in this study is 48 years old. Ages of the participants ranged from 38 to 63 years. All of the superintendent's in this sample group are white. Based on the Benchmarks® biographical responses 92.6 % (50, n = 54) of the superintendents in this sample are male, and 7.4 % (4, n = 54) are female. Three of the four females in this sample completed the effectiveness questionnaire.

A comparison between the Ohio superintendents in this study and Glass's (1992) national profile for the demographic factors of education, age, race, and sex are presented in Table 6. These variables are found to be very similar for the Ohio sample and Glass's national profile.

Table 6

A Comparison of the Ohio Demographic Profile to Glass's National Profile

Demographic Variable	Ohio Percent	National Percent
Hold a doctorate	31.0	36.0
Age	48.0	49.8
White Ethnicity	100.0	96.1
Male	92.6	93.4
Female	7.4	6.6

District Size

Superintendents were asked to describe the size of their school district by indicating the number of schools, number of students, number of teachers, and number of employees under their supervision. Table 7 presents the frequency and percentage of responses for each of the Ohio district size categories.

Table 7

District Size

Variable	Frequency	Percent
Number of schools (n = 46)		
1 - 5	29	63.0
6 - 10	13	28.3
11 - 32	4	8.7
Number of students (n = 46)		
700 - 999	7	15.2
1000 - 1999	20	43.5
2000 - 2999	7	15.2
3000 - 3999	2	4.3
4000 - 4999	3	6.5
5000 - 5999	2	4.3
6000 - 9999	2	4.3
>10000	3	6.5
Number of teachers (n = 44)		
0 - 99	23	52.3
100 - 199	10	22.7
200 - 299	5	11.4
300 - 399	2	4.5
>400	4	9.1
Number of employees (n = 52)		
10 - 99	8	15.4
100 - 999	40	76.9
1000 - 4999	4	7.7

Table 8 presents the size of the districts participating in the Ohio sample compared to Glass's (1992) national profile. The data indicate that Ohio school districts serve fewer students than the national average. Seventy-four (73.9) percent of the Ohio superintendents surveyed provide leadership for school districts with

profiles of less than 3000 students compared to fifty-six (56.2) percent nationally.

Table 8

Size of District in Sample

Students served	Ohio	Glass (1992)
<1000	15.2	31.5
1000 - 2999	58.7	24.7
3000 - 4999	10.8	14.6
5000 - 9999	8.6	12.3
>10000	6.5	16.9

District Description

Superintendents in this study were predominately from rural district's (55.3%). Thirty-two percent indicated that their district's population was suburban, and the remaining (13%) superintendents responded their schools are located in urban districts.

The majority (61.2%) of superintendent's in Glass's national survey and this Ohio sample (55.3%) were also rural superintendents. The second highest group of Ohio superintendents (27.5%) reported working in suburban districts. This Ohio percent of suburban superintendents is similar to the national profile. Additionally, the Ohio sample reported 13.0% were in urban areas compared to Glass's 1992 national profile of 11.4%.

The comparison of this sample of Ohio superintendents to a national profile provides some evidence that this Ohio sample has the following similar demographic characteristics: education, age, race, sex, and career path experiences. This group of Ohio superintendents are less experienced than the national average which is indicated by the responses given to the questions related to the number of years in their present position, and in the total number of years they have been a superintendent.

Reliability of Measurement Scales

Reliability indices for the category and magnitude effectiveness scales for measuring superintendent effectiveness were analyzed, using the SPSS/PC software, to respond to research question three. Analyses of the coefficient alpha for the researcher's superintendent effectiveness items for 47 superintendents and averaged direct report responses are presented in Table 9. Item number 9 asked the respondents to indicate their perception of the superintendents overall effectiveness and therefore, was not included in the alpha item reliability analyses.

Table 9

Effectiveness Questionnaire Alpha Reliability

Scales	Superintendents (n = 47)	Direct Reports ($\bar{n}$ = 47)
Likert (8 items)	.50	.88
Magnitude (8 items)	.84	.93

The high alpha reliability for the direct report responses indicates that superintendent's subordinates were most consistent in responding to the effectiveness instrument. The lower alpha reliability for the Likert superintendent items indicates the value of using more than one method to assess constructs such as effectiveness. Since the Likert and magnitude scales measured the same effectiveness constructs, and due to the lower Likert category scales alpha of .50 for superintendents, the researcher decided to eliminate the Likert category from the presentation of factor analysis results in this chapter. The magnitude effectiveness indices presented in this study are reliable constructs for measuring superintendent effectiveness.

The reliability indices for the 16 Benchmarks® scales for measuring superintendent skills and perspectives answer research question four and are presented in Table 10. This researcher used Dr. Hattie's rescoring of the

Benchmarks® survey items in evaluating the 16 skills and perspectives of this sample of Ohio superintendents. Table 10 presents the alpha reliability estimates based on the rescored items for the Benchmarks® survey (see Appendix B for scoring of survey items).

Table 10

Reliability Estimates for Benchmarks® Scales

Scale	Superintendent Alpha (n = 47)	Direct Report Alpha ($\bar{n}$ = 47)
1. Resourcefulness	.53	.79
2. Doing whatever it takes	.57	.88
3. Being a quick study	.65	.84
4. Decisiveness	.65	.83
5. Leading employees	.56	.78
6. Setting a developmental climate	.56	.75
7. Confronting problem employees	.64	.79
8. Work team orientation	.66	.68
9. Hiring talented staff	.59	.80
10. Building and mending relationships	.47	.83
11. Compassion and sensitivity	.59	.83
12. Straightforwardness and composure	.72	.70
13. Balance between personal life and work	.72	.76
14. Self-awareness	.48	.83
15. Putting people at ease	.81	.90
16. Acting with flexibility	.47	.78

The results of the alpha reliability analyses presented for the 16 Benchmarks® scales suggest that the scales are reliable constructs for assessing the superintendent's

leadership skills. The higher alpha coefficients for direct reports may be due to the use of averaged item data from the larger data base of 276 direct reports.

Superintendent Effectiveness

Kerlinger (1986) states that "factor analysis can be conceived as a construct validity tool" (p. 590). Factor analysis was used as a tool in this research to determine the relationships between the various constructs of a superintendent's leadership and her/his effectiveness. In order to simplify the measures of superintendent effectiveness and explore the fundamental properties underlying a superintendent's effectiveness a number of factor analyses were ran for the self reported data of the 47 superintendents' and the individual direct reports' 224 responses about their superintendent's effectiveness.

Descriptive statistics are presented in Tables 11-13 to answer research questions 5, 6, and 7. These questions address the similarities and differences of direct report and superintendent perceptions' about the superintendent's effectiveness as defined by the AASA performance standards for superintendent effectiveness.

Superintendents and their direct reports were asked to judge their superintendent's effectiveness based on the eight AASA performance guidelines. Table 11 presents the eight AASA performance mean values for the magnitude scales,

reflecting the 224 direct reports' and 47 superintendents' perceptions about their superintendents' performance. These data suggest that superintendents and direct reports agree on the areas where the superintendent performs more positively or negatively based on the AASA performance standards.

Table 11

Direct Report (n = 224) and Superintendent Perceptions' (n = 47) about their Superintendents' Effectiveness

AASA Variable Magnitude Scales Only	Mean Direct Reports	Mean Superintendents
Values and Ethics	.14	.14
Policy and Governance	.14	.13
Organizational Management	.14	.14
Communications and Community Relations	.14	.14
Leadership and District Culture	.14	.14
Human Resource Management	.14	.14
Curriculum Planning	.13	.13
Instructional Management	.13	.13

The magnitude scales ranged from a minimum value of .08 to a maximum of .18. Because of this narrow range, the slightly lower mean values of .13 in Table 11 suggest that superintendents and direct reports view curriculum planning and instructional management as constructs of effectiveness where improvements could be made. Additionally, these results indicate that superintendents perceive their

effectiveness in policy and governance less effective than do their direct reports.

Item 9 of the effectiveness instrument asked the respondents to rate the overall effectiveness of the superintendent. Analysis of item number 9 for the magnitude measure resulted in a mean value of .14 for both groups of respondents, indicating superintendents and direct reports perceive the superintendent's overall effectiveness the same.

Measurement Model for Superintendent Effectiveness

To explore the eight effectiveness variables and identify the relationships underlying the variables, a maximum liklihood factor analyses of the effectiveness measures were carried out for one, two, and three factor models using the SPSS/PC factor analysis program. The results were rotated using the Oblimin procedure. The measurement models for superintendents and direct reports were developed utilizing the 47 superintendent and 224 direct report responses to the superintendent effectiveness instrument (see Table 12 and 13).

Two criteria were used to determine the best model. First, the differences between the resulting chi-squares with the larger degree of freedom and the model with the smaller degrees of freedom were subtracted to determine the model with the best fit. Second, all factors must be

interpretable. It was determined that the two factor superintendent effectiveness model accounted for 54.5% of the variance from the items in the effectiveness measure, and offered the best fit for the superintendent effectiveness data (chi-square = 13.73, 13 df). Table 12 presents the factor loadings for the exploratory factor analyses of the two factor model for superintendent effectiveness.

Table 12

Exploratory Factor Loadings for the Two-Factor Superintendent Effectiveness Model (with Oblimin rotation)

Variables	Factor (A)	Factor (B)
1. Leadership and District Culture	.57	.17
2. Policy and Governance	.81	-.11
3. Communications and Community Relations	.48	.29
4. Organizational Management	.61	.03
5. Curriculum Planning and Development	-.04	.71
6. Instructional Management	.11	.95
7. Human Resource Management	.71	-.10
8. Values and Ethics	.72	.07

Note: The higher loadings of the two factors are bold.

There was a correlation of .35 between these two dimensions of superintendent's self reported effectiveness. In order to define the two major dimensions of superintendent effectiveness the researcher conferred with educational leadership professors, a former school superintendent, and doctoral candidates in educational leadership in selecting the labels used to describe the factors of effectiveness in this research. This committee and the researcher reviewed the relationships between the items resulting from the factor analyses of superintendent

effectiveness before applying the following labels to factors A, and B. Six items were found to be important underlying variables to factor (A): item (1) leadership and district culture, item (2) policy and governance, item (3) communication and community relations, item (4) organizational management, item (7) human resource management, and item (8) values and ethics. By effectively meeting regulatory requirements, formulating policy, applying standards, gathering and analyzing data, making appropriate decisions, delegating, scheduling personnel, and developing and managing the school district's budget superintendents are able to conduct school business effectively. Additionally, these items relate to the superintendent's ability to establish the culture of the school organization by communicating a vision, creating a healthy district school climate, and strengthening community support in a political setting. Collaboration with educational leaders defined the combination of these effectiveness constructs as "creating effective school environments".

Factor (B) included item (5) curriculum planning and development, and item (6) instructional management. Items five and six suggest the superintendent's effectiveness is also determined by her/his ability to identify instructional objectives, measure the schools performance, use appropriate technology and assessment tools, and create a multi-

culturally sensitive school setting. Because these goals indicate that the schools' superintendents must understand and promote the quality of teaching and learning that occurs in the schools that he/she supervises, this factor was labeled as the ability to "facilitate teaching and learning". Throughout the rest of this research paper these labels will be applied to the two major dimensions of superintendent effectiveness and are the foundation for the superintendent self-perception measurement model presented in Figure 1.

Figure 1

Superintendent's Self Perception of Effectiveness

A. CREATING EFFECTIVE SCHOOL ENVIRONMENTS

Leadership and District Culture
Policy and Governance
Organizational Management
Communications and Community Relations
Human Resource Management
Values and Ethics

B. FACILITATES EFFECTIVE TEACHING AND LEARNING

Curriculum Planning and Development
Instructional Management

Direct Report Perceptions of Superintendent Effectiveness

Exploratory factor analyses were also conducted to determine the direct report's perceptions of their superintendent's effectiveness. Again the differences between the resulting chi-square of 47.94 with 13 degrees of freedom for the two factor model, and the chi-square of

144.13 with 20 degrees of freedom for the one factor model was subtracted to determine the model with the best fit and interpretibility. The two factor model was determined to provide the best fit and interpretation for the data.

The resulting two factor model of direct report's perception of superintendent effectiveness is presented in this research. These two dimensions accounted for 69.7% of the variance from the items in the effectiveness measure. There was a correlation of .74 between the two dimensions of effectiveness perceived by the direct reports in this study.

Table 13

Exploratory Factor Loadings for the Two-Factor Direct Report Effectiveness Model (with Oblimin rotation)

Variables	Factor (A)	Factor (B)
1. Leadership and District Culture	.74	.19
2. Policy and Governance	.77	.13
3. Communications and Community Relations	.94	-.13
4. Organizational Management	.49	.30
5. Curriculum Planning and Development	-.07	.91
6. Instructional Management	.03	.86
7. Human Resource Management	.25	.55
8. Values and Ethics	.39	.49

Note: The higher loadings of the two factors are bold.

Factor analysis of the direct report responses determined that subordinates view the two major constructs of superintendent effectiveness differently. It is now evident that the underlying variables perceived as important components of these constructs are different. Figure 2 suggests that direct reports see human resource management as a component of construct B, "facilitates effective teaching and learning". The effectiveness variable of values and ethics is perceived by direct reports as an important construct of both "creating effective school

environments" and "facilitating effective teaching and learning". An important result is indicated by the subordinates and superintendents agreement that a superintendent's effectiveness includes the instructional role of curriculum planning and development, and instructional management as important elements of "facilitating effective teaching and learning".

Figure 2

Direct Report's Perception of Effectiveness

A. CREATING EFFECTIVE SCHOOL ENVIRONMENTS

Leadership and District Culture
Policy and Governance
Organizational Management
Communications and Community Relations
Values and Ethics

B. FACILITATES EFFECTIVE TEACHING AND LEARNING

Human Resource Management
Curriculum Planning and Development
Instructional Management
Values and Ethics

Benchmarks® Skills and Perspectives

Analyses of the fundamental constructs underlying a superintendent's and direct report's perceptions of superintendent leadership skills were conducted using the exploratory factor analysis procedure with the Benchmarks® data. Factor analyses were run for the self reported data of the 59 superintendents' and the individual direct reports' 276 responses about their superintendent's

leadership skills.

Measurement Model for Superintendent Leadership Skills

Measurement results for the two factor analyses of the superintendent Benchmarks® skills are presented in Table 14. The differences between the resulting chi-squares with the larger degree of freedom and the model with the smaller degrees of freedom were subtracted to determine the model with the best fit and interpretibility. The exploratory factor loadings of the superintendent's skills presented in Table 14 demonstrate superintendent's perceive two dimensions to leadership. The resulting chi-square of the two factor model was 94.83 with 89 degrees of freedom. These two leadership dimensions accounted for 40 percent of the variance in the Benchmarks® skill items measured.

Table 14

Exploratory Factor Loadings for the Two-Factor Superintendent Benchmarks® Skill Measurement Model

(N = 59, with Oblimin rotation)

Benchmarks® Variables	Factor (A)	Factor (B)
1. Resourcefulness	.66	.09
2. Doing Whatever it Takes	.81	-.22
3. Being a Quick Study	.30	.09
4. Decisiveness	.61	-.25
5. Leading Employees	.60	.24
6. Setting a Developmental Climate	.74	.02
7. Confronting Problem Employees	.57	.10
8. Work Team Orientation	.29	.30
9. Hiring Talented Staff	.50	.29
10. Building and Mending Relationships	-.06	.82
11. Compassion and Sensitivity	.38	.41
12. Straightforwardness and Composure	.18	.42
13. Balance between Personal Life and Work	-.18	.51
14. Self-Awareness	.34	.42
15. Putting People at Ease	.05	.55
16. Acting with Flexibility	.36	.51

Note: The higher loadings of the two factors are bold.

The labels that CCL has used to describe the major three skill clusters for the Benchmarks® constructs have been applied as follows to these two factors: Factor (A), combines the Benchmarks® clusters (see Tables 1-3) of "handling demands of the job" and "dealing with employees"; and Factor (B), matches the skills contained in the cluster

described as "respect for self and others." Throughout the rest of this dissertation these labels will be applied to the two major constructs of superintendent leadership and are the foundation for the measurement model presented in Figure 3.

Figure 3

Superintendent's Perception of Benchmarks® Leadership Skills

A. HANDLING DEMANDS OF THE JOB
B. DEALING WITH EMPLOYEES

Resourcefulness
Doing whatever it takes
Being a quick study
Decisiveness
Leading employees
Setting a developmental climate
Confronting problem employees
Work team orientation
Compassion and sensitivity
Hiring talented staff

C. RESPECT FOR SELF AND OTHERS

Work team orientation
Building and mending relationships
Compassion and sensitivity
Straightforwardness and composure
Balance between personal life and work
Self-awareness
Putting people at ease
Acting with Flexibility

The small difference in the factor loadings for work team orientation, and compassion and sensitivity suggest these constructs are viewed by superintendents as subcomponents of both leadership dimensions.

Direct Reports' Perceptions about Superintendent Leadership

Measurement results for one, two, and three factor

analyses of the direct report Benchmarks® skills were analyzed using the same research methods as for superintendent leadership data. Analyses determined the two factor model provides the best fit. Table 15 presents the factor loadings for the exploratory factor analyses of the two factor model for direct report's perception of their superintendent's leadership skills. The factor loadings of the direct reports' perceptions of his/her superintendent's skills indicate that direct reports view the variables of leadership as two dimensions with different underlying constructs. The variation in the superintendent and direct report perceptions are elements of the human skill cluster "dealing with employees." Different from the superintendent's view, direct reports associate leading employees, setting a developmental climate, and hiring talented staff with the conceptual skills of "respect for self and others." This finding could be related to the earlier conclusion that direct reports view human resource management as a construct of "facilitating effective teaching and learning," while superintendents placed this effectiveness construct with "creating effective school environments."

The analysis for the two factor model of direct reports Benchmarks® skills determined a chi-square value of 235.92 with 89 degrees of freedom. These two leadership dimensions accounted for 56 percent of the variance from the 16

leadership skills.

Table 15

Exploratory Factor Loadings for the Two-Factor Direct Report Benchmarks® Skill Measurement Model

(n = 47, with Oblimin rotation)

Benchmarks® Variables	Factor (A)	Factor (B)
1. Resourcefulness	**.54**	.38
2. Doing Whatever it Takes	**.78**	.23
3. Being a Quick Study	**.69**	.15
4. Decisiveness	**.69**	-.15
5. Leading Employees	.34	**.58**
6. Setting a Developmental Climate	.40	**.52**
7. Confronting Problem Employees	**.66**	.02
8. Work Team Orientation	.11	**.48**
9. Hiring Talented Staff	.33	**.54**
10. Building and Mending Relationships	.07	**.83**
11. Compassion and Sensitivity	.02	**.81**
12. Straightforwardness and Composure	-.09	**.63**
13. Balance between Personal Life and Work	-.04	**.34**
14. Self-Awareness	.26	**.64**
15. Putting People at Ease	-.14	**.79**
16. Acting with Flexibility	.01	**.89**

Note: The higher loadings of the two factors are bold.

The major finding of concern determined by the exploratory factor analyses approach is that the self and direct reports perception of Benchmarks® leadership skills suggests that subordinates and their boss do not view superintendent leadership the same. The dimensions of superintendent leadership as perceived by direct reports are

presented in Figure 4.

Figure 4

Direct Report's Perception about Superintendent's Benchmarks® Skills

A. HANDLING DEMANDS OF THE JOB

Resourcefulness
Doing whatever it takes
Being a quick study
Decisiveness
Confronting problem employees

B. RESPECT FOR SELF AND OTHERS
DEALING WITH EMPLOYEES

Leading employees
Setting a developmental climate
Building and mending relationships
Work team orientation
Hiring talented staff
Balance between personal life and work
Compassion and sensitivity
Straightforwardness and composure
Self-awareness
Putting people at ease
Acting with Flexibility

The Benchmarks® leadership assessment survey asks respondents to identify eight of the sixteen qualities that the respondents consider to be the most important for success in their organization. These Benchmarks® data were used to identify the eight factors that superintendents and direct reports rated as most important for the superintendent's success (research question 8 and 9). Table 16 presents the eight most important skills identified by

superintendent, direct report, and CCL normative data for upper public sector leaders who have completed the Benchmarks® assessment. The skills are presented with the most frequent skill listed as the first item in the table.

Table 16

Skills Important for Superintendent Leadership Success

Superintendent Rating (N = 59)	Direct Report Rating (N = 276)	Benchmarks® Norms (N = 45665)
Hiring Talented Staff	Leading Employees*	Leading Employees
Acting with Flexibility	Acting with Flexibility	Acting with Flexibility*
Setting a Developmental Climate	Hiring Talented Staff*	Resourcefulness
Leading Employees	Resourcefulness	Work Team Orientation
Resourcefulness	Setting a Developmental Climate	Setting a Developmental Climate
Work Team Orientation	Work Team Orientation	Straightforwardness and Composure
Straightforwardness and Composure	Straightforwardness and Composure	Hiring Talented Staff
Building and Mending Relationships*	Building and Mending Relationships	Doing Whatever It Takes
Decisiveness		

Note: An (*) by a skill item indicates that skill had the same percent of responses as the next skill listed in the table.

Although the rank order of the first five skills important for superintendent success vary, the eight most common skills were reported the same by superintendents and their direct reports.

Comparing the skills that superintendents and direct

reports found important for superintendent success to the factor analyses results presented in Tables 14 and 15 presents an interesting finding. Superintendent and direct reports were consistent in what they perceived as important skills for superintendents success and the results of the leadership dimensions based on the Benchmarks® survey data. Four of the first five skills (hiring talented staff, setting a development climate, leading employees, and resourcefulness) rated by superintendents as important for their success were constructs of the first leadership dimension (see Figure 3). Comparison of the direct report ranking of skill importance to the direct report factor analysis presented in Table 15 provides evidence they view seven of the skills, all except resourcefulness, important for superintendent success as constructs of the second leadership dimension (see Figure 4).

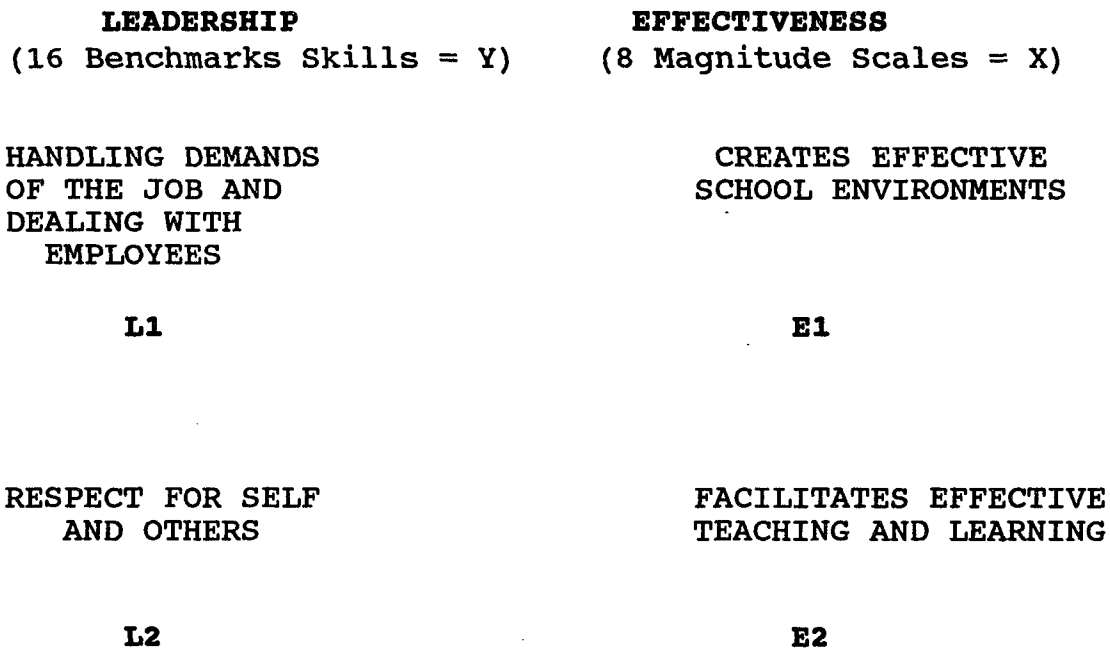
Benchmarks® vs Superintendent Effectiveness

The major purpose of this research was to determine the relationship between leadership skills and superintendent effectiveness. Structural equation modeling was implemented to investigate the hypothetical models developed for superintendent's and direct report's perceptions. Relationships between the two major dimensions involved in superintendent leadership (handling demands of the job combined with dealing with employees, and respect for self

and others), and the two dimensions discovered for superintendent effectiveness (creating effective school environments, and facilitating effective teaching and learning). Figure 5 presents the hypothetical structure model of the leadership-effectiveness relationships to be tested.

Figure 5

A Covariance Structure Model of Superintendent Leadership-Effectiveness Relationships



The equivalent structural models were tested for superintendent data and direct report data. PRELIS and LISREL (Joreskog and Sorbom, 1986) were utilized to perform the structural analyses, and determine the fit of the superintendent and direct report data to the two theorized

models. The superintendent model to be investigated involves two latent variables for superintendent leadership skills and two for superintendent effectiveness. The direct report model determined to provide the best fit and interpretability was tested for two latent variables for superintendent leadership and two for superintendent effectiveness. Results of the structural equation analyses were used to respond to the major research question 10 regarding the validity of Benchmarks® in measuring the skills and perspectives of Ohio superintendents.

Table 17 presents the completely standardized LISREL solution between the 16 Benchmarks® skills (lambda Y) and the two major dimensions of superintendent leadership. The remaining loadings were constrained to zero so that the hypothesized pattern could be assessed.

Table 17

Superintendent Factor Loadings for Benchmarks® Skills with Corresponding Leadership Factors (n = 47)

Benchmarks® variables	Handling Demands of the Job/Dealing with Employees	Respect for Self and Others
1. Resourcefulness	.77	.00
2. Doing Whatever it Takes	.70	.00
3. Being a Quick Study	.42	.00
4. Decisiveness	.33	.00
5. Leading Employees	.64	.00
6. Setting a Developmental Climate	.73	.00
7. Confronting Problem Employees	.55	.00
8. Work Team Orientation	.00	.12
9. Hiring Talented Staff	.61	.00
10. Building and Mending Relationships	.00	-.03
11. Compassion and Sensitivity	.00	-.02
12. Straightforwardness and Composure	.00	.36
13. Balance between Personal Life and Work	.00	-.14
14. Self-Awareness	.00	.74
15. Putting People at Ease	.00	.66
16. Acting with Flexibility	.00	1.01

The pattern indicates the leadership variables 14, 15, and 16 dominated the second factor, and the other variables allowed to load on the second factor were not of major importance to the second dimension.

Table 18 presents the completely standardized solution between the 8 magnitude effectiveness scales (lamba X), and the two major dimensions of superintendent

effectiveness. Again, the remaining loadings were constrained to zero so that the hypothesized pattern could be assessed.

Table 18

Superintendent Factor Loadings for AASA Effectiveness Standards with Corresponding Effectiveness Factors (n = 47)

Effectiveness Variables	Creates Effective School Environments	Facilitates Effective Teaching and Learning
1. Leadership and District Culture	.71	.00
2. Policy and Governance	.70	.00
3. Communications and Community Relations	.68	.00
4. Organizational Management	.61	.00
5. Curriculum Planning and Development	.00	.64
6. Instructional Management	.00	1.05
7. Human Resource Management	.63	.00
8. Values and Ethics	.74	.00

The examination of the superintendent relationships between leadership and effectiveness was accomplished by correlating the two dimensions of leadership with the two dimensions of effectiveness. The results are shown in Table 19.

Table 19

Relationship between Superintendent Leadership Factors and Effectiveness Factors

Leadership Factors	Creates Effective School Environments	Facilitates Effective Teaching and Learning
Demands of the Job and Dealing with Employees	.15	.19
Respect for Self and Others	.22	.15

The next stage of analysis was to generate a covariance matrix to determine the relationships between leadership and effectiveness for the model being tested. Resulting relations between leadership and effectiveness as perceived by superintendents are given in Table 20

Table 20

Observed Correlations for the Two Leadership Factors and Two Effectiveness Factors for Superintendent Results (n = 47)

	Demands of the Job Dealing with Employees L1	Respect for Self and Others L2	Creates School Environments E1	Facilitates Effective Teaching and Learning E2
L1	1.00			
L2	.15	1.00		
E1	.26	.13	1.00	
E2	.28	.03	.59	1.00

Results of the correlation matrix and the significance of the resulting chi-square value of 381.71 (df = 246, p = < .001) for the hypothetical superintendent model indicate that the model is not a "good" fit. The generated goodness of fit index was .658 which is considerably lower than the value of .90 necessary to suggest a "good" fit for the model.

Structural equation analyses was repeated for the direct report data testing the same model as reported for superintendent perceptions (see Table 17). Tables 21 to 24 present the same analyses to investigate the relationship between direct report's perceptions of their superintendent's leadership and their superior's effectiveness.

Table 21

Direct Report Factor Loadings for Benchmarks® Skills with Corresponding Leadership Factors ($\bar{n}$ = 47)

Benchmarks Variables	Handling Demands of Job/Dealing with Employees	Respect for Self and Others
1. Resourcefulness	.91	.00
2. Doing Whatever it Takes	.89	.00
3. Being a Quick Study	.73	.00
4. Decisiveness	.56	.00
5. Leading Employees	.86	.00
6. Setting a Developmental Climate	.90	.00
7. Confronting Problem Employees	.60	.00
8. Work Team Orientation	.00	.70
9. Hiring Talented Staff	.83	.00
10. Building and Mending Relationships	.00	.87
11. Compassion and Sensitivity	.00	.82
12. Straightforwardness and Composure	.00	.69
13. Balance between Personal Life and Work	.00	.35
14. Self-Awareness	.00	.77
15. Putting People at Ease	.00	.75
16. Acting with Flexibility	.00	.93

Table 22

Direct Report Factor Loadings for AASA Effectiveness Standards with Corresponding Effectiveness Factors ($\bar{n}$ = 47)

Effectiveness Variables	Creates Effective School Environments	Facilitates Teaching and Learning
1. Leadership and District Culture	.94	.00
2. Policy and Governance	.90	.00
3. Communications and Community Relations	.88	.00
4. Organizational Management	.89	.00
5. Curriculum Planning and Development	.00	.46
6. Instructional Management	.00	.96
7. Human Resource Management	.89	.00
8. Values and Ethics	.76	.00

Table 23

Relationships between Direct Reports' Perception of Superintendent Leadership Factors and Effectiveness Factors

Leadership Factors	Creates Effective School Environments E1	Facilitates Teaching and Learning E2
L1. Demands of the Job and Dealing with Employees	.25	.45
L2. Respect for Self and Others	.08	.42

Table 24

Observed Correlations for the Two Leadership Factors and Two Effectiveness Factors for Direct Reports ($\bar{n}$ = 47)

	Demands of the Job Dealing with Employees L1	Respect for Self and Others L2	Creates Effective School Environments E1	Facilitates Effective Teaching and Learning E2
L1	1.00			
L2	.84	1.00		
E1	.67	.31	1.00	
E2	.69	.35	.94	1.00

Results of the correlation matrix for the direct reports and the significance of the resulting chi-square value of 466.60 246, p = <.001) for the hypothetical direct report model indicate that the model is not a "good" fit. The generated goodness of fit index was .563 which is considerably lower than a value of .90 necessary to suggest a "good" fit for the model.

A major finding for this study is that the superintendent and direct report data presented a poor fit for the models tested. Superintendent leadership and effectiveness appear to be separate ideologies. The two highest correlations determined from the structural equation modeling were: 1) between direct report perceptions of the leadership dimensions of demands of the job and dealing with employees with the effectiveness dimension of facilitating

teaching and learning (.45), and 2) between the leadership dimension of respect for self and others and the effectiveness dimension of facilitating teaching and learning (.42). This conclusion emphasizes the importance that direct reports place on the instructional dimensions of the superintendent's leadership role in evaluating their superior's effectiveness.

Additionally, multiple regression analyses between the two dimensions of effectiveness and leadership were run to confirm the relationship findings. Multiple regression results for the superintendent data agreed with the previous conclusion that superintendents perceive no significant relationship between leadership and the two effectiveness dimensions (E1: $F(2,44) = 1.62$, $r^2 = .07$, $p > .05$; E2: $F(2,44) = 1.11$, $r^2 = .05$, $p > .05$). More of an effect was determined for the direct report perceptions about their superintendents' effectiveness dimensions and his/her leadership factors (E1: $F(2,44) = 10.01$, $r^2 = .31$, $p < .001$; E2: $F(2,44) = 8.12$, $r^2 = .27$, $p = .001$). The major effect perceived by direct reports was between the second leadership dimension of "respect for self and others" with both effectiveness dimensions.

Benchmarks® and the superintendent effectiveness questionnaire were found to be reliable instruments to measure the constructs for this research. The poor fit of the final structural equation models led this researcher to

conclude that a superintendent's leadership skills are not the behaviors associated with their effectiveness. A major finding of this research suggests there is little relationship between superintendent's leadership skills and their effectiveness. An overview of the findings, implications of this study for current theory, and recommendations for further research are presented in Chapter 5.

CHAPTER V

CONCLUSIONS

General Conclusions

This study added to the limited research describing superintendent and direct report perceptions about superintendent effectiveness and leadership skills. The objective of this study was to answer research questions related to the Ohio superintendents and their direct reports involving five topics: 1) superintendents' background information, 2) the reliability of the effectiveness and leadership measurement scales, 3) superintendent perceived effectiveness, 4) Benchmarks® leadership skills, and 5) the relationship between superintendent effectiveness and leadership skills.

Ohio superintendents in this investigation are characterized as white, male, middle aged, and college educated. In this study, the demographic characteristics of education, age, race, and sex were presented for Ohio superintendents and compared to Glass's (1993) national survey of superintendents. These variables were found to be very similar for the Ohio sample and Glass's national profile. Comparison of these variables suggest that the results of the this research may be generalizable to other superintendent populations with similar demographic

characteristics.

Analysis of the data for the background information variable of experience found that the majority of Ohio superintendent's followed the typical career path which includes experience as a teacher, principal or assistant principal, and central office administrator before becoming a superintendent. Glass (1993) noted that a career stop in the central office is more necessary than in prior decades to provide experience in personnel and financial matters. It was determined that this sample of Ohio superintendent's had fewer years of experience than superintendents nationally. The majority of the superintendents who participated responded that their district's population was rural, their district's size was less than 10 schools, and less than 3000 students.

Alpha reliability was analyzed for all measurement categories in this study. The superintendent effectiveness questionnaire, based on the eight AASA performance competencies, utilized Likert scales and magnitude scales to evaluate superintendent self-reported and direct report perceptions of the superintendent's effectiveness. Reliability of these two scales indicated that the magnitude scales were more reliable (.84 for superintendent, and .93 for direct reports) in accessing the constructs of

superintendent effectiveness. The results of the alpha reliability for the Benchmarks® scales generated alpha reliability estimates of .68 to .90 for direct report data. The smaller population of superintendents in the data base may have lowered the reliability of the superintendent responses which ranged from .47 to .72 for the same 16 leadership scales. All indices were found to be reliable for measuring the constructs of superintendent effectiveness and leadership. A benefit of using measurement models in this study is the strong evidence provided the practitioner that the assessment tools utilized in this research measure what they purport to measure.

Mean data for direct report and superintendent perceptions' about their superintendent's effectiveness suggested they view the superintendent's overall performance as effective. Superintendent's self and direct report effectiveness ratings were slightly lower for the AASA performance variables of curriculum planning and instructional management.

In order to explore the fundamental properties underlying a superintendent's effectiveness a number of factor analyses were run for the self reported data for 47 superintendents' and the individual direct reports' 224 responses about their superintendent's effectiveness. It was determined that superintendent's and their direct reports identify two underlying dimensions to effectiveness.

The dimension labeled "creating effective school environments" included the constructs of leadership and district culture, policy and governance, organizational management, and communications and community relations. Values and ethics were perceived by superintendents as important to factor one while their subordinates found this construct an important component of both factors of effectiveness.

Direct reports differed in their view of human resource effectiveness by placing this variable as a component of factor two, "facilitating effective teaching and learning". Superintendent's viewed this construct as important to "creating effective school environments". Many of the direct reports in this research are principals of schools, Wolf (see p. 46) noted that principals placed their ideals of effective teaching and learning on superintendents.

One of the practically significant results of this research is suggested by the finding that subordinates and superintendents agree that a superintendent's effectiveness includes the instructional role constructs of curriculum planning and development, and instructional management as important elements of factor two "facilitating effective teaching and learning". This conclusion supports Bjork's (1993) description of the comprehensive third instructional wave of the superintendent's leadership role in the 90s. This study provides evidence that the trend to hire people

with business backgrounds instead of educational backgrounds may be misleading. Superintendents today must be instructional leaders as much as business managers.

Research by Brown and Hunter (1986) emphasized the two AASA guidelines, curriculum planning and development and instructional management, as important functions in operating effective schools. Murphy and Hallinger (1986) suggested that superintendents in instructionally effective school districts "are more active instructional managers" (p. 213). The superintendents in their study of effective school districts reported active involvement in the direction of curriculum and instruction, in coordinating technical core operations, and in monitoring internal processes and inspecting outcomes. Murphy and Hallinger suggested that the use of effectiveness criteria implies an acceptance that leadership is a cause of district school effectiveness.

It was found that the measurement model for superintendent leadership skills presented two fundamental dimensions. A comparison of these two underlying dimensions to the three clusters of skills described by Griffith's (1966) administrative model and CCL's skill clusters determined that superintendents combine the technical skills of "handling demands of the job" and the human skills of "dealing with employees" as one leadership dimension. The second dimension matched the conceptual skills described by

CCL as "respect for self and others." Superintendents indicated that two of the skills, work team orientation and compassion and sensitivity, are constructs of both leadership dimensions.

Factor analyses of direct report perceptions about their superintendent's leadership skills discovered the two factor model of leadership to provide the best fit. Direct reports, however, perceive the constructs associated with the CCL cluster of "dealing with employees" differently than their superintendents. They combine the human behaviors of leading employees, setting a developmental climate, and hiring talented staff as components of the leadership dimension "respect for self and others." Subordinates also viewed work team orientation and compassion and sensitivity as constructs of the leadership dimension described as "respect for self and others."

A major finding of the factor analyses results was that subordinates and their boss indicate there are two underlying dimensions to leadership. Direct reports do not view the skills which are associated with these dimensions of superintendent leadership the same. This conclusion supports previous findings that differing groups hold differing expectations for the role of the superintendent (Wolf, 1987; Haplin cited in Getzel, 1968).

This researcher suggests that the components of the CCL skill cluster of "dealing with employees", viewed as a human

construct which involves dealing with other people, is the varying perspective between the superiors and subordinates in this study. Superintendents determine their effectiveness based on the technical skills of "demands of the job" with the human skills of "dealing with employees" (other people) as one leadership dimension. They view the second dimension as "respect for self" without the others. Direct report findings suggest they view the one leadership dimension as the technical skills of "handling the demands of the job"; then combine the human and conceptual constructs of "dealing with employees" (other people) with the dimension of "respect for self and others."

The confirmatory measurement models define the two major dimensions important to superintendent effectiveness and leadership. Ratings of effectiveness were made at the same time as the assessment of leadership skills to establish concurrent validity. Structural equation modeling was used to test the relationship between the two dimension of effectiveness and leadership for self-reported superintendent and direct report data. The model assumes that leadership skills are present in order for a superintendent to be rated effective in her/his performance.

It was found that there is no relationship between self or subordinates' perception of the superintendent's effectiveness and leadership skills. The fact that superintendent and direct report models did not

statistically pose a "good" fit is confirmation that the underlying hypothesis that certain leadership variables need to be present for superintendents to be successful is rejected. Therefore, the question is posed as to what variables are important to the superintendent's success.

This research provides evidence that superintendents view themselves as effective, even if they do not link effectiveness to their leadership strengths. Because there is no relationship between the scores resulting from ratings of superintendent effectiveness and the CCL assessment instrument scales of Benchmarks®, the assessment tool may not identify the skills important for superintendent effectiveness.

Superintendent effectiveness is often judged by a jury of parents, teachers, principals, students, board members, politicians, businesses, churches and other subpopulations of the local community. Even though the overall responsibility for the success of educational programs is under the supervision of the school district's superintendent, a superintendent's effectiveness is determined by factors outside the his/her leadership skills.

School superintendents are shaping the school's culture while their own roles are shaped by a changing educational paradigm which is skeptical of its leaders. The educational community, politicians, boards, parents, and other special interest groups set the rules and regulations by which

superintendents can be successful.

Limitations of the Study

The major limitation of the study was the small superintendent sample size. The total sample size of 47 superintendents who completed both the effectiveness and Benchmarks® measurement instruments is smaller than the 54 parameter estimates in the structural equation model resulting in a preliminary model which requires further testing with fewer parameters and a larger sample of superintendents. Modification of the model should be evaluated, eliminating the parameters which were determined to have insignificant factor loadings for the leadership constructs of compassion and sensitivity, straightforwardness and composure, hiring talented staff, and balance between personal life and work.

Recommendations for Further Study

This study yielded implications for educational theory, research, and practice concerning superintendent effectiveness and leadership skills. Among the most significant implications was the finding that their is no relationship between superintendent effectiveness and leadership skills. This implies that research is needed to determine what the missing link is between effectiveness and the skills needed to be a successful leader of public

schools.

Implications for further research include the modification of the leadership-effectiveness model and testing of the model's fit with larger, more diverse sample populations of school superintendents. Examination of the expectations of superintendents and their relationships with other educational subpopulations would provide additional information on the variables important to superintendent effectiveness.

This study examined self and direct report perceptions about superintendent effectiveness, further investigation of the board of education and the public's perceptions of the superintendency should be investigated. Additional research to determine the relationship between a superintendent's performance and the school district's performance is also essential in determining the missing link between the skills necessary to perform the role of school superintendent and being an effective superintendent.

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Appendix A

SUPERINTENDENT BACKGROUND INFORMATION

TO BE COMPLETED BY THE SUPERINTENDENT

The data from these items are for research purposes only and will be treated confidentially. **No information about individual superintendents will be released.**

1 PLEASE CHECK THE RESPONSE WHICH BEST DESCRIBES YOUR SCHOOL DISTRICT'S POPULATION

____ Urban

____ Rural

____ Suburban

2 PLACE A NUMBER IN EACH BLANK TO DESCRIBE THE SIZE OF YOUR SCHOOL DISTRICT

_____ Number of schools

_____ Number of students

_____ Number of teachers

3 IN EACH BLANK INDICATE YOUR YEARS OF PROFESSIONAL EXPERIENCE

_____ Years as a K-12 teacher

_____ Years as an assistant principal

_____ Years as a principal

_____ Years as a central office administrator

_____ Years as a school superintendent

_____ Years in your present position as superintendent

_____ Other educational experience
(e.g. Higher Education, Educational Consultant)

_____ Years of experience in other professions
(e.g. Business)

SUPERINTENDENT EFFECTIVENESS QUESTIONNAIRE

TO BE COMPLETED BY THE SUPERINTENDENT.

PLEASE READ THIS PAGE CAREFULLY.

The following questions are based on the 1993 American Association of School Administrator's (AASA) eight professional standards for the Superintendency. **Your individual responses to these questions will not be shared with anyone.** The results will be used to determine if Benchmarks® is a valid assessment tool for determining executive leadership skills of Superintendents. Thank you for your cooperation in completing this questionnaire.

DIRECTIONS:
Each of the nine questions asks you to complete two tasks about your level of effectiveness. FIRST, circle the number next to the phrase (1 NOT EFFECTIVE - 5 EXTREMELY EFFECTIVE) that best describes your effectiveness on that AASA goal. SECOND, it asks you to draw a line to represent the strength of your opinion about your effectiveness. This is explained by the following **E X A M P L E** .

SAMPLE QUESTION:

Draw a response line relative to the reference line to represent your effectiveness in **PUBLIC SPEAKING.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸ ———————————— (my answer to sample question)

EXPLANATION: Because I am thinking **AVERAGE**, my response line is drawn about the same length as the reference line above, which indicates that I think I am an average public speaker. If you believe you are more effective at public speaking your line should be longer. If you believe you are less effective your line should be shorter.

Please answer the following questions about your Effectiveness by: A) **Circling the number beside the phrase** that best reflects your judgment, and B) **Drawing a line relative to the reference line** to indicate the strength of your opinion about your Effectiveness.

1. AASA guidelines state that effective Superintendents should develop a district vision; shape school culture and climate; provide purpose and direction; understand international issues; formulate plans, goals; set priorities; and communicate the welfare of all students in a multicultural context. CIRCLE THE NUMBER CORRESPONDING TO YOUR EFFECTIVENESS IN **LEADERSHIP AND CREATING A HEALTHY DISTRICT CULTURE?**

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent your effectiveness in **LEADERSHIP AND CREATING A HEALTHY DISTRICT CULTURE.**

REFERENCE LINE: (represents the Average effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

2. AASA guidelines state that effective Superintendents should work with the board of education to formulate district policy for external and internal programs; meet state and federal regulatory requirements; and apply standards involving civil and criminal liabilities. CIRCLE THE NUMBER CORRESPONDING TO YOUR EFFECTIVENESS IN **POLICY AND GOVERNANCE**?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent your effectiveness in **POLICY AND GOVERNANCE.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

3. AASA guidelines state that effective superintendents should formulate and carry out plans for internal and external communications; and exhibit an understanding of school districts as political systems by applying communication skills to strengthen community support. CIRCLE THE NUMBER CORRESPONDING TO YOUR EFFECTIVENESS IN **COMMUNICATIONS AND COMMUNITY RELATIONS**?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent your effectiveness in **COMMUNICATIONS AND COMMUNITY RELATIONS.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

4. AASA guidelines state that effective superintendents should define processes for gathering, analyzing, and using data for decision making; plan and schedule personal and organization work; delegate and empower at appropriate organizational levels; secure and allocate human and material resources; and develop and manage the district budget. CIRCLE THE NUMBER CORRESPONDING TO YOUR EFFECTIVENESS IN **ORGANIZATIONAL MANAGEMENT?**

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent your effectiveness in **ORGANIZATIONAL MANAGEMENT.**

REFERENCE LINE: (respresents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

5. AASA guidelines state that effective superintendents should design curriculum to enhance teaching and learning; anticipate occupational trends; identify instructional objectives and procedures to measure performance outcomes; and describe the proper use of information technologies. CIRCLE THE NUMBER CORRESPONDING TO YOUR EFFECTIVENESS IN **CURRICULUM PLANNING AND DEVELOPMENT**?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent your effectiveness in **CURRICULUM PLANNING AND DEVELOPMENT.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

6. AASA guidelines state that effective superintendents should implement a system that describes and applies research on integrating curriculum and resources for multicultural sensitivity; and assessment strategies to help all students achieve at high levels. CIRCLE THE NUMBER CORRESPONDING TO YOUR EFFECTIVENESS IN **INSTRUCTIONAL MANAGEMENT?**

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent your effectiveness in **INSTRUCTIONAL MANAGEMENT.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

7. AASA guidelines state that effective superintendents should develop an evaluation and staff development system to improve the performance of all staff members; use appropriate models for supervision; and apply the legal requirements for personal selection, development, retention, and dismissal. CIRCLE THE NUMBER CORRESPONDING TO YOUR EFFECTIVENESS IN **HUMAN RESOURCE MANAGEMENT**?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent your effectiveness in **HUMAN RESOURCE MANAGEMENT.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸, Draw your **RESPONSE LINE:**

▸

8. AASA guidelines state that effective superintendents should understand and model appropriate value systems, ethics, and moral leadership; exhibit multicultural and ethnic understanding; recognize the needs of diverse constituencies; balance complex community demands in the best interest of the students; identify opportunities for staff and students; and coordinate services to help each student grow and develop as a caring informed citizen. CIRCLE THE NUMBER CORRESPONDING TO YOUR EFFECTIVENESS IN **VALUES AND ETHICS LEADERSHIP?**

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent your effectiveness in **VALUES AND ETHICS LEADERSHIP.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

9. CIRCLE THE NUMBER CORRESPONDING TO YOUR **OVERALL EFFECTIVENESS** AS A SCHOOL SUPERINTENDENT?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to your **OVERALL EFFECTIVENESS** as a school superintendent.

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸, Draw your **RESPONSE LINE:**

▸

PLEASE RETURN THIS QUESTIONNAIRE IN THE POSTAGE PAID RETURN ENVELOPE TO SANDRA HOOD

THANK YOU FOR COMPLETING THIS QUESTIONNAIRE.

SUPERINTENDENT EFFECTIVENESS QUESTIONNAIRE

TO BE COMPLETED BY DIRECT REPORTS.

PLEASE READ THIS PAGE CAREFULLY.

The following questions ask about your perceptions of your Superintendent's effectiveness. The questions are based on the 1993 American Association of School Administrator's (AASA) eight professional standards for the Superintendency. More than one respondent has been asked to complete this questionnaire. **Individual responses will not be shared with your Superintendent.** The data from these items is for research purposes only and will be treated confidentially. Thank you for your cooperation in completing this questionnaire.

DIRECTIONS:
Each of the nine questions asks you to complete two tasks about your Superintendent's Effectiveness. FIRST, circle the number next to the phrase (1 NOT EFFECTIVE - 5 EFFECTIVE) that best describes your judgement of your Superintendent's Effectiveness on that AASA goal. SECOND, it asks you to draw a line to represent your opinion as to the Superintendent's Effectiveness. This is explained by the following **EXAMPLE:**

SAMPLE QUESTION:

Draw a response line relative to the reference line to represent the effectiveness of your Superintendent in **PUBLIC SPEAKING.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸———————————— (my answer to sample question)

EXPLANATION: Because I am thinking **AVERAGE**, my response line is drawn about the same length as the reference line **above**, which indicates that I think the Superintendent is an average public speaker. If you believe the Superintendent is more effective your line should be longer. If you believe s/he is less effective your line should be shorter.

Please answer the following questions about your Superintendent's Effectiveness by: A) **Circling the number beside the phrase** that best reflects your judgement, and B) **Drawing a line relative to the reference line** to indicate the strength of your opinion about your Superintendent's Effectiveness.

1. AASA guidelines state that effective Superintendents should develop a district vision; shape school culture and climate; provide purpose and direction; understand international issues; formulate plans, goals; set priorities; and communicate the welfare of all students in a multicultural context. CIRCLE THE NUMBER CORRESPONDING TO YOUR SUPERINTENDENT'S EFFECTIVENESS IN **LEADERSHIP AND CREATING A HEALTHY DISTRICT CULTURE?**

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent the effectiveness of your Superintendent in **LEADERSHIP AND CREATING A HEALTHY DISTRICT CULTURE.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

2. AASA guidelines state that effective Superintendents should work with the board of education to formulate district policy for external and internal programs; meet state and federal regulatory requirements; apply standards involving civil and criminal liabilities. CIRCLE THE NUMBER CORRESPONDING TO YOUR SUPERINTENDENT'S EFFECTIVENESS IN **POLICY AND GOVERNANCE**?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent the effectiveness of your Superintendent in **POLICY AND GOVERNANCE.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

3. AASA guidelines state that effective superintendents should formulate and carry out plans for internal and external communications; and exhibit an understanding of school districts as political systems by applying communication skills to strengthen community support. CIRCLE THE NUMBER CORRESPONDING TO YOUR SUPERINTENDENT'S EFFECTIVENESS IN **COMMUNICATIONS AND COMMUNITY RELATIONS**?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent the effectiveness of your Superintendent in **COMMUNICATIONS AND COMMUNITY RELATIONS.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

4. AASA guidelines state that effective superintendents should define processes for gathering, analyzing, and using data for decision making; plan and schedule personal and organization work; delegate and empower at appropriate organizational levels; secure and allocate human and material resources; develop and manage the district budget. CIRCLE THE NUMBER CORRESPONDING TO YOUR SUPERINTENDENT'S EFFECTIVENESS IN **ORGANIZATIONAL MANAGEMENT**?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent the effectiveness of your Superintendent in **ORGANIZATIONAL MANAGEMENT.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

5. AASA guidelines state that effective superintendents should design curriculum to enhance teaching and learning; anticipate occupational trends; identify instructional objectives and procedures to measure performance outcomes; and describe the proper use of information technologies. CIRCLE THE NUMBER CORRESPONDING TO YOUR SUPERINTENDENT'S EFFECTIVENESS IN **CURRICULUM PLANNING AND DEVELOPMENT**?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent the effectiveness of your Superintendent in **CURRICULUM PLANNING AND DEVELOPMENT.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

6. AASA guidelines state that effective superintendents should implement a system that describes and applies research on integrating curriculum and resources for multicultural sensitivity and assessment strategies to help all students achieve at high levels. CIRCLE THE NUMBER CORRESPONDING TO YOUR SUPERINTENDENT'S EFFECTIVENESS IN **INSTRUCTIONAL MANAGEMENT**?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent the effectiveness of your Superintendent in **INSTRUCTIONAL MANAGEMENT.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

7. AASA guidelines state that effective superintendents should develop an evaluation and staff development system to improve the performance of all staff members; use appropriate models for supervision; and apply the legal requirements for personal selection, development, retention, and dismissal. CIRCLE THE NUMBER CORRESPONDING TO YOUR SUPERINTENDENT'S EFFECTIVENESS IN **HUMAN RESOURCE MANAGEMENT**?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent the effectiveness of your Superintendent in **HUMAN RESOURCE MANAGEMENT.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

8. AASA guidelines state that effective superintendents should understand and model appropriate value systems, ethics, and moral leadership; exhibit multicultural and ethnic understanding; recognize the needs of diverse constituencies; balance complex community demands in the best interest of the students; identify opportunities for staff and students; and coordinate services to help each student grow and develop as a caring informed citizen. CIRCLE THE NUMBER CORRESPONDING TO YOUR SUPERINTENDENT'S EFFECTIVENESS IN **VALUES AND ETHICS LEADERSHIP**?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent the effectiveness of your Superintendent in **VALUES AND ETHICS LEADERSHIP.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

9. CIRCLE THE NUMBER CORRESPONDING TO YOUR PERCEPTION OF YOUR SUPERINTENDENT'S **OVERALL EFFECTIVENESS**?

1 NOT EFFECTIVE

2 PARTIALLY EFFECTIVE

3 EFFECTIVE

4 VERY EFFECTIVE

5 EXTREMELY EFFECTIVE

Now draw a response line relative to the reference line to represent the Superintendent's **OVERALL EFFECTIVENESS.**

REFERENCE LINE: (represents the AVERAGE effectiveness)

Starting at the arrow ▸ , Draw your **RESPONSE LINE:**

▸

PLEASE RETURN THIS QUESTIONNAIRE IN
THE POSTAGE PAID RETURN ENVELOPE TO
SANDRA HOOD.

THANK YOU FOR COMPLETING THIS QUESTIONNAIRE.

Appendix B

Scoring Scheme for Benchmarks® Scales

Scales	Survey Item Number
1. Resourcefulness	1,20,83,66
2. Doing Whatever it Takes	12,30,46,91,90,57
3. Being a Quick Study	6,65,79,88
4. Decisiveness	103,13,42,93
5. Leading Employees	4,5,50,80
6. Setting a Developmental Climate	29,61,68
7. Confronting Problem Employees	14,21,38
8. Work Team Orientation	17,19,27,**58**
9. Hiring Talented Staff	54,9,41
10. Building and Mending Relationships	32,8,82,89
11. Compassion and Sensitivity	28,40,71,72
12. Straightforwardness and Composure	**63,85,87**
13. Balance between Personal Life and Work	**35**,7,78,**98**
14. Self-Awareness	55,64,10
15. Putting People at Ease	104,15,22,95
16. Acting with Flexibility	53,86,92

Note: Data coding was reversed for items in bold.