

**A Study of Principal Evaluation Policy
and Procedure in the Commonwealth of Virginia, 1987-88**

by

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(ABSTRACT)

The purpose of this study was to examine principal evaluation as conducted in the public school divisions of the Commonwealth of Virginia. Specifically, the study (1) described principal evaluation policies and procedures currently in place in the school divisions, (2) compared those policies and procedures with "state of the art" recommendations in literature, and (3) made recommendations that should prove helpful in the development of principal evaluation policies and procedures for school divisions.

Data for the study were collected from the school divisions of Virginia in two ways. A questionnaire was sent to the chief personnel officer in each division and written policy and procedures were collected from each division.

The findings indicated there is a need for updating principal evaluation policy and procedures in many of the public school divisions in the Commonwealth of Virginia. Recent revisions in principal evaluation policy and procedures reported by some of the public school divisions

do not evaluate effective leadership. However, it is not necessary for the Virginia Department of Education to develop a principal evaluation prototype since there are a number of excellent principal evaluation programs presently in existence in the school divisions.

DEDICATION

This study is dedicated to my wife, , and children , , and . Each of them deserves special recognition: for her encouragement and confidence in my ability to complete the doctoral program; and for their willingness to sacrifice financially during the year that it took to do the research and write the study, and and , who were a constant positive inspiration. Also, to my special thanks for her willingness to transfer schools her senior year of high school. The most significant contribution by all has been their love.

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I would like to express my appreciation to each member of my advisory committee for their assistance in the completion of this study. My deepest gratitude is extended to Dr. Wayne Worner for his time, patience, advice, encouragement, and guidance from the inception of the study to its conclusion. Also, special thanks must go to Dr. Thomas Elliott and to Dr. Robert Richards for their individual contributions in time, effort, and advice.

To my parents I owe a debt that can never be repaid. They made possible for me opportunities that could not be theirs. A most significant attribute received from them is the need to complete a task once begun.

TABLE OF CONTENTS

CHAPTER I	1
INTRODUCTION	1
Background for the Study	1
Significance of the Study	5
Statement of the Problem	8
Purposes of the Study	10
Research Questions	10
Assumptions of the Study	12
Delimitations of the Study	12
Definition of Terms	13
Organization of the Study	14
CHAPTER II	15
REVIEW OF LITERATURE	15
Introduction	15
Effective Schools/Effective Principals	17
Policy	24
Who are the Evaluators?	28
Purposes of Evaluation	34
Formative and/or Summative	34
Other Purposes of Evaluation	37
The Evaluation Process	42
Table of Contents	vi

Job Descriptions	43
Process or Product	46
Performance Standards	48
Performance Goals	51
Performance Standards/Performance Goals	56
Evaluation Guidelines	57
Principal Evaluation in Virginia	60
Summary	67
CHAPTER III	71
METHODOLOGY	71
Introduction	71
Design of the Study	71
Population	74
Instrumentation	74
Data Collection Procedures	75
Data Analysis	77
CHAPTER IV	79
ANALYSIS OF DATA	79
Introduction	79
Research Question 1	79
Who Was Responsible for the Design?	80
What Provision is Made for Policy and Procedure Revision?	83

Is There an Evaluation Instrument?	86
How Was the Evaluation Process Formulated?	88
Who Are the Evaluators?	94
Is Training Provided for the Evaluator and the Evaluatee?	98
How Often are Principals Formally Evaluated?	98
Does Evaluation Include Observation?	101
What Recourse Does the Evaluatee Have After Evaluation?	104
What Are the Purposes of the Evaluation?	104
Research Question 2	107
Summative	108
Formative	108
Performance Standards	108
Performance Goals	108
Research Question 3	111
Document Analysis	113
Documents	113
Quality of Documents	114
What is Defined?	115
Comments by Personnel Officers	117
CHAPTER V	119
SUMMARY, RECOMMENDATIONS, AND CONCLUSIONS	119
Introduction	119
Summary	120

Recommendations - Research Question 4	125
Conclusions	129
Further Research	130
BIBLIOGRAPHY	132
APPENDICES	144
APPENDIX A	145
Roster of Panel Members	145
APPENDIX B	148
Letter to Review Panel and Evaluation Form	148
APPENDIX C	151
Questionnaire	151
APPENDIX D	158
Letter of Introduction and Cover Letter	158
APPENDIX E	161
Follow-Up Letter	161
APPENDIX F	163
Document Analysis Chart	163
VITA	165

List of Figures

Figure

1. Components of Two Major Purposes
of Evaluation 36
2. Performance Objective Model 53
3. Performance/Outcome Based Principal
Evaluation Schema 55
4. Evaluation of Central Office Personnel
and Principals. 63

List of Tables

Table

1.	Frequencies and Percentages of Responses Concerning Written Policies and Procedures for Principal Evaluation in the School Divisions of Virginia (N = 131).	81
2.	Frequencies and Percentages of Responses Concerning the Development of the Principal Evaluation Policies and Procedures in the School Divisions of Virginia (N = 131)	82
3.	Frequencies and Percentages of Responses for Reviewing and Revising Principal Evaluation Policies and Procedures in the School Divisions of Virginia (N = 131)	84
4.	Frequencies and Percentages of Responses Concerning the Updating and Review of Principal Evaluation Policies and Procedures in the School Divisions of Virginia (N = 131)	85
5.	Frequencies and Percentages of Responses Concerning the Evaluation Instrument for Principal Evaluation in the School Divisions of Virginia (N = 131).	87
6.	Frequencies and Percentages of Responses Concerning Criteria Used for the Evaluation of Principals in the School Divisions of Virginia (N = 131)	89
7.	Frequencies and Percentages of Responses Concerning Establishing Goals and Criteria for the Principal Evaluation Cycle in the School Divisions of Virginia (N = 131)	90
8.	Frequencies and Percentages of Responses Concerning Process and Product Criteria in Principal Evaluation in the School Divisions of Virginia (N = 131).	92
9.	Frequencies and Percentages of Responses Concerning the Use of Products/Artifacts or Presentations for Principal Evaluation in the School Divisions of Virginia (N = 131). . .	93

10.	Frequencies and Percentages of Responses Concerning Job Descriptions for Principals in the School Divisions of Virginia (N = 131).	95
11.	Frequencies and Percentages of Responses Concerning Who Conducts and Who Provides Input Into Principal Evaluation in the School Divisions of Virginia (N = 131)	96
12.	Frequencies and Percentages of Responses Concerning Training Provided Evaluators in the School Divisions of Virginia (N = 131)	99
13.	Frequencies and Percentages of Responses Concerning How Often Formal Principal Evaluation Takes Place in the School Divisions of Virginia (N = 131).	100
14.	Frequencies and Percentages of Responses Concerning Written Principal Evaluation in the School Divisions of Virginia (N = 131).	102
15.	Frequencies and Percentages of Responses Concerning On-the-Job Observation of the Principal for Evaluation in the School Divisions of Virginia (N = 131).	103
16.	Frequencies and Percentages of Responses Concerning the Filing of a Dissenting Statement by the Principal to be Attached to the Formal Evaluation in the School Divisions of Virginia N = 131)	105
17.	Frequencies and Percentages of Responses Concerning Purposes for Principal Evaluation in the School Divisions of Virginia (N = 131).	106
18.	Frequencies and Percentages of Responses Concerning Procedures into Which Each Division's Principal Evaluation System May be Categorized in the School Divisions of Virginia (N = 131).	110
19.	Frequencies and Percentages of Responses Concerning Assistance From the Virginia Department of Education in Principal Evaluation in the School Divisions of Virginia (N = 131)	112

CHAPTER I

INTRODUCTION

BACKGROUND FOR THE STUDY

Research has identified specific elements found to exist in effective schools. Leadership is one of these elements. "A school's effectiveness in the promotion of student learning was found to be the product of a building-wide, unified effort which depended upon the exercise of leadership" (Robinson, 1985, p. 7). The building principal was most often found to be the "key" to that leadership. Unikel (1986) stated that if the principal was providing strong leadership the school was in all likelihood effective. Without strong leadership the school would probably be ineffective (p. 37).

Public demand for educational accountability increased markedly throughout the 1970s and into the 1980s. In the area of personnel, the focus has been on teacher evaluation. However, in the past five years, that focus has broadened to include administrators as well. "Due in part to the realization of the principal's importance in influencing the performance and attitudes of students, faculty, and support staff, formal evaluation procedures for administrators are now being advocated, implemented, researched, and legislated" (ERS, 1985, p. 1). The ERS report further states that

"Appropriate, fair procedures for assessing and improving the performance of school administrators are crucial to effective instructional programs." The importance of principal evaluation then becomes obvious. Evaluation becomes a means of defining principal, or leadership effectiveness; an important ingredient for a school to become effective.

Administrator evaluation has increased in significance across the United States. In 1974 only nine states mandated administrative evaluation. However, by 1984, the number of states mandating administrative evaluation had increased to 27. Further, the 1984 survey indicated that 85.9% of the responding districts across the United States required a formal administrator evaluation in comparison to 39.5% in 1968 (ERS, 1985, p. 1). Virginia is one of the 27 states that has mandated administrative evaluation.

In 1972, the Commonwealth of Virginia mandated evaluation of all school personnel. The Constitution of the Commonwealth of Virginia required that the State Legislature and the State Board of Education make known the Standards of Quality. The specific standard concerning the evaluation of administration stated: "The superintendent and his staff shall provide for the cooperative evaluation of central office personnel and principals and shall provide assistance to principals in the cooperative evaluation of teachers and other school employees" (Manual for Implementing Standards

of Quality and Objectives for Public Schools in Virginia, 1972-74, p. 74). School divisions were assisted in carrying out this mandate of personnel evaluation by the Virginia Department of Education. In 1972, two committees were formed. One committee studied teacher evaluation and the other committee studied administrative evaluation. Their report was published in the Tentative Report: Evaluation of Personnel. In 1974, the Virginia Department of Education published the Evaluation Procedures Handbook (Tentative Model). This publication presented a design for personnel evaluation. Schools could adopt or adapt the model, or they were welcome to develop their own procedure. The Standards of Quality (1986) state, "Each school division shall maintain and follow an up-to-date policy manual which shall include: . . . a cooperatively developed procedure for personnel evaluation appropriate to tasks performed by those being evaluated" (p. 8). Many school divisions developed their own evaluation procedures preferring not to use the Department of Education's model (Interview, Vernon Wildy, December 3, 1987).

Since 1974, little has been done to determine how the mandate for personnel evaluation has been carried out throughout the school divisions. In 1986, the Virginia Department of Education appointed a task force to study personnel evaluation procedures in Virginia. The report

from this task force is yet to be published. Also, in 1986, a Governor's Commission issued a report, Excellence in Education: A Plan for Virginia's Future (1986). This report stated that: "The principal is the single most important person in the school. We need to examine more carefully how principals are selected, prepared, compensated, and recertified" (p. 11). This statement again underscored the importance of the effective school principal in educational leadership. The report made the following recommendation concerning school principals:

We therefore recommend that public and private colleges and universities revise graduate programs in school administration to provide more emphasis on assessment of leadership potential of persons who want to be principals and more training in leadership skills and teacher evaluation for those currently employed as principals. To this end, all prospective principals and those principals applying for recertification must satisfactorily complete an approved assessment program (Excellence in Education: . . . 1987, p. 11).

An advisory committee in a proposal for implementing the above recommendation stated, "School divisions should evaluate principals' performance and assist in developing and offering professional growth opportunities. Certificate renewal and continuing employment of principals should be based on satisfactory performance" ("Whittemore Report," 1987). Although the greatest portion of the proposal concerns itself with preparation of individuals entering school administration, the practitioner in the field is not

overlooked by the proposal authors. Diagnostic data gathered on the principal would be used to develop an individualized developmental profile. The profile would be updated annually to determine the professional development activities necessary for recertification. If the recommendations, of the Commission Report are accepted evaluation will become a more critical reality for principals in the future.

SIGNIFICANCE OF THE STUDY

In 1986, the Virginia Department of Education appointed a task force to study and develop an evaluation prototype instrument for teachers and principals. The request for this effort came to the Department from various Superintendents throughout the Commonwealth. The task force included teachers, principals, vocational education and special education personnel from school divisions across the state. It also included representation from the Virginia Association of Secondary School Principals, Virginia Association of Elementary School Principals, Virginia Education Association and the Virginia Department of Education. To provide expertise, a consultant was retained. It was the initial intent that this committee would work on a teacher evaluation instrument and a principal evaluation instrument simultaneously. However, after beginning the effort, the

committee determined this was not possible and decided to focus first on the development of a prototype evaluation instrument for teachers. The prototype instrument for principals was placed on hold (Interview, Thomas Elliott, November 17, 1987).

The prototype instrument for teachers has been completed, field tested and is ready for distribution to the school divisions in 1988. When the committee will reconvene to begin work on a model instrument for principals depends on funding from the Virginia Department of Education. Presently, funds have been reallocated to other priorities. It is definitely the intent, however, to develop a prototype evaluation instrument for principals in the future (Interview, Wildy, December 3, 1987).

What has happened to past efforts of the State Department of Education in the development of principal evaluation procedures since the mandate of 1972? In 1972, a Tentative Report: Evaluation of Personnel publication was sent to all the divisions. This publication was the combination of work produced by two committees, a "Committee of Evaluation of Central Office Personnel and Principals" and a "Committee on Evaluation of Teachers and Other School Employees" (p. ii). The report included extensive guidelines and models for adoption or adaptation for principal evaluation (pp. 68-95).

In the Manual for Implementing Standards of Quality and Objectives for Public Schools in Virginia, 1972-74 (1972) the following directive appears:

By June 1, 1974, each school division will be asked to submit to the Assistant Superintendent for Instruction of the State Department of Education an Evaluation Procedures Handbook describing the process to be used in evaluating the performance of central office personnel and principals" (p. 79).

In January, 1974, the Department of Education provided all divisions with a document called the Evaluation Procedures Handbook (Tentative Model). The purpose of this document was to assist the school divisions in developing and implementing an evaluation program. While the mandate was clear it is less clear that compliance occurred. If the handbooks to be produced by the divisions were submitted to the Department of Education, present officials are not aware of it (Interview with Elliott, November 17, 1987 and Wildy, December 3, 1987).

Before another committee or task force begins developing still another prototype evaluation instrument for principal evaluation, some research would seem to be appropriate. It was the intent of this study to provide information relevant to principal evaluation in the Commonwealth of Virginia. Principal evaluation policies and procedures as they presently exist were to be described. Proposed policies and procedures, based on the "state of the art" as found in the

literature, have been recommended. The findings of this study should prove useful to the Virginia Department of Education and to the Virginia school divisions. Both the Executive Director for the Virginia Association of Elementary School Principals (Interview, Richards, November 21, 1987) and the Executive Director for the Virginia Association of Secondary School Principals (Interview, Barrack, December 4, 1987) expressed a need for more consistent principal evaluation procedures across the divisions. As Richards (1987) observed, there is a tendency to respond and react rather than to act. "What is happening . . . is like the fellow who jumped on his horse and rode off in all directions." This study had the endorsement of the Virginia Association of Elementary School Principals.

STATEMENT OF THE PROBLEM

The demand for quality education cuts across all strata of society. Numerous reports, published and unpublished, describing effective education are evidence of this demand. Educational leadership has been pinpointed in many of these reports as the single most important ingredient in an effective educational program. The building principal has been identified as the key person providing leadership. What principals in effective schools do has been documented.

Accountability in the principalship is important. Virginia recognizes that fact.

Since 1972, the Commonwealth of Virginia has mandated evaluation of all public school personnel. In 1974, the Virginia Department of Education published a design for personnel evaluation. A Governor's Commission was appointed in 1986 which issued a report called Excellence in Education: A Plan for Virginia's Future. This report recognized the principal as the "single most important person in the school." Also in 1986, a task force was appointed by the Virginia Department of Education to study and make recommendations concerning administrative evaluation. All this plus the review of extant literature indicates that evaluation is vital in affecting effective educational leadership. No summary of policies and procedures used by school divisions for evaluation of school principals in Virginia exists to inform the work of this committee. This study was undertaken, in part, to inform the recommendations of this committee.

PURPOSES OF THE STUDY

The purposes of the study were to:

1. Describe principal evaluation policies and procedures currently in place in the school divisions of the Commonwealth of Virginia.
2. Compare those policies and procedures with "state of the art" recommendations found in literature.
3. Make recommendations that should prove helpful in the development of principal evaluation policies and procedures for school divisions in the Commonwealth of Virginia.

RESEARCH QUESTIONS

This study attempted to answer the following questions:

1. What policies and procedures for the evaluation of principals are presently in place in the school divisions of the Commonwealth of Virginia?
 - a. Who was responsible for the design?
 - b. What provision is made for policy and procedure revision?
 - c. Is there an evaluation instrument?
 - d. How was the evaluation process formulated?
 - e. Who are the evaluators?

- f. Is training provided for the evaluator and the evaluatee?
 - g. How often are principals formally evaluated?
 - h. Does evaluation include observation?
 - i. What recourse does the evaluatee have after evaluation?
 - j. What are the purposes of the evaluation?
2. Into which of the following procedures can each school division's evaluation system be categorized?
- a. Summative
 - b. Formative
 - c. Performance Standards
 - d. Performance Goals
3. To what extent has the Evaluation Procedures Handbook (Tentative Model) influenced principal evaluation policies and procedures in the Commonwealth of Virginia?
4. What recommendations can be made for use in the development of "state of the art" principal evaluation policies and procedures?

ASSUMPTIONS OF THE STUDY

The assumptions of this study were:

1. The personnel officer from each school division who completed the questionnaire, did so accurately and honestly, according to that particular school division's evaluation procedures.
2. The questionnaire used to collect data concerning policies and procedures used in each school division did result in the collection of valid information.
3. The literature review describes the "state of the art" of principal evaluation.
4. The evaluation documents (policies and procedures) received from school divisions fairly represent what is currently occurring in the Virginia school divisions.

DELIMITATIONS OF THE STUDY

1. The research for this study was limited to the evaluation documents, evaluation instruments, and returned questionnaires received from the public school divisions in the Commonwealth of Virginia during the school year 1987-88.
2. The results of this study are applicable only to the public school divisions of the Commonwealth of Virginia.

DEFINITION OF TERMS

The following terms are defined to provide clarity to the study:

formative evaluation -- the focus is on helping administrators improve their performance. The evaluation process involves ongoing communication between evaluators and evaluatees (ERS, 1985, p.6).

summative evaluation -- evaluation serves as an end, a judgement of administrators' performance on which to base an individual administrator's promotion, demotion, incentive pay rewards, and other personal action (ERS, 1985, p. 6).

performance standards -- evaluation is based on a list of predetermined criteria which are rated numerically, by selecting a descriptive phrase, or by written comments. The principal does not contribute to the establishment of the criteria (VanderWey, 1983).

performance goals -- evaluation is designed for the individual principal. Goals may be determined by the immediate supervisor in conjunction with the principal. Various persons or groups of persons may be involved in the evaluation of the goals (VanderWey, 1983).

ORGANIZATION OF THE STUDY

The study is organized into five chapters. The first chapter introduces the study and covers the background to the study, significance of the study, statement of the problem, purposes of the study, research questions, assumptions of the study, delimitations of the study, definition of terms, and organization of the study. Chapter two is a review of relevant literature. Chapter three describes the methodology used in data collection, the population from which data was collected, and the procedure used to interpret the data. Chapter four presents the interpretation of the data and Chapter five provides a summary of the research as well as recommendations and conclusions.

CHAPTER II

REVIEW OF LITERATURE

INTRODUCTION

Until the 1970s, evaluation was a word rarely heard in schools. Evaluation in education received its impetus from the numerous government programs that were inaugurated in the sixties and the ensuing requirement by the government for accountability for these programs. The 1970s also brought renewed concern for the overall quality of education in American schools. Politicians, parents, educators and other interest groups became interested in educational research. This research has recently focused on effective schools. To support such research, the use of evaluation techniques has become essential.

One of the first definitions of evaluation was proposed by Ralph Tyler in 1942. He said that evaluation was defined as the process of determining whether the objectives have been achieved. That is whether there was congruence between performance and objectives (Berk, 1981, p. 4). Donald M. Thomas (1979) made the case for performance evaluation. In doing so he presented a short description of the evolution of school personnel evaluation. "Good traits" such as enthusiasm, strong voice, flexibility, judgement, and adaptability were considered important initially. Skills and

competencies came next. Student rapport, ability to inspire, present clear communication, and the ability to organize were some of the skills looked at. A third type of evaluation is product evaluation. Accountability may be based on student achievement, test scores, vandalism reports, average daily attendance and number of student failures. In some districts contributions have become the focus. Offices held, honors received, presentations made and articles published are examples of contributions that determine value. In recent years, however, performance evaluation has received the most attention. The situation has become one of establishing standards or objectives and determining whether achievement of these standards and objectives has been realized (p. 11-15).

There are numerous evaluation definitions. Maurice Holt (1981) said "evaluation is a way of passing judgement on an action . . . we muster and assess the evidence and make a judgement which evaluates the case" (p. 13). The aim, Holt said, was for effective decision making. According to Bolten (1980) "evaluation has to do with making judgments regarding the set of events, behaviors, and/or results of behavior in light of predetermined and well understood objectives" (p. 8). A common thread that seems to run through all definitions is that "evaluation is the process of providing information for decision making" (Berk, 1981 p. 4).

Accountability has been one of the main reasons for evaluation. The evaluatee must be accountable to what Guba and Lincoln (1981) term "stakeholders" or "stakeholding audience." This is a person or a group of persons having some stake in the performance of the person who is being evaluated (p. 303-309). David Nevo states that "If evaluation is to be useful at all it has to be useful to some specific client or audience" (House, 1986, p. 21). In VanderWey's research, (1983) it was found that the primary purpose for principal evaluation was to improve the principal's performance. Other purposes received mixed reactions. It has only been in recent years that the purpose of evaluation has moved away from negative connotations and has become considered as a positive experience. In the past, hiring, firing or retaining were the primary functions. Today, the improvement of the performance of the evaluatee and feedback concerning the results of that performance have become the aim (Zakrajsek, 1979, p. 101).

EFFECTIVE SCHOOLS/EFFECTIVE PRINCIPALS

Since 1980, a wealth of research has been conducted in an attempt to define effective schools. The theory has been that if through research the components of what make a school effective can be identified, these components can then be instituted in other schools to make them effective too. This

search for what makes schools excellent has paralleled studies of excellent companies. Interestingly, a great deal of similarity exists. Excellent schools and excellent companies cannot be identified without recognizing leadership. There is a definite correlation between excellent organizations and excellent or effective people in management. Excellence is not attained by accident or by mere desire. It is achieved through planned effort. Among the elements that are identified as characteristic of effective schools most often leadership is placed at the top of the list. Lorri A. Manasse in 1985, listed characteristics most often identified as strong administrative leadership, a school climate conducive to learning, a school wide emphasis on skills, high teacher expectations for student achievement, and systematic monitoring of pupil performance. She went on to say that these characteristics are "either directly or indirectly related to the effectiveness of principals" (p. 440-441). In an earlier study, Manasse (1984) wrote that "Excellent organizations have well-defined basic purposes on which they focus their organizational energy and resources. Their leadership is strong and focused, directed toward creating commitment to purpose" (p. 42).

Joesph Murphy and Philip Hallinger (1985) found, in a study of instructionally effective high schools in

California, that they could identify eight curricular and climate factors. They are:

- A clear sense of purpose
- A core set of standards within a rich curriculum
- High expectations
- A commitment to educate each student as completely as possible
- A special reason for each student to go to school
- A safe, orderly learning environment
- Resiliency and a problem-solving attitude (p. 18).

To this list The Practitioner (1984) added "one more factor that emerges from almost all studies of school effectiveness: instructional leadership. Schools that emphasize effective teaching and learning have strong leadership"

Effective instructional leadership, according to The Practitioner, can be broken down into three different functions: "(a) defining the mission of the school; (b) managing curriculum and instruction; and (c) promoting the school learning climate." The principal:

1. Frames goals
2. Communicates goals
3. Knows curriculum and instruction
4. Coordinates curriculum
5. Supervises and evaluates faculty
6. Monitors instructional progress

7. Sets standards
8. Sets expectations
9. Protects instructional time
10. Promotes improvement (p. 2).

Steven T. Bossert in a study conducted for the Far West Laboratory of Educational Research and Development found the following characteristics of principals in effective schools:

Principals emphasize achievement by setting goals, developing performance standards for students and expressing optimism that students will be able to meet the goals.

Principals are more active and powerful in the areas of curriculum and instruction. They make decisions in these areas. The principals can leverage district support and resources for improvement of curriculum and instruction. Further, these principals understand community power structures and maintain appropriate relationships with parents.

Principals devote more time to coordination and control of instruction and are more skillful at the tasks involved. They observe teachers more. They discuss teachers' problems more, are more supportive of teachers' improvement efforts. They promote in-service opportunities and are more active in setting up teacher and program evaluations.

Effective principals are supportive of teachers in matters of discipline and they control public spaces.

Besides:

these activities that directly impact teaching and learning, principals in more effective schools recognize the unique styles and needs of teachers and help teachers attain their own performance goals. These principals encourage and acknowledge good work (Holdzkom, 1985, p. 34).

Another dimension found to be essential in instructional leadership is that of vision. James W. Keefe (1987) stated that "knowledge is not enough. Each principal must have a clear concept and systematic plan for actualizing instructional leadership" (p. 50). Chester E. Finn (1987) carried the quality of vision a step further. He stated that the principals "vision of what the school can achieve sparks the imagination . . . effective school leaders have clear, active, ambitious, performance-oriented visions" (p. 21).

Thomas J. Sergiovanni (1984) reported:

leaders are able to communicate their sense of vision by words and examples . . . which communicate a sense of excitement, originality, and freshness. These efforts provide opportunities for others in the school to experience this vision and to obtain a sense of purpose so that they might come to share in the ownership of the school enterprise more fully (p. 8).

Sergiovanni cited Warren Bennis from his study of excellent organizations. Warren Bennis said that "vision refers to the capacity to create and communicate a view of a desired state of affairs that induces commitment among those working in the organization" (p. 8).

Lorri A. Manasse (1984) proposed that "effective principals may, in fact, need two types of vision: a vision of their schools and of their own role in those schools; and a vision of the change process itself" (p. 44). Principals with the ability to carry out their vision must be proactive. Proactive defined means "They take initiative, assume leadership, expand their discretion, and communicate high expectations to staff, students, and community" (Manasse, 1985, p. 447).

Effective principals were capable of recognizing the combinations of behaviors necessary to bring about school improvement. Research has confirmed that not all effective principals can be effective in all schools. Matching leadership style with peculiar school conditions is necessary. Or if the principal is capable, he may be able to tailor his style to the school (Finn, 1987, p. 22). A study conducted by Hall (1984) identified three principal leadership styles used to bring about school improvement. The "responders" primary role was to keep a smooth running school by focusing on traditional administrative tasks, keeping teachers content and treating students well. He made decisions based on immediate circumstances rather than on long term goals. "Managers" work without drawing attention to themselves. They provide support for teachers' use of innovation and are sensitive to teachers' needs. When

central office wants something to happen in their school they become very involved with teachers to see that it happens.

"Yet, they do not typically initiate attempts to move beyond the basics of what is imposed" (p. 24). The "initiator" has strong beliefs "about what good schools and teaching should be like and work intensely to attain that vision."

Initiators have "strong expectations for students, teachers, and themselves." They are "adamant but not unkind; they solicit input from staff and then make decisions in terms of school goals" (p. 22).

Principals in effective schools have:

clear authority to coordinate and the power to take action in response to problems This suggests considerable autonomy in this policy area. However researchers find that autonomy is not so much granted as it is taken by strong leaders who want to protect their vision . . . (The Link, 1986, p. 7).

Lorri A. Manasse (1984) warned that there is a link between leadership and change. If school districts and communities are serious about wanting effective schools they better be ready for "boat-rockers." "Principals who may be boat-rockers, (are) not satisfied to keep a low profile and maintain the status quo . . . these principals require a fair measure of building-level autonomy" (p. 45). James W. Keefe (1987) found that "changing educational practice is intrinsically disruptive. Change threatens people, upsets

established routines, takes extra energy and time, and challenges the status quo" (p. 54).

In summary, effective schools and effective leadership go hand-in-hand. Effective leadership most generally is distinguished by concern for teaching and learning. Effective instructional leaders must be capable of adjusting their style to each peculiar school environment. If a community wants their school to be effective they must be willing to permit leadership autonomy.

POLICY

After much research on evaluation of school personnel, Gary Natriello from the Stanford University Center for Research and Development in Teaching stated, "If it is true that teacher evaluation is still in the dark ages of development, then principal evaluation is in the stone age" (Lewis, 1982, p. 73). Ruben L. Ingram reported the same condition in 1986: "principal evaluation is more primitive than teacher evaluation, . . . many principals are neither supervised nor evaluated on a regular basis . . ." (p. 9). This problem is not peculiar to education. Berkeley Rice (1985) reported concerning performance review that "Probably fewer than 10% of the nation's companies have systems that are reasonably good" (p. 31).

Daniel L. Duke and Richard J. Stiggins (1985) argue that the reason that principal evaluation is not regarded as a critical factor in many school districts is (1) "districts are constrained in their ability to reward those who receive excellent evaluations," and (2) the "lack of sanctions available to district officials in instances involving negative evaluations" (p. 93). James W. Keefe (1987) underscored the dilemma of principal appraisal by pointing out that in research, the position of principal is still undefined. He felt that what Lonnie Wagstaff of Ohio State University said in 1973 was still true:

A fundamental weakness of the principalship is that it wobbles all over the educational landscape. In most states it is not a legally defined position, mentioned only casually, if at all, in the school codes of about two-thirds of the states It is possible for principalship to mean and be something different from school district to school district (p. 54).

In education, the responsibility for appraisal belongs to the superintendent. If the school system does not have appropriate policy to guarantee that evaluation take place the superintendent should insist that the board make this a priority item. Wayne R. Bottoni (1984) stated in a National School Board Association presentation that:

A major step in administrative evaluation is the establishment of a broad school board policy, void of specific details A successful operation depends on the school board setting the parameters and then judging the quality of work within these parameters.

He went on to provide an example of such a policy:

The Superintendent of Schools shall provide for frequent and competent supervision of each employee and such supervision shall be designed to instruct the employee in the duties and responsibilities of his job, to improve the employee's adjustment and competency in his position and otherwise to promote the welfare of the employee and of the schools in general. Furthermore, the Superintendent of Schools shall establish and maintain a suitable procedure for adequate and periodic appraisal of the work of each employee and shall maintain suitable records of such appraisals (p. 4).

The above policy provides three broad criteria. It establishes purpose, identifies responsibility, and declares the task (p. 4).

Sunday O. Ezeadi (1983) was not in complete agreement with Bottoni. He felt that district policies should be clearly defined so that the "general apathy shown by administrators toward an evaluation program may be minimized" (p. 34). Policies, should include five basic elements so that evaluation is not threatening to the principal. The elements are:

1. the principal should be provided a written copy of the evaluation, documenting evaluation observations and findings;
2. the principal should be assured the opportunity to respond in writing to all evaluations;
3. the principal should be given the opportunity to appeal the findings and recommendations of the evaluation;
4. the principal should be required to propose corrective measures for those areas rated as less than desirable; and

5. the evaluation process should incorporate pre- and post-evaluative conferences between the evaluator and the principal (p. 34-35).

In a 1983 article for School Administrator, John Savage contended that all personnel evaluation systems should be based on sound board policy. The policy should provide answers to four questions:

- Why does the board want their administrative staff evaluated?
- Who is responsible for performing the task?
- When is evaluation to occur and/or be completed?
- What, in general terms, is to be done, such as measuring performance on a list of district standards or mutually agreed upon goals?

The board must establish the need and importance of this function and set the general philosophy for administrator evaluation (p. 28)

In summary, research has substantiated that there should be written policy governing principal evaluation, although, there is some debate as to how detailed such policy should be. Generally, the policy should permit flexibility of interpretation but should provide clearly defined parameters. Four elements should be included: (1) the superintendent is responsible for evaluation, (2) the timetable for the evaluation process (cycle), (3) the reasons for evaluation, and (4) the method of response by the principal to the evaluation.

Who are the Evaluators?

Principal performance is constantly evaluated. The very nature of the principals position brings him in contact with parents, teachers, students, central office personnel, board of education, secretaries, and the public at large on a daily basis. "Principals are judged almost every day by almost everyone, whether they like it or not" (Ernest, 1985, p. 290). Richard L. Featherstone and Louis Romano (1977) observe the same sentiment: "Administrative performance is constantly appraised. Judgements stem from every public touched by the actions of the educational administrator, and there are many groups affected by the administrator's decisions" (p. 412). This level of evaluation is considered to be informal evaluation. Formal evaluation, on the other hand, may consider the input from these various groups.

Who should be the formal evaluator(s) of the principal? In reading the literature it is soon realized that this is a debate yet unresolved. Traditionally it was unquestioned that the evaluator should be the principal's superior. Current studies make a strong case for other professional groups within education being in a better position to judge the effectiveness of the principal. There definitely seems to be a movement toward participation of a variety of people in the formal evaluation of the building principal (Zakrajsek, 1979; Schaefer, 1982; Redfern, 1986; Langlois,

1986). Bill Ernest in a study conducted in 1985, reported that the evaluation should be the "consensus of several people working as a team, rather than the opinion of one person" (p. 291). The team should be made up of the superintendent, assistant superintendents, coordinators, supervisors, directors, building teachers, students, and principals themselves. Obviously not all teachers or students would be on the team but rather a sample of them.

Robert L. Buser and Freddie A. Banks reported a study done by Banks in 1980 which indicated general agreement that the principal should be evaluated by the superintendent. There was almost equal acceptance of self-evaluation by the principal. The respondents were the elected heads of state affiliates of the American Association of School Administrators, National Association of Secondary School Principals, National Association of Elementary School Principals, and National Education Association. The all-group mean responses to who should evaluate the principal were:

The Superintendents	95%
Self-Evaluation	94%
Central Office Personnel	72%
The Teachers	66%
Peers-Other Principals	54%
The Students	40%

School Patrons	23%
External Consultants	18%
Board of Education	15%

Little support was given for evaluation by students, patrons, external consultants and board of education. Surprisingly minimal support was shown for peer evaluation (p. 1-2).

George B. Redfern (1986) confirmed the results of the Buser and Banks study. He reported, "The use of 'clientele input' in evaluation--perception survey data from teachers, students, and/or parents--are not common. When used; such input is regarded as optional; the administrator determines whether or not to use it" (p. 74).

Evaluation by immediate supervisors is still the predominant method of principal supervision. In the smaller school district this usually means evaluation by the superintendent. Joseph Murphy, et.al. (1985) found that in effective school districts, superintendents were very active in school visitation and took "direct charge" of supervision and evaluation of principals. The visits were not necessarily prearranged. Superintendents met from four to six times annually with principals to check on progress toward school and district goals (p. 80).

Berkeley Rice (1985) stated that "critics of performance reviews suggest that ratings by supervisors may be less accurate than those by fellow workers or subordinates or even

self-appraisals by the employees themselves." He went on to report that in several studies it was shown that "supervisors tend to give tougher evaluations than do fellow workers, while the fellow workers' ratings generally show greater consistency among several raters" (p. 32).

Kenneth E. McIntyre and Ed A. Grant (1980) found that while superintendents were the group least satisfied with principal performance, principals tended to rate themselves higher than either teachers or superintendents. ". . . principals seem to perceive more effectiveness in their own performance than do their superordinates or subordinates in the organizational hierarchy" (p. 47). Berkeley Rice substantiates this finding in his conclusion that "leading researchers" found that "'inflation bias' in the self-appraisals was 'prevalent and pervasive'" (p. 32). The value of self-evaluation is summarized by Bolten:

The real advantage of self-evaluation is that it tends to reduce the threat of an external evaluator and at the same time increases the potential for creativity and motivation. The disadvantages are that the individual being evaluated may choose to ignore district goals, establish goals incompatible with district goals, examine behaviors in isolation from outcomes, or interpret data in a biased fashion because of prejudice or lack of framework for interpretation.

A program for administrator evaluation should attempt to take advantage of the creativity and motivation that comes from self-evaluation. At the same time, care should be taken to use external evaluators so that individuals do not operate on their own criteria only, with the concomitant tendency for everyone to be going in

different directions according to one's own whims and interests. Under such circumstances, individuals tend to serve themselves rather than the organization they are hired to serve (1980, p. 24).

While self-evaluation by principals as the sole means of evaluation is questionable there does seem to be strong agreement that the principal should be involved in the evaluation process through establishing goals and evaluating the progress made toward achieving these goals (Zakrajsek, 1979, p. 111).

An area that is receiving more attention in current research is that of subordinate evaluation. While there is almost no support for student input there is a great deal of discussion about the involvement of teachers. In a Research Action Brief (Clearinghouse on Educational Management 1980) entitled "Principal Evaluation" three different studies were reviewed. "The most obvious conclusion is that teachers make the best evaluators" (p. 4). The basis for this conclusion is that teachers are in the best position to determine principal effectiveness. Gloria Solomon (1983), a principal, supported teacher evaluation. She asks "who is in a better position to suggest weak administrative areas and possible improvements than those professionals the principal works with every day" (p. 15). She goes on to say that "Principals continually search for feedback on how they are doing from student test scores, comments from parents and community

leaders, and data from school district specialists. The one source they shy away from is their school staff." Donald E. Langlois (1986) reported that while 86% of school systems in the United States have formal procedures for evaluating their school executives, only 14% included teachers in principal evaluation. He reported on the West Chester, Pennsylvania school district where teacher evaluation of principals has been used since 1981. Some of the results of the plan have been improved teacher/principal relations since teachers can give principals feedback; improved school morale; improved openness of principals with teachers; and in general improved overall school climate (p. 19). Both Langlois and Solomon reported that at first principals feel threatened, thinking that it will be a popularity contest or an opportunity to vent vindictive feelings. This however has not proven to be the case. Scott Thomson, Executive Director of the National Association of Secondary School Principals, is not ready to endorse formal teacher evaluation as yet. He stated:

We have no objection to the informal, nonofficial evaluation of principals by teachers on a confidential basis. We do object to the formal official evaluation of principals by teachers with the evaluation filed in the principals' personnel records at district headquarters (Rist, 1986, p. 37).

From research it can be concluded that teacher evaluation of principals is not generally accepted. It is difficult to contest the fact that teachers are in an

excellent position to appraise the principals effectiveness. Teacher input into the evaluation process is becoming more prevalent.

In summary, who are the evaluators of the principal?

Perhaps the best answer is offered by Bolten:

To evaluate administrators, information should be acquired regarding processes used with groups of people, processes used alone, and the impact of these processes on the organization and on subordinates and clients. For example, a principal will be engaged in activities with faculty and parent groups, in individual planning and organizing, and the impact of these activities should make a difference in how teachers behave in the classroom. Who collects information about these activities and behaviors depends on what plan is agreed upon by the principal and his evaluator. In this instance, at least the following people may be involved: the principal's supervisor, the principal, vice principal(s), teachers, students, department heads, subject-matter specialists (consultants, supervisors), personnel specialists, peers (other principals), and parents (1980, p. 83).

Literature would seem to support that generally the formal evaluator of the principal is the superintendent or whoever is designated as his supervisor. There is a strong case for a team approach to evaluation. Input should be actively solicited from various professional groups and included in the formal evaluation process.

PURPOSES OF EVALUATION

Formative and/or Summative

Research suggests that all purposes of evaluation can

be classified into either formative evaluation or summative evaluation. Sunday O. Ezeadi (1984) wrote that "despite the long lists provided by researchers as to the purposes for administrator evaluation, such purposes are either formative or summative" (p. 31). An Educational Research Service, 1985 Report presented the following definitions for the two categories:

Formative Evaluation -- Evaluation serves as a means to help administrators improve their performance. The evaluation process involves ongoing communication between evaluators and evaluatees, with the focus on improving the overall educational program.

Summative Evaluation -- Evaluation serves as an end, a judgement of administrators' performance on which to base an individual administrator's promotion, demotion, incentive pay rewards, and other personnel actions (p. 6).

Figure 1 exhibits the major components of the categories.

Robert B. Howsam explained that:

Formative evaluation refers to the use of data to make a process or operation effective as it goes along. By being able to redirect the process as it progresses, the goal seeker has a greater chance of reaching his goal. If the objectives will not be met, corrections can be made. On a space shot, for example, there is a goal or target and a precise design of the path that must be followed if the target is to be reached. The process of the flight is monitored, and the data are studied constantly. When a discrepancy between the intended path and the actual path is found, the discrepancy is studied and corrective action taken. This kind of evaluation is termed formative since its purpose is to continually fashion and refashion behavior in such a way as to achieve objectives.

Summative evaluation occurs at the conclusion of an act or process; it is terminal. Summative

Purpose of Evaluation	Role of Supervisor	Process	Uses	Focus
Formative Evaluation serves as a means to improve performance	Counselor	Ongoing communication, feedback, assistance	Improve performance; interrelated with decision-making, goal development and other administrative tasks	The improvement of the educational system
Summative Evaluation serves as an end, a final judgement	Judge	Specific culminating judgment	Basic for merit pay, promotion, demotion, in-service training, transfer, and similar personnel decisions	The individual and his or her performance

Figure 1. Components of Two Major Purposes of Evaluation (ERA, 1985, p. 6)

evaluations have a characteristic of finality. These evaluations are entered into records and are used as the bases of decisions.

Sound education is formative in intent. Its evaluation processes should emphasize the formative and attempt to ensure that the necessary summative processes interfere as little as possible with the formative (Zappulla, 1983, p. 184-185).

In a presentation given to the American Association of School Administrators, Dr. Jerry W. Valentine (1987) affirmed Howsam's position. He stated that the "Formative Phase (of evaluation) is the most significant series of events in an evaluative process designed to promote personal growth and organizational development." He presented a system of evaluation called Performance/Outcome Based Principal Evaluation and said that "at least 90 percent of the time and energy given to evaluative activities should be made in the formative phase" (p. 10).

In conclusion than, there need not be a debate as to whether principal evaluation should be formative or summative. Both are needed and serve very distinct purposes. Research leaves little room for doubt that the greatest amount of time should be given to formative evaluation. Summative evaluation should be based on formative results.

Other Purposes of Evaluation

As was stated in the introduction to this chapter, in the past, the primary purpose of principal evaluation was

summative. The decision to retain, promote or dismiss the principal was the end result of the exercise. Today, literature indicates a definite trend to use evaluation as a means rather than an end. "When evaluation serves as a means, it functions as an ongoing communication, feedback, adjustment, and assistance process" (VanderWey, 1983, p. 27). The focus of evaluation should be one of improvement.

The main reason for the evaluation of principals is . . . to provide the individual with an appraisal of his areas of strength and those requiring improvement, and it should provide him with some suggested strategies to bring about overall improvement while effectively utilizing his strength (Duhamel, 1981, p. 20).

William Schaefer and Bruce Read (1982) confirmed the formative approach stating that "Ideally, all evaluation of school employees would (1) assess current performance and (2) prod employees toward ever better performance" (p. 22). Bill Ernest (1985) added another dimension to the improvement purpose, that of productivity. He states that "Evaluation is necessary and functional; its purpose is to improve performance and productivity" (p. 290). He goes on to say that there should be feedback and coaching which should mutually benefit the individual as well as the school.

All involved in the process must reflect a strong commitment to the improvement of professional performance. It is on this premise alone that evaluation will be fruitful not only to the schools, but to the principals involved (p. 292).

The process should focus on:

1. Aiding in the professional growth of the principal . . .
2. Identifying strengths in the principal . . .
3. Providing feedback on work done . . .
4. Serving as a change agent for the school . . .
(p. 290).

In a study conducted by M. S. McDonald (1979), it was found that principals in Georgia want to know the purpose of administrative evaluation. Yet, 70% of the principals surveyed did not know why they were evaluated. Terrence E. Deal, et. al. (1977) reported a similar condition among principals surveyed in northern California. He stated that half of the principals who responded to his survey were unaware of the reasons for their being evaluated (p. 273). Ronald Duhamel, et. al. (1981) found that in Ontario there was vast difference between the principals perception of the purpose of evaluation from that of the supervisors (p. 21). This ambiguity in evaluation is unhealthy both for the individual and the institution. Purposes of evaluation should be clearly defined and understood by the evaluatee and the evaluator. Daniel L. Duke and Richard J. Stiggins (1985) wrote "It is reasonable to assume that the evaluation of principals is most effective when (1) general agreement exists regarding the purposes of evaluation and (2) the

perceived purposes correspond closely to the actual purposes" (p. 88).

There seems to be some concern in research as to whether there is a "purpose" for evaluation or whether there can be "purposes" for evaluation. Dale L. Bolten (1980) found such arguments to be "facetious" and "misinformed." Research provides "evidence that multiple purposes are not only possible, but also that those who are involved in evaluation systems that have such goals become advocates for them" (p. 18). Jerry J. Herman (1977) provided the following list of purposes for principal evaluation:

1. Improve instruction
2. Improve task performance
3. Screen employees for promotion or demotion
4. Differentiate administrative assignments
5. Grant merit or performance pay
6. Decide on tenure, permanent appointment, or civil service status
7. Increase productivity of the individual, the total management team, and the school district
8. Let the individual know exactly what is expected of him and how well his boss feels he is meeting the expectations
9. Motivate employees to more closely attain their potential
10. Provide information related to the strengths and weaknesses of individual employees for the purpose of developing inservice and job upgrading programs

11. Provide information input upon which wise management decisions can be made (p. 2-3).

Daniel L. Duke and Richard J. Stiggins (1985) gave the following seven purposes for principal evaluation.

- To promote the professional development of principals
- To provide evidence needed to determine merit salary increases
- To provide information for use in making decisions about advancement within the district
- To ensure uniform practices among principals in the district
- To provide evidence needed to remove incompetent principals
- To improve student performance
- To provide public accountability (p. 74).

They found that the two purposes most often selected as the most important for evaluating principals were "to promote the professional development of principals" and "to improve student performance" (p. 75).

Respondents in a study conducted by Banks selected the following purposes in rank order as the most "desired" purposes of principal evaluation.

- To assist in professional growth
- To improve educational leadership
- To identify job targets or competencies for improvement
- To acknowledge quality performance

-To determine employment status--promotion, retention, or dismissal

-To fulfill legal mandates (Buser and Banks, 1984 p. 2).

There can be various purposes for evaluation. Purposes utilized in principal evaluation should be determined based on each specific district and its peculiarities. A generic list which fits all situations cannot be recommended. However, the above lists should be given consideration.

THE EVALUATION PROCESS

Principal evaluation is still in the early stages of development. This fact has been documented in other parts of this chapter. Joseph Murphy, et. al. (1985) wrote that in many districts "principal evaluations are either nonexistent or perfunctory, episodic, and nonsubstantive" (p. 81). Where evaluation has existed, Bottoni (1984) reported that:

Traditionally, evaluation schemes have been lengthy and difficult to manage. Programs to evaluate employees are often written in educational jargon, philosophically embracing some vague expression of the ultimate. Such schemes may or may not relate to the identified needs of the school, the developmental needs of the individual being evaluated, or program of evaluation and group motivation (p. 4).

Richard L. Featherstone and Louis Romano (1977) declared that there is no excuse for a continuation of an emotional and

haphazard approach to evaluating administrators. They found that:

Thoughtful administrators and responsible boards of education are developing rational and intelligent means to evaluate the performance of the administrators serving their systems. These groups are moving from a pattern of emotional appraisal toward a matrix of performance evaluation (p. 413).

In the past decade, principal evaluation has been steadily moving toward performance appraisal. Performance appraisal is not easy. It must be designed so that it is measurable. The first step according to research is to develop a clear job description.

Job Descriptions

If principal evaluation is to serve an intended purpose, it would seem logical that a clearly defined job description should be in place. Featherstone and Romano (1977) suggest that no procedure or criteria for evaluation be developed or adopted until the job description clearly:

- delineates the leadership and managerial functions for which the administrator has responsibility;
- identifies the authority the administrator has for leadership and managerial functions; and
- establishes lines of accountability (p. 414).

Joe Henthorn (1980) stated that if the evaluation of principals is determined by job description, "it would seem

appropriate for districts to annually review the responsibilities assigned in this document for correspondence with current role expectations" (p. 13). John M. Hoben (1986) reported that often job descriptions are located in the back of policy manuals and are not updated on a regular basis. He agreed with Henthorn that job descriptions should be updated yearly to coincide with the "changing nature of the administrator's job." Hoben further suggested seven "key management results areas" under which job descriptions should be grouped. They are:

- administrative
- instructional
- financial
- operational
- research and development
- public relations and community relations
- human resources (p. 12)

A small school district in Kansas working together with the University of Wichita concluded that the first step in clarifying the evaluative process was to develop "Position Guides." The position guide for the high school principal identified seven major areas of competency. The areas were:

- curriculum leadership;
- relationships with staff, students, and parents;
- personnel functions;

- student accounting and records;
- public relations;
- environmental health and safety;
- and personal-professional development.

Under the various areas were 56 separate responsibility statements (Anderson and Bartlett, 1984, p. 11).

John G. Savage (1983) wrote that with a carefully prepared and annually reviewed job description administrators will know what is expected of them. He observed that "too often administrators 'go wrong' because they did not know how to 'go right'." Further, he stated that "A well prepared job description can also be used as a list of evaluation criteria. The list is incomplete however, "because the last performance responsibility on any well written job description should be 'to perform all other duties assigned'" (p. 28).

H. Robert Olds also found that a good job description must describe the work to be performed. A single job description for all secondary principals, for example, "may be more fictional than descriptive of any single position with that title." He concluded that the "Evaluator and evaluatee must be in mutual agreement that the position statement describes the job involved when it is well-performed" (Zappulla, 1983, p. 201).

Undoubtedly job descriptions are important. George B. Redfern (1980) provided a summary statement in tying the job description to evaluation. He wrote "The entire evaluation process will go better if the job definition phase is carefully done" (p. 74).

Process or Product

A principal can be evaluated on what he does, the process, or on what he achieves, the product. Shirley B. Stow and Richard P. Manatt (1982) found in their research at Iowa State University, that performance evaluation is "oriented" to process and asks:

- What do we expect each administrator to accomplish?
- How do we expect each administrator to perform?
- What changes in behavior do we want?
- How does his/her performance interrelate with that of others (p. 353)?

Ronald Duhamel, et. al. (1981) in a study conducted in Ontario, found that the most common evaluation style used was the process approach. Process evaluation in action is defined "By observing how an individual fills his role, an experienced observer can assess effectiveness by relating role performance to group norms" (p. 22). Duhamel continued by describing three kinds of behavioral norms. Organization behaviors are those which meet classroom, school, district,

and department of education needs. Comportment behaviors refer to management relationship between principal and teachers, students, and others. Presentation behaviors refer to communication interaction with various group (p. 22).

Taxpayers, according to Sapone (1980) are requiring proof of "increased effectiveness of teacher and administrator performances as they influence pupil growth and school achievement" (p. 44). An evaluation "system must insure that the desired educational outcomes are actually being achieved" (p. 44). Ronald Duhamel et. al. (1981) in their study stated that the outcomes or product approach "attempts to determine to what extent each goal which the principal has set . . . has been attained" (p. 25). The outcomes approach, Duhamel continued must also "know whether or not and to what degree an expectation has been achieved" (p. 25). He viewed the outcomes approach from "three perspectives." Goal setting, the first perspective, refers to the goals that the principal will set probably with his supervisor. The second perspective, is the setting of criteria for success which indicates how each goal will be measured to determine success. Last, assessment, considers the evidence concerning the attainment of the desired outcomes for each goal (p. 25). Wayne R. Bottoni concluded that product or outcome evaluation "is not a complicated process if it consists of two broad components: a definition

of desired outcomes and an agreed upon method of assessing the degree to which the outcomes are achieved" (p. 3).

In summary there would seem to be a definite place for both process and product in principal evaluation. Whether the evaluation procedure should be more heavily balanced toward product or process would depend upon the philosophy of the district. If the procedure is geared toward performance standards then the process approach will dominate. However if performance goals or objectives are the main criteria used in the evaluation procedure then outcomes will be emphasized. Principal evaluation need not be one or the other but rather a combination of both.

Performance Standards

A "performance standards" system of evaluation is defined as a list of pre-determined criteria which are rated numerically, by selecting a descriptive phrase, or by written comments. Allen O. VanderWey (1983) referred to this system as a passive evaluation system (p. 39). The principal may have input into standards or criteria selected for assessment but usually selection was made by superiors. The utilization of a pre-determined list of performance standards was the traditional approach to evaluation. It was assumed that the evaluator was capable of identifying strengths and weaknesses in applying a scale to the list of standards. The principal

is usually aware of the standards to be used. The district may review and revise the list of standards periodically. Daniel L. Duke and Richard J. Stiggins (1985) found that in districts that used performance standards, standards had usually been in place for an average of four years. They also found that the majority of districts tended to give "equal weight to all performance standards and to stress the same standards for elementary and secondary principals" (p. 78).

The utilization of performance standards as a sole system of evaluation has come under a great deal of criticism in recent years. VanderWey (1983) pointed out that the rating systems used were often highly subjective and often poorly designed. Also, many of the rating instruments measured the person not his performance (p. 42). Berkeley Rice (1985) talked about the "halo effect" as a common source of rating error.

People who are generally liked get favorable ratings on all categories. Bad chemistry between a subordinate and supervisor can have the opposite effect and produce unfairly low ratings. In both cases, ratings end up based on general impressions of the employee as a person rather than on specific aspects of performance (p. 34).

The performance standards evaluation was usually found in the form of a checklist. Evaluatees were commonly rated on a four point scale of outstanding, above average, average, or below average. This may sound simple but Redfern (1986) pointed out that "evaluator judgement is crucial in this type

of rating process. As much back-up information as can be assembled is necessary in order to substantiate the assessments" (p. 74).

In the literature, performance standards were also labeled competencies or skills. A comprehensive list of performance criteria should include the twelve skills identified by the NASSP Assessment Center Project for a successful school principal. The skills are:

1. judgement
2. problem analysis
3. decisiveness
4. leadership
5. range of interests
6. personal interests
7. educational values
8. stress tolerance
9. oral communication
10. written communication
11. sensitivity to others
12. organizational ability (Hersey, 1986, p. 16).

In addition to the above list of skills the following principal evaluation competencies, skills, or criteria can be derived from literature.

1. personal health

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2. personal appearance
3. professional knowledge
4. professional preparation
5. community involvement
6. visibility
7. knowledge of curriculum
8. supervision of faculty
9. evaluation of faculty
10. utilization of instructional resources
11. evaluation of educational programs
12. decision making skills
13. financial management
14. administrative protocol
15. interpersonal relationships
16. professional development programs

Why is the performance standard evaluation so prevalent among school systems? The best answer was given by Zakrajsek (1979) "The efficiency of this type (checklist/rating) of evaluation is undeniable. In a small amount of time the principal can receive feedback and weighted judgement on his principalship" (p. 101).

Performance Goals

A "performance goals" system of evaluation is defined as evaluation designed for the individual principal. Goals

may be determined by the immediate supervisor in conjunction with the principal. Various persons or groups of persons may be involved in the evaluation process. While performance standards are more concerned with process and personality, performance goals are concerned with outcomes. Performance goals in literature are also known as job targets or performance objectives.

Education has received its greatest impetus in assessing performance outcomes from business and industry. The apparent success of management by objectives (MBO) as a management system and as an evaluation technique did not go unnoticed by educational specialists. The researchers for Educational Research Associates reported in the publication *Educational Administrative Performance* (1985) concerning the adapting of management by objectives to education that "As agreement has developed that the primary purpose of evaluation should be improvement and professional growth, the use of evaluation by objectives has grown" (p. 11).

George B. Redfern (1980) has been one of the leading proponents of goal setting as an evaluation technique. He proposed a performance objectives model with six basic components that he said were essential in a "performance objectives-oriented program aimed at improving an individual's performance" (p. 13). As the model (Figure 2) demonstrates, the evaluation process is cyclical and goes on

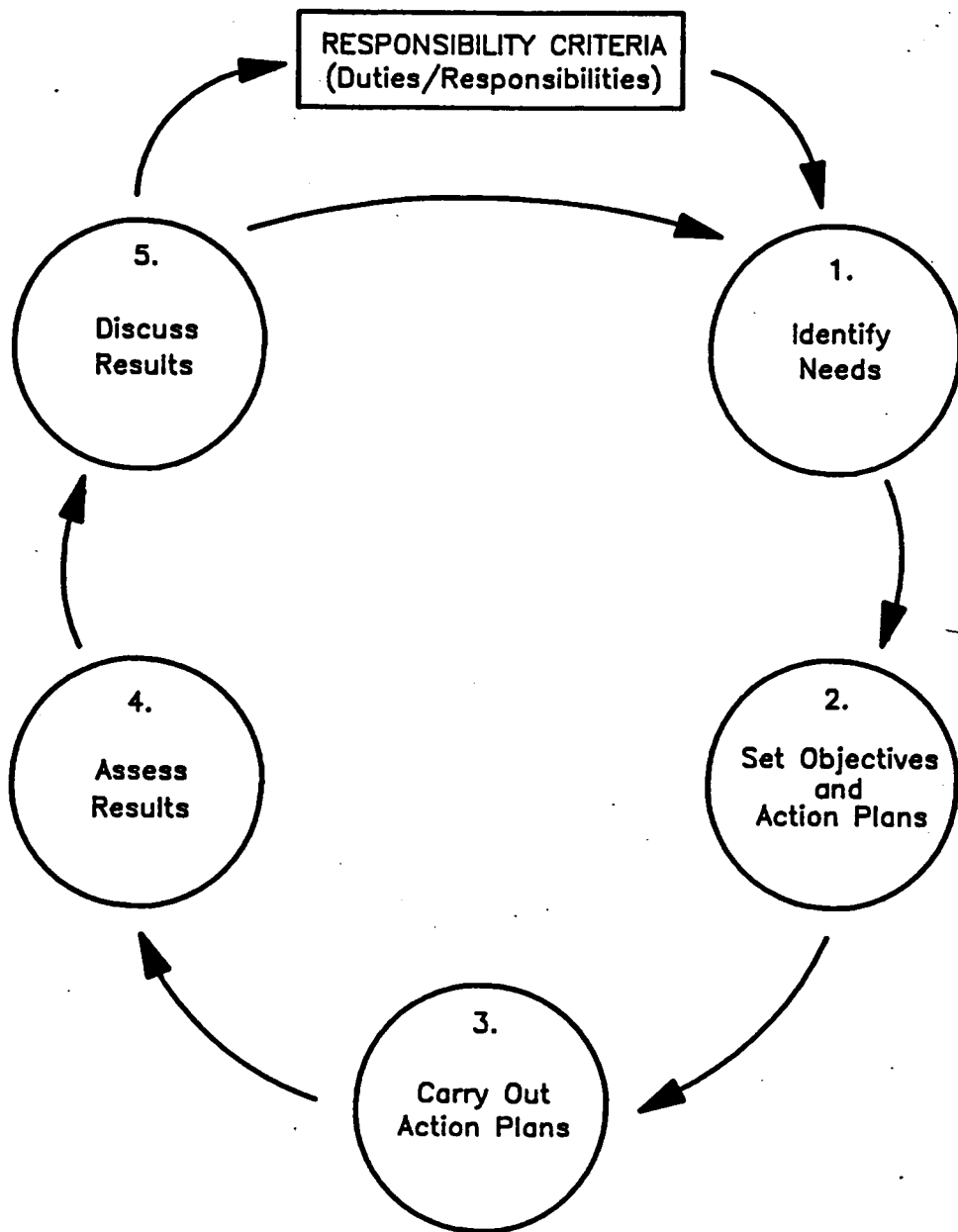


Figure 2. Performance Objective Model
(Redfern, 1980, p. 14)

continuously through five basic steps. Educational Research Service (1985) reported that evaluation by objectives programs typically involve a series of steps:

First, an annual organization review takes place and district goals are set. The evaluator and evaluatee agree on performance goals. The evaluator rates the evaluatee on the accomplishment of these goals; self-evaluation is also encouraged. Finally, a post-evaluation conference is conducted to discuss the evaluation plan and goals for the next year (p. 11).

Thus the cycle begins again.

Current research agreed that the evaluation of goals or objectives was necessary to determine effectiveness.

However, Howsam pointed out that "When goals and objectives are vague and imprecise, evaluation of outcomes is virtually impossible" (Zappulla, 1983, p. 186). Dr. Jerry W. Valentine (1988) from the University of Missouri, has developed a formal performance based evaluation program called Performance/Outcome Based Principal Evaluation Schema. The program (P/OBPE) has five phases with defined time periods (Figure 3). Distinct responsibilities to fulfill the requirements of the program are outlined for the evaluator and the evaluatee. Redfern and Hersey (1981) developed a performance objectives evaluation program named Leadership Excellence Achievement Plan (LEAP). The program has the following elements:

EVALUATIVE PHASE	MAJOR EVENTS AND TASKS		TYPICAL TIMEFRAME
DEVELOPMENTAL	Leadership Commitment Philosophy of Improvement Participation Management		Fall through Winter
	Committee Tasks Review Literature and Models Draft Process/Content/Forms Seek Input and Refine Recommend to Board Plan Inservice		
PREPARATORY	PERFORMANCE CRITERIA Inservice Principals Process/Content	SCHOOL GOALS Inservice Principals Process/Content	April through September
	Inservice Evaluators Process/Content	Inservice Evaluators Process/Content Identify School Goals Assess Needs Faculty Input Building Goals District Goals	
FORMATIVE	PERFORMANCE CRITERIA Scheduled Observations Notetaking Formative Form Conference	SCHOOL GOALS Goal Process Principal Assess Supervisor Assess Formative Form Conference	September through May
	Unscheduled Observations Notetaking Formative Form Conference	Goal Modification Collegial	
	Non-Observed Data Documentation Formative Form Conference	Goal Progress Principal Assess Supervisor Assess Formative Form Conference	
	Artifact Data Identify Collect Analyze Formative Form Conference Growth Plans All Personnel Criteria Based Developed Collegially		
SUMMATIVE	PERFORMANCE CRITERIA Summative Form Criteria Performance Summative Conference Growth Plans	SCHOOL GOALS Summative Form Goal Accomplishment Summative Conference Goal Identification	June and/or December
	CONTRACTUAL	Employment Decision Performance Criteria Summative Evaluation Goal Statement Summative Evaluations	

Figure 3. Performance/Outcome Based principal Evaluation Schema (Valentine, 1988, p. 6)

- Agreeing on job content. The evaluator and the evaluatee should agree on the technical competencies, administrative skills, and performance goals that establish the foundation for evaluation.
- Identifying performance level. The development plan and the improvement plan are established.
- Reviewing progress. An evaluation indicates the extent to which goals and action plans are on target.
- Assessing results. Both a scaled category and a narrative assessment are suggested (p. 1).

How valuable is the performance goals approach to evaluation? Probably the American Association of School Administrators stated it best:

The existence of organizational goals and objectives which are linked to clearly-understood and personally-developed individual efforts, plus the ability to document and to track the record of growth and success, can make for an entirely new and rewarding environment for work (p. 54).

Performance Standards/Performance Goals

As was observed at the conclusion of the discussion on process or product, a decision need not be made between an evaluation approach emphasizing performance standards or performance goals. Research confirms that combining standards and goals would make the most effective system.

Joe Henthorn (1980) observed:

Job targets and standards of performance as rival approaches to evaluation may be an unnecessary exclusion of the positive aspects of the approach that is omitted. It might be possible to combine the two and obtain both an emphasis on selected

goals and needed performance skills. Such an approach would include the accomplishments intended by the principal and the identification of skills the principal would need to provide leadership (p. 12).

The evaluation approach LEAP proposed by Redfern and Hersey (1981) incorporated standards with objectives. The three components of LEAP are 1) technical competencies, 2) administrative skills and 3) performance goals (p. 1). Wayne R. Bottoni (1984) concludes that:

- To improve performance we must have accurate feedback about job performance and the results must be stated clearly and in measurable terms. We must also have clearly stated job responsibilities and standards of performance for our principals (p. 6).

Evaluation Guidelines

Research is clear that though principal evaluation is difficult it is necessary. It is difficult in the sense that the principal's role, as Bill Ernest (1985) describes it, is many-dimensional but principals agree that there is a definite need for evaluation. "Evaluation helps plan for change and to prevent and correct errors" (p. 290). Ernest postulates that:

In its most rational form, (principal) evaluation is a legitimate and expected personnel function. It is not meant to be a public relations exercise, political act, or morality play. Evaluation is necessary and functional; its purpose is to improve performance and productivity (p. 290).

An effective evaluation system, stated Ernest will include the following guidelines:

1. should be clearly established, understood, and accepted by everyone involved
2. should be carried out in an atmosphere of mutual trust and benefit . . . which includes participation of those to be evaluated
3. should be directed at the results and not the principal; it should not be superficial, arbitrary, or petty
4. should be as objective as possible
5. should focus on the growth and development of the principal and should not be punitive in nature
6. should involve self-evaluation and evaluation by . . . others who have valid input
7. (instrument) should be as simple as possible, easily administered and scored
8. should be a continuous, cyclical process
9. should be monitored to determine its effectiveness (p. 291).

Dale L. Bolten (1980) presented seven "general elements" of an evaluation system. His general elements are in agreement with Ernest's guidelines. They are:

1. It is a continuous and cyclical process.
2. It includes examination of input, process, and output.
3. It involves consideration of processes and products of several people.
4. It is a subsystem interrelated with other subsystems in the school organization.

5. It involves self-evaluation plus evaluation by outsiders.
6. It includes the assessment of common objectives and unique objectives.
7. It should be monitored to determine its effectiveness (p. 37).

John Hunt and Robert L. Buser (1977) included in their guidelines that evaluation should be designed for a particular school setting. Also they felt that it was important for the evaluatee to have "sufficient lead time to implement the evaluator's suggestions; that the evaluations are neither perfunctory nor ritualistic, but rather made on numerous occasions over an extended time period" (p. 13).

Research proposed three kinds of evidences used in determining performance. Both Dale Grabinski, et al. (1985) and Valentine (1988) proposed that scheduled observations, unscheduled observations and what Valentine called non-observed data should be used. The only difference between scheduled and unscheduled observation according to Valentine, is that "In the scheduled observation, the principal knows prior to the visit when the evaluator will arrive and some of the specific roles the evaluator would like to observe" (p. 16). Grabinski, et al. (1985) talked about anecdotal information such as attendance records, letters from parents and others, memorandums, and written work samples and the like as non-observed data. Valentine

(1988) added phone calls to the list. Another form of non-observed information called artifact data includes survey forms or inventories, student test data, newspaper clippings, rewards and recognitions in this category of data (p. 17). The purpose of all information gathering should be to determine strengths and weaknesses. When weaknesses are discovered a growth plan should be devised as a "vehicle for personal skill improvement" (p. 17).

If the guidelines proposed and the system for information gathering is to be implemented, evaluators and evaluatees must be trained. The evaluatees are to be trained in the sense that they know the expectations of the system. The evaluators must be trained to administer the system. Ruben L. Ingram (1986) recommended administrators be taught competencies for using clinical supervision. In fact this should be required by the district (p. 10).

Finally, an evaluation system is not complete if the guidelines do not provide for the "right of those evaluated to make a written response" (Ingram, 1986, p. 11). The provision for appeal or due process should be a professional right of the principal.

PRINCIPAL EVALUATION IN VIRGINIA

In 1972, the General Assembly of the Commonwealth of Virginia passed legislation that established Standards of

Quality for public schools. A pattern was established for the biennial review of the standards thereafter. Standards for personnel, instructional materials, program and systemwide planning and management were established (Manual for Implementing Standards of Quality and Objectives for Public Schools in Virginia, 1972-74, p. i). The specific provision within the standard that mandated the evaluation of administrators read:

The superintendent and his staff shall provide for the cooperative evaluation of central office personnel and principals and shall provide assistance to principals in the cooperative evaluation of teachers and other school employees (p. 74).

Reasons given for evaluating central office personnel and principals were:

elimination of incompetent persons, the assessment of personnel for promotion, the assurance of accountability, the improvement of performance, and the professional development of personnel (p. 74).

Improvement of performance was given as the main purpose for evaluation.

Implied in this approach is an assumption that an individual is capable of improving his performance. The chances that he or she will make the necessary effort are enhanced if evaluation is conducted systematically with good planning, conscientious follow-through, and careful assessment of results (p. 74).

A five step model (Figure 4) for the evaluation process was proposed.

1. Establish Performance Criteria: . . . broad areas must be defined, and performance criteria for each area must be designed (based upon job content and job expectations) to use in assessing job performance.
2. Identify Performance Targets: When job performance has been assessed, areas which can be strengthened and improved should be identified. These "performance targets," identified in terms of objectives to be sought, will dictate actions to be taken to improve job performance.
3. Collect Performance Data: . . . evidence is assembled to indicate the extent to which performance targets are being or have been accomplished.
4. Make Evaluative Assessments: . . . involvement of evaluator and evaluatee in assessing the degree to which "performance targets" have been met. Data collected in Step 3 are used at this point.
5. Conduct Evaluation Conference: . . . a conference should be held to review the evaluation, to assess accomplishments, and to identify further steps to be taken (p. 75, 77).

The Virginia Department of Education provided assistance to school divisions in carrying out this mandate. Two committees were formed. One committee studied teacher evaluation and the other committee studied administrative evaluation. The committees included teachers, principals, central office administrators, school board members, parent representatives, state department of education representatives, and a consultant. Their report was

EVALUATION OF CENTRAL OFFICE PERSONNEL AND PRINCIPALS
(Model)
Components

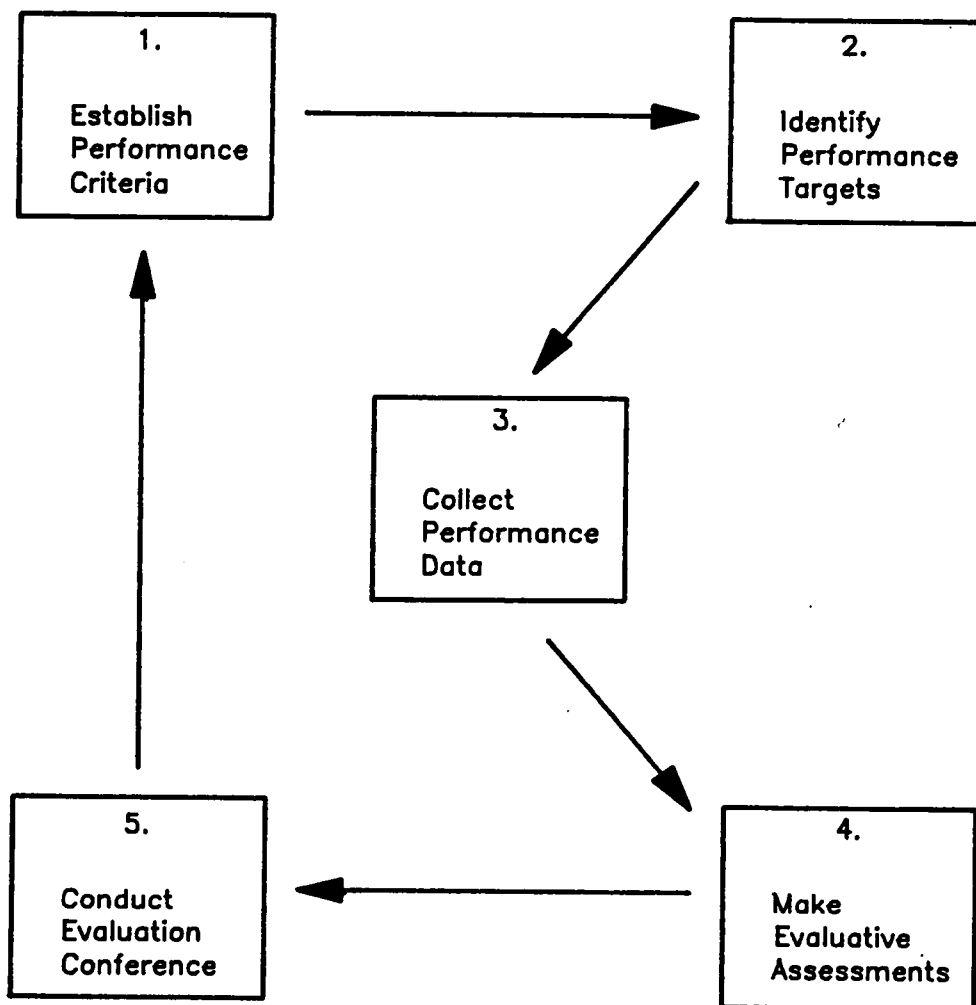


Figure 4. Evaluation of Central Office Personnel and Principals (Manual for Implementing Standards of Quality and Objectives for Public Schools in Virginia, 1972-74, p. 76)

published in the Tentative Report: Evaluation of Personnel, August 1972. The Committee of Evaluation of Central Office Personnel and Principals suggested various options for the model presented in Figure 4. "Multi-lateral" evaluation was proposed. The committee suggested that "Input can come from three directions: downward, upward, and horizontally." Three "general principles" were presented to "guide the evaluation process."

1. Evaluation by superiors - These are the prime evaluators. They carry ultimate responsibility. They are obliged to substantiate their evaluative judgments.
2. Evaluation by peers - This is possible when evaluatees function in teams or operate in differentiated staffing patterns. Ad hoc group arrangements, for evaluating purposes, makes it possible for one evaluatee to assess the performance of a colleague.
3. Evaluation by "clients" - Those who are the recipients of service provided by the evaluatee certainly are in a position to make suggestions for forming performance objectives. They also can make valid assessments of the attainment of objectives and overall performance. In this sense, "clients" can contribute valuable evaluation input. Not to use it is to overlook a useful source of information and performance data (p. 82-83).

Schools were cautioned to first determine if Evaluation by Objectives was the approach they wanted to commit to before adopting the model. It was emphasized that the procedures were suggestions and not prescriptions. To further assist the divisions in implementing the suggested evaluation model

the Virginia Department of Education in 1974, published the Evaluation Procedures Handbook (Tentative Model).

The extent to which the state approved model for administrative evaluation has been implemented in the school divisions of Virginia has not been researched. Richard Francis Moore (1987) reported concerning teacher evaluation that initially many school divisions "chose to utilize the state model; however, it was found to be quite cumbersome and time consuming. Many local divisions have since gone away from the state model . . ." (p. 54). Vernon Wildy observed that many school divisions developed their own administrator evaluation procedures preferring not to use the Department of Education's model (Interview, December 3, 1987).

In 1986, the Virginia Department of Education appointed a task force to study personnel evaluation procedures in Virginia. The report from this task force has not yet been published. Also, in 1986, a Governor's Commission issued a report, Excellence in Education: A Plan for Virginia's Future. This report stated that: "The principal is the single most important person in the school. We need to examine more carefully how principals are selected, prepared, compensated, and recertified" (p. 11). This statement again underscored the importance of the effective school principal in educational leadership. The report made the following recommendation concerning school principals:

We therefore recommend that public and private colleges and universities revise graduate programs in school administration to provide more emphasis on assessment of leadership potential of persons who want to be principals and more training in leadership skills and teacher evaluation for those currently employed as principals. To this end, all prospective principals and those principals applying for recertification must satisfactorily complete an approved assessment program (Excellence in Education: . . . 1987, p. 11).

An advisory committee in a proposal for implementing the above recommendation stated, "School divisions should evaluate principals' performance and assist in developing and offering professional growth opportunities. Certificate renewal and continuing employment of principals should be based on satisfactory performance" ("Whittemore Report," 1987). Although the greatest portion of the proposal is concerned with preparation of individuals entering school administration, the practitioner in the field is not overlooked by the proposal authors. Diagnostic data gathered on the principal would be used to develop an individualized developmental profile. The profile would be updated annually to determine the professional development activities necessary for recertification. If the recommendations of the Commission Report are accepted, evaluation will become even more a critical reality for principals in the future.

SUMMARY

The literature review leaves no doubt of the importance of principal evaluation in today's public schools. A well designed evaluation program has the capability of pointing out strengths and weaknesses in principal performance. Through evaluation an effective principal can become even better and a weak principal can have the opportunity to know what must be done to improve.

Effective schools cannot be separated from effective principals. Leadership most generally is distinguished by concern for teaching and learning. Effective instructional leaders must be capable of adjusting their style to each peculiar school environment. Communities that want their schools to be effective must be willing to permit leadership autonomy.

Research has substantiated that there should be written policy governing principal evaluation. Although there is some debate as to how detailed such policy should be, generally, the policy should permit flexibility of interpretation but provide clearly defined parameters. Four elements should be included: (1) the responsibility of the superintendent for evaluation, (2) the timetable for the evaluation process, (3) the reasons for evaluation, and (4) the method of response by the principal to the evaluation.

Although the superintendent is responsible for evaluation, the literature presents a strong case for a team approach to evaluation. The formal evaluation may be conducted by the superintendent or the principal's immediate supervisor, however, input should be actively solicited from subordinates, peers and superordinates.

Research identifies all purposes of evaluation as either formative or summative. Research also strongly supports the formative phase of evaluation as the most important. It is in this phase that personal growth of the principal is emphasized. Summative evaluation serves as a judgement of the principal's effectiveness and determines the principal's future. There may be multiple purposes for evaluation but the main reason for evaluation should be to determine the areas of strengths and those areas needing improvement. Purposes underlying principal evaluation should be determined by each specific district and based on its peculiarities.

The evaluation procedure should begin with a written job description describing what is expected of the principal. Job descriptions should be individualized and reviewed periodically by evaluator and evaluatee to insure that it describes the job when it is well performed.

A principal can be evaluated on what he does, the process, or on what he achieves, the product. There seems to be a definite place for both process and product

components in principal evaluation. Whether the evaluation procedure should be more heavily balanced toward product or process would depend upon the philosophy of the district. If the procedure is geared toward performance standards then the process approach will dominate. However if performance goals or objectives are the main criteria used in the evaluation procedure than outcomes will be emphasized. Principal evaluation need not be one or the other but rather can be a combination of both.

Performance standards are also identified in the literature as competencies or skills. The main criticism of using performance standards as the only system of evaluation is that they may measure the person and not performance. Performance goals in literature may be called job targets or performance objectives. The main emphasis in the performance goals system of evaluation is to measure the degree to which district and school targets, objectives or goals have been achieved. Research confirms that the most effective system of evaluation is combining standards and goals.

Studies are clear that although principal evaluation is difficult it is necessary. School systems should have a well defined, cyclical evaluation program in place. An evaluation instrument should be adopted that emphasizes formative evaluation over summative. At the end of the cycle there should be opportunity for the principal to dissent.

Evaluation of all public school personnel was mandated in the Commonwealth of Virginia in 1972. Standards of Quality were adopted with the provision that they be reviewed and revised biennially. School divisions were provided with State approved models for teacher evaluation and administrator evaluation. The extent to which the state approved model for administrative evaluation has been implemented has not been researched. In 1986, the Virginia Department of Education appointed a task force to study personnel evaluation procedures in Virginia. The committee's work in the area of administrative evaluation has been placed on hold indefinitely. Also, in 1986, a Governor's Commission issued a report concerning education with various recommendations. One of the recommendations was directed toward principal evaluation.

CHAPTER III

METHODOLOGY

INTRODUCTION

The intent of this chapter is to present the methodology used in this study. The chapter describes the design of the study, the population, the instrumentation, the data collection, and the data analysis.

DESIGN OF THE STUDY

Four interviews were conducted in the initial stage of developing the design of the study. The purpose of the interviews was to explore what was known about the condition of principal evaluation in the public school divisions of the Commonwealth of Virginia and to identify the timetable established by the Virginia Department of Education for the development of a principal evaluation prototype. Four professional educators were selected for interview based on their direct involvement with principals. Two of the interviewees hold positions with the Virginia Department of Education. They are Dr. Thomas A. Elliott, Administrative Director of Professional Development and Certification, and Mr. Vernon Wildy, Associate Director of Secondary Administration, Division of Humanities and Secondary Administration. The other two interviewees were Dr. Robert

R. Richards, Executive Director of the Virginia Association of Elementary School Principals, and Dr. Randy Barrack, Executive Director of the Virginia Association of Secondary School Principals. Dr. Elliott was interviewed on November 17, 1987, Dr. Richards on November 21, 1987, Mr. Wildy on December 3, 1987, and Dr. Barrack on December 4, 1987. The interviews confirmed the fact that little is known about what exists in the public school divisions concerning principal evaluation policy and procedures.

The purposes of this study were threefold. First, the study described principal evaluation policies and procedures currently in place in the school divisions of the Commonwealth of Virginia. Second, the study compared those policies and procedures with "state of the art" recommendations in literature. Third, the study made recommendations that should prove helpful in the development of principal evaluation policies and procedures for the school divisions.

In order to address the first purpose, information describing evaluation policies and procedures used in principal evaluation in the school divisions of Virginia, was gathered in two ways. All of the divisions were asked to send copies of their written policy and procedures governing principal evaluation. These data were analyzed through the use of a document analysis guide. The guide was developed

from a review of literature. To supplement the data from the documents, a questionnaire was sent to the chief personnel officer in each division. The data from the questionnaire were analyzed statistically through the use of frequencies and percentages.

The data gathered to address the second purpose were applied to research question number two. Principal evaluation systems from each school division were categorized according to whether they were philosophically formative, summative, performance standard, or performance goal oriented. The four categories are defined in Chapter 1, under "Definition of Terms."

An extensive review of literature concerning principal evaluation was conducted. Most of the literature reviewed was published after 1980. This date was selected because since 1980 there has been a wealth of research identifying the principal as the most important person in effective schools. The effective schools research is directly linked to the current emphasis on formal principal evaluation. The third purpose of the study, then, was accomplished by comparing the "state of the art" as identified in literature with what is currently taking place in the school divisions. Recommendations for improved principal evaluation were made as a result of these comparisons.

POPULATION

The population of this study consisted of the chief personnel officers of all the public school divisions in the Commonwealth of Virginia. The 1987-1988 Virginia Educational Directory was the source used to make the selection. Data were solicited from the chief personnel officer of each school division. Chief personnel officers were chosen because they are responsible for evaluation of principals and therefore are knowledgeable of the principal evaluation policies and procedures in place in the division.

INSTRUMENTATION

A questionnaire was developed to supplement the documents collected from each division as well as to collect data that might not be included in the documents. The questionnaire was developed through a review of the literature. A draft of the questionnaire was sent on January 12, 1988, to a review panel of 12 professional educators for validation (Appendix A). The review panel was made up of public school principals, public school central office personnel, officials of the Virginia Department of Education, directors of professional education associations, and a university professor.

A cover letter and an evaluation form (Appendix B) were included with the questionnaire. Panel members were asked

to use the evaluation form as a guide to review and critique the questionnaire. Comments and suggestions were specifically requested concerning format, directions, question clarity, response options, bias, and length. Reviewers were invited to write their observations on the evaluation form and/or directly on the questionnaire. The questionnaire was made up of 29 questions. Items 1 through 27 referred to research question number one. Items 28 and 29 sought information concerning past and present efforts of the Virginia Department of Education in the principal evaluation process.

Upon receiving the draft copies of the questionnaire from members of the review panel, a final form of the questionnaire consisting of 31 questions was developed (Appendix C). The questionnaire in its final form was professionally printed in preparation for distribution to the school divisions.

DATA COLLECTION PROCEDURES

The questionnaire was forwarded to the chief personnel officer in each of the 131 school divisions in the Commonwealth of Virginia. Names and addresses of the personnel officers were taken from the Virginia Educational Directory, 1987-88 school year. Although the Virginia Educational Directory lists 137 divisions, 5 divisions

combine for educational services. They are Bedford City/Bedford County, Fairfax City/Fairfax County, Greensville County/Emporia City, Halifax County/South Boston City, and James City County/Williamsburg City. Also, as of September, 1987, Cape Charles Town consolidated with Northampton County.

A letter of introduction, a cover letter, and a postage-paid self-addressed envelope accompanied the questionnaire. The letter of introduction was co-signed by Dr. Wayne M. Worner, advisor to the researcher, and Dr. Thomas A. Elliott, Administrative Director of Development and Teacher Education of the Virginia Department of Education (Appendix D). Along with the questionnaire, each personnel officer was asked to return a copy of the division's policy and procedures for principal evaluation. Personnel officers were asked to complete the questionnaire according to instructions given and were encouraged to return the data as quickly as possible. A deadline date was suggested. Confidentiality of information provided was assured for all respondents.

A determined effort to receive 100% returns was made. A second letter (Appendix E) with a questionnaire, request for the division's policy and procedures and a postage-paid self-addressed envelope was sent one week following the original deadline. After the second deadline had passed,

telephone calls were made to those divisions who had not responded. The goal of receiving 100% returns was achieved.

The time frame for the data collection began with the first mailing on February 29, 1988. Three weeks later, responses had been received from 70% of the public school divisions. On March 18, 1988, a second mailing was sent to divisions that had not responded. By April 4, 1988, three weeks after the second mailing, an 87% response rate had been achieved. Telephone calls were made to personnel officers of divisions that had not responded. By May 11, 1988, all 131 public school divisions had responded for a 100% response rate.

DATA ANALYSIS

The data collected through the questionnaire, were reported by frequency and percentage of responses. Data were categorized and reported in tables. A Document Analysis Chart (Appendix F) was used to record the data extracted from the written documents received from the school divisions.

After all data were gathered, each school division's principal evaluation policy and procedures were categorized according to whether they were formative, summative, performance standards, performance goals, or a combination of any of the four categories. This information was then compared to the recommendations identified in literature.

Suggestions for improvements as a result of discrepancies found between the literature review and reported practices were made.

CHAPTER IV

ANALYSIS OF DATA

INTRODUCTION

This chapter presents the analysis of data received from the public school divisions in the Commonwealth of Virginia. Data were gathered through a questionnaire sent to the personnel officer in each of the divisions. Along with completing and returning the questionnaire, each personnel officer was requested to send a copy of their division's principal evaluation policy and procedures. Responses were received from 100% of the 131 divisions.

The research questions presented in Chapter I have been used to organize the data. The data extracted from the questionnaires were computed into frequencies and percentages and arrayed in 19 tables. The documents received from the public school divisions were analyzed using a document analyses protocol.

RESEARCH QUESTION 1

What policies and procedures for the evaluation of principals are presently in place in the school divisions of the Commonwealth of Virginia?

Responses concerning policies and procedures for evaluation of principals in the public school divisions of

the Commonwealth of Virginia are presented in Table 1. One hundred ten school divisions or 84% reported they have written policies. Not as many schools have written procedures. One hundred two divisions indicated they have written procedures for 77.9% of the population.

Who Was Responsible for the Design?

Policies and procedures for principal evaluation were developed primarily by central office personnel and principals. Table 2 shows that in 114 divisions or 87% of all divisions in Virginia, the central office staff either developed or is currently involved in developing policy and procedures. The next highest contributors to policy and procedure development in principal evaluation are principals with 99 divisions reporting that principals are part of the design group for a total of 75.6%. Only 31 divisions reported involvement of school board members for 23.7%. Consultants were reported as part of the group that developed policy and procedure in 24 divisions for 18.3% while teachers were involved in 15.3% of the divisions. Parents were rarely involved with only three divisions using their input. Students were not included in policy and procedure development in any division.

Table 1

Frequencies and Percentages of Responses Concerning
Written Policies and Procedures for Principal Evaluation
in the School Divisions of Virginia (N = 131)

Questionnaire Item	Frequency of Responses	Percentage of Responses*
Written policy is in place		
Yes	110	84.0
No	20	15.3
No Response	1	.8
Written procedures are in place		
Yes	102	77.9
No	26	19.8
No Response	3	2.3

*Percentages do not always total 100 percent because of rounding to the nearest tenth.

Table 2

Frequencies and Percentages of Responses Concerning
the Development of the Principal Evaluation Policies
and Procedures in the School Divisions of Virginia
(N = 131)

Questionnaire Item	Frequency of Responses*	Percentage of Responses
Policies and procedures were developed by		
Central Office Personnel	114	87.0
Principals	99	75.6
Teachers	20	15.3
Students	0	.0
Parents	3	2.3
School Board Members	31	23.7
Consultants	24	18.3
Assistant Principals	1	.8
No Response	1	.8
Not Applicable	12	9.2

*Frequencies number more than 131 because of multiple responses.

What Provision is Made for Policy and Procedure Revision?

Table 3 and Table 4 provide data relative to this question. A little more than one fourth (26.7%) of the school divisions responded in the affirmative to having procedures for regularly reviewing and revising policies and procedures governing principal evaluation. Ninety-one divisions or 69.5% said they did not have such procedures. Of the 35 divisions (26.7%) who have developed processes for reviewing and revising procedures, 17 or 48.6% use an annual plan and six or 17.1% revise as needed. Six divisions were distributed between two to five year reviewing cycles and two divisions that said they had a procedure for reviewing and revising policy and procedures did not respond.

When respondents were asked to give the last year their divisions policies and procedures were updated 69 or 52.7% fell within the last three years. Half of the divisions indicated a current need for revision of policies and procedures (65 divisions or 49.6%). An almost equal number of divisions responded that they did not see a need to revise their divisions policies and procedures (62 or 47.3%). It is interesting to note that of the 69 divisions that had updated their policy and procedures in the last three years, 30.4% felt there was a need for current revision (21 divisions).

Table 3

Frequencies and Percentages of Responses for Reviewing and Revising Principal Evaluation Policies and Procedures in the School Divisions of Virginia (N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
Procedure for reviewing and revising policies and procedures exists		
Yes	35	26.7
No	91	69.5
No Response	2	1.5
Not Applicable	3	2.3
If yes, how often (N = 35)		
Annually	17	48.6
Biannually	2	5.7
Triannually	4	11.4
5 Years	3	8.6
3-5 Years	1	2.9
As Needed	6	17.1
No Response	2	5.7

Table 4

Frequencies and Percentages of Responses Concerning the
Updating and Review of Principal Evaluation Policies
and Procedures in the School Divisions of Virginia
(N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
Last update of policies and procedures		
1973-74	3	2.3
1974-75	1	.8
1976-77	1	.8
1978-79	5	3.8
1979-80	2	1.5
1980-81	2	1.5
1981-82	2	1.5
1982-83	6	4.6
1983-84	7	5.3
1984-85	15	11.5
1985-86	21	16.0
1986-87	25	19.1
1987-88	23	17.6
Not Sure	3	2.3
No Response	4	3.1
Not Applicable	11	8.4
Current need for revision of policies and procedures		
Yes	65	49.6
No	62	47.3
No Response	3	2.3
Not Applicable	1	.8

A comment made by one division concerning revision of procedures was that they, ". . . updated in 1982-83, but have not been effective." Another respondent commented "Our policy is outdated and our process is informal. The division is small and has only five principals. All are experienced and two have doctorates - they are smarter than the superintendent who evaluates them." A similar position was noted by another division: "In our division consisting of three schools, we have not followed the actual procedure outlined in the program which was basically a copy of the D.O.E. Handbook." On the opposite extreme, one division's policy and procedures is so extensive it requires two volumes; is updated annually and yet the respondent felt that it was in current need of updating.

Is There an Evaluation Instrument?

Table 5 reveals that 111 public school divisions in the Commonwealth of Virginia use an evaluation instrument for principal evaluation. This is equal to 84.7% of the total number of divisions. Of these 111 public school divisions, 104 or 93.7% indicated that the same instrument was used for all principals regardless of grade level. Only six divisions or 5.4% said that the instrument varied according to grade level and not one division individualized the evaluation instrument.

Table 5

Frequencies and Percentages of Responses Concerning
the Evaluation Instrument for Principal Evaluation
in the School Divisions of Virginia (N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
Evaluation Instrument is used		
Yes	111	84.7
No	18	13.7
No Response	2	1.5
Instrument is the same for all principals (N = 111)		
Yes	104	93.7
No-varies by level	6	5.4
No-individualized	0	.0
No Response	1	.9

Eighteen school divisions reported that no instrument for principal evaluation existed in their division. One personnel officer from this group wrote: ". . . County Public Schools does not have an evaluation instrument for Principals. There is a definite need for the instrument."

How Was the Evaluation Process Formulated?

Four tables have been prepared to present the data relative to this question. When asked whether criteria used for the evaluation of principals were specified in policy, procedure and/or instrument, (Table 6) 81.7% said instrument. Not all divisions that indicated that criteria were specified in the instrument said they were included in procedure. Seventy-three divisions or 55.7% incorporate criteria in procedures while 37 divisions or 28.2% specify criteria in policy.

Table 7 addresses the establishment of goals and criteria in the evaluation process. One hundred two divisions or 77.9% stated that goals and criteria are determined in a formal conference at the beginning of the evaluation cycle. When asked how goals were established, 71% or 93 divisions indicated that it was a joint effort of the school division and the principal. Those divisions that establish the goals and criteria without input from the principal numbered 17 for 13% while principals with sole

Table 6

Frequencies and Percentages of Responses Concerning
Criteria Used for the Evaluation of Principals in the
School Divisions of Virginia (N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
Criteria are specified		
a. in policy		
Yes	37	28.2
No	86	65.6
b. in procedure		
Yes	73	55.7
No	50	38.2
c. in the instrument		
Yes	107	81.7
No	16	12.2
No Response	3	2.3
Not Applicable	5	3.8

Table 7

Frequencies and Percentages of Responses Concerning
Establishing Goals and Criteria for the Principal
Evaluation Cycle in the School Divisions of Virginia
(N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
Goals and criteria are established in a formal conference at the beginning of evaluation cycle		
Yes	102	77.9
No	25	19.1
No Response	3	2.3
Not Applicable	1	.8
Goals are established		
Mostly by school division	17	13.0
Mostly by principal	13	9.9
Equally by school division and principal	93	71.0
No Response	6	4.6
Not Applicable	2	1.5
Performance goals are mutually agreed upon		
Yes	104	79.4
No	18	13.7
No Response	6	4.6
Not Applicable	3	2.3

responsibility for establishing goals and criteria numbered even fewer at 13 divisions or 9.9%.

In comparison to goals being established equally by division and principal (71%), performance goals mutually agreed upon by division and principal were shown in 104 divisions for 79.4%. A written comment made by one personnel officer may add a little insight into how goals are entered into the evaluation. He stated that in his division: "(the) Principal may include his own objectives, goals, but (the) evaluator does not have to have mutual agreement to put his own criteria in."

When criteria were broken down into the two components of product and process, evaluation was most often based on process. Table 8 shows that 58 personnel officers said their divisions evaluation was based on 60% to 100% process criteria while 16 personnel officers indicated that their divisions evaluation was based on 60% to 100% product criteria. Thirty-six divisions or 27.5% said that their evaluation was a mix (between 40% and 60% each) of process and product criteria. Nineteen division personnel officers chose not to respond to the question concerning product and process criteria.

About a quarter of the divisions or 24.4% said principals may use artifacts/products in the evaluation procedure. Such data (Table 9) are not formally included in

Table 8

Frequencies and Percentages of Responses Concerning
Process and Product Criteria in Principal Evaluation in
the School Divisions of Virginia (N = 131)

Questionnaire Item	Frequency of Responses	Percentage of Responses
Percent of evaluation based on		
Process criteria		
90% to 100%	20	15.3
60% to 89%	38	29.0
Product criteria		
90% to 100%	4	3.1
60% to 89%	12	9.2
Product/Process Criteria		
40% to 59%	36	27.5
No Response	19	14.5
Not Applicable	2	1.5

Table 9

Frequencies and Percentages of Responses Concerning
the Use of Products/Artifacts or Presentations for
Principal Evaluation in the School Divisions of Virginia
(N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
Evaluation includes review of products/artifacts or presentations		
Yes	32	24.4
No	93	71.0
No Response	2	1.5
Not Applicable	4	3.1

If yes, give examples

Five divisions stated - Principal can submit a
file in support of carrying out job
responsibilities

Specific products listed by nine divisions -
student handbooks, teacher handbooks, annual
school plans, progress assessments, newsletters,
awards programs, letters, reports, memos, minutes
of meetings, lists of committees, faculty agenda,
P. T. A. presentations, panels for SACS,
schedules, test data, grades, failure data to
students, building reviews, bookkeeping, teacher
evaluation

most (71%) school divisions in the Commonwealth of Virginia. When included, student and teacher handbooks, school plans, progress assessment, awards programs, newsletters, letters, reports, memos, minutes of meetings, faculty agenda, lists of committees, presentations, schedules, and teacher evaluations may be submitted by the principal in support of how he/she is carrying out responsibilities.

Job descriptions for principals are in place in 116 or 88.5% of the public school divisions. In 91 of the 116 divisions, or 78.4%, personnel officers disclosed that evaluation is based to a large extent on the job description. Data concerning the use of job descriptions are presented in Table 10.

Who Are the Evaluators?

The data in Table 11 illustrate that formal principal evaluation is conducted by a variety of people in the public school divisions of the Commonwealth of Virginia. In most divisions, evaluation is conducted by one person. With the exception of one division, all evaluators are the principal's superiors. Most often the superintendent conducts the formal evaluation (79 divisions or 60.3%). Second to the superintendent as the most frequent evaluator of principals in Virginia's public schools is the assistant superintendent in ten divisions or about 7.6%.

Table 10

Frequencies and Percentages of Responses
Concerning Job Descriptions for Principals
in the School Divisions of Virginia (N = 131)

Questionnaire Item	Frequency of Responses	Percentage of Responses
Job descriptions for principals exist		
Yes	116	88.5
No	12	9.2
No Response	3	2.3
If yes, to what extent is evaluation based on job description (N = 116)		
Little extent	24	20.7
Large extent	91	78.4
No Response	1	.9

Table 11

Frequencies and Percentages of Responses Concerning
Who Conducts and Who Provides Input Into Principal
Evaluation in the School Divisions of Virginia
(N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
Formal evaluation is conducted by		
Superintendent	79	60.3
Assistant Superintendent	10	7.6
Supt. & Asst. Supt.	7	5.3
Director of Instruction	6	4.6
Asst. Supt. & Dirs. of Ed.	6	4.6
Dir. Elem. & Dir. Sec.	3	2.3
Central Office	2	1.5
Exec. Dir. of Instr.	2	1.5
Deputy Superintendent	1	.8
Dir. of Administration	1	.8
Administrative Asst.	1	.8
Level Supervisors	1	.8
Committee	1	.8
Superintendent & Teachers	1	.8
Teachers & Peers	1	.8
Supt. & Dir. of Instr.	1	.8
Supt./Asst.Supt./Adm.Asst.	1	.8
Instructional Assistant	1	.8
Directors of Education	1	.8
Supt./Asst.Supt./Dir.Instr.	1	.8
No Response	4	3.1
Input into formal evaluation includes		
Teachers	21	16.0
School Board Members	15	11.5
Peers	6	4.6
Self	48	36.6
Students	4	3.1
Team	11	8.4
Assistant Supt.	4	
Asst.Supt./Dir.Ed.	2	
Dir.Sec.Ed./Dir.Pers.	2	

Table 11 -- Continued

Questionnaire Items	Frequency of Responses	Percentage of Responses
Dir. Instr./Super.	1	
Supervisors	1	
Others	33	25.2
Asst. Supt./Dir./Super.	1	
Cent. Office Staff	14	
Asst. Supt.	7	
Superintendent	4	
Parents	2	
Asst. Supt./Dir. Ed.	2	
Admin. Asst.	1	
Citizens	1	
Dir. Elem./Dir. Sec.	1	

When the division personnel officers were asked who else provides input into the evaluation of the principal, it was found that the principal himself was most often listed. The principal contributes input in 48 divisions or 36.6%, next come teachers in 21 divisions for 16%. Students, the other group of subordinates to the principal, were only included in four or 3.1% of the divisions.

Is Training Provided for the Evaluator and the Evaluatee?

About three fourths of the divisions provide some form of training for the evaluator. Table 12 shows that 96 (73.3%) public school divisions in Virginia answered the inquiry concerning training prior to evaluation positively. The type of training received was mainly provided through workshops, seminars and conferences. These three forms of training totalled 61.4%. About 30% received training through college courses.

How Often are Principals Formally Evaluated?

The most common cycle of formal evaluation is yearly. Data received, displayed in Table 13, show that 84% or 110 divisions evaluate on a yearly cycle. Of those 110 school divisions, 98 or 74.8%, evaluate once yearly while 12 or 9.2% evaluate twice yearly. Sixteen divisions evaluate on a two to five year evaluation cycle, and one division wrote that

Table 12

Frequencies and Percentages of Responses Concerning
Training Provided Evaluators in the School Divisions of
Virginia (N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
Evaluators are trained to evaluate		
Yes	96	73.3
No	28	21.4
No Response	7	5.3
If yes, describe the training		
In-service on evaluation process (11 divisions)		
State Department leadership training (2 divisions)		
College courses (29 divisions)		
Workshops, seminars, conferences conducted by (59 divisions)		
VASA, VASE, AASA, NASE, VSBA, Jim Cooper-UVA Virginia Tech Consultants Principals Assessment Center		

Table 13

Frequencies and Percentages of Responses Concerning
How Often Formal Principal Evaluation Takes Place in
the School Divisions of Virginia (N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
A regular cycle of formal evaluation takes place		
Twice yearly	12	9.2
Once yearly	98	74.8
Every two years	5	3.8
Every three years	9	6.9
Every four years	1	.8
Every five years	1	.8
As needed	1	.8
No Response	3	2.3
Not Applicable	1	.8
Formal conference is held at conclusion of evaluation cycle		
Yes	121	92.4
No	6	4.6
No Response	3	2.3
Not Applicable	1	.8

the formal evaluation cycle depended on need. Of the 127 personnel officers responding in the affirmative to the question concerning a formal evaluation cycle, 121 or 92.4%, said a formal conference was held when the cycle was completed.

Not all 127 divisions that give a formal principal evaluation, give a written evaluation (Table 14). In 115 school divisions, or 87.8%, respondents revealed that their division gave written evaluations. In contrast to the 98 divisions that schedule formal evaluations once yearly 86 divisions provided written evaluations. Written evaluations were provided to all principals in the 12 divisions that gave formal evaluations twice yearly.

Does Evaluation Include Observation?

Observation of the principal on the job is of great importance in the majority of the public school divisions of the Commonwealth of Virginia. Table 15 provides evidence of this view. One hundred seven or 81.7% of the personnel officers stated that on-the-job observation was part of the evaluation process. However very few divisions (6.5%) indicated that the observation was formal. Ninety-three divisions said the observation was informal. This is a total of 86.9%, while seven divisions or 6.5% said theirs was a combination of formal/informal observation.

Table 14

Frequencies and Percentages of Responses Concerning
Written Principal Evaluation in the School Divisions of
Virginia (N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
Principal receives a written evaluation		
Yes	115	87.8
No	13	9.9
No Response	2	1.5
Not Applicable	1	.8
If yes, how often (N = 115)		
Twice yearly	12	10.4
Once yearly	86	74.8
Every two years	4	3.5
Every three years	8	7.0
Every five years	1	.9
No Response	4	3.5

Table 15

Frequencies and Percentages of Responses Concerning
On-The-Job Observation of the Principal for Evaluation
in the School Divisions of Virginia (N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
Observation on-the-job is part of evaluation process		
Yes	107	81.7
No	21	16.0
No Response	2	1.5
Not Applicable	1	.8
Observation is (N = 107)		
Formal	7	6.5
Informal	93	86.9
Formal/Informal	7	6.5
Conference follows each observation (N = 107)		
Yes	35	32.7
No	71	66.4
No Response	1	.9

Of those principals who are observed on-the-job, only one-third receive a conference following the observation. Seventy-one division personnel officers stated that no conference followed the observation (66.4%).

What Recourse Does the Evaluatee Have After Evaluation?

If the principal does not feel that the evaluation received is accurate, a dissenting statement may be filed and attached to the formal evaluation document in 86.3% of the divisions. Table 16 discloses that (according to the respondents), 113 divisions permit the principal to present an opinion.

What Are the Purposes of the Evaluation?

Improvement of professional performance is the most important purpose for principal evaluation in the public school divisions of Virginia as revealed in Table 17. One hundred twenty-three division personnel officers (93.9%) declared improvement of task performance as a purpose for principal evaluation in their division. Also, professional growth was identified as a purpose by 87.8% of the divisions while the identification of job targets was a selected purpose by 61.8% of the respondents.

Of interest are comments received from two divisions concerning the use of goals and targets. Neither of the

Table 16

Frequencies and Percentages of Responses Concerning the Filing of a Dissenting Statement by the Principal to be Attached to the Formal Evaluation in the School Divisions of Virginia (N = 131)

Questionnaire Item	Frequency of Responses	Percentage of Responses
A dissenting statement by the principal may be attached to the formal evaluation		
Yes	113	86.3
No	13	9.9
No Response	3	2.3
Not Applicable	2	1.5

Table 17

Frequencies and Percentages of Responses
Concerning Purposes for Principal Evaluation in
the School Divisions of Virginia (N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
Purposes of principal evaluation are to		
a. Improve task performance	123	93.9
b. Comply with legal requirements	89	67.9
c. Identify job targets	81	61.8
d. Retain or dismiss the principal	55	42.0
e. Grant merit pay	18	13.7
f. Aid in professional growth	115	87.8
g. Determine promotion	31	23.7
h. Other		
Facilitate improvement of instruction	2	1.5
No Response	2	1.5
Not Applicable	2	1.5

divisions cited have written policies or procedures or an evaluation instrument.

With only two principals, ours is an informal system. By mutual agreement, at the beginning of each year we discuss goals for school operation and administration inservice. At the end of the school year we review what has occurred.

A more formal evaluation procedure was in place about 8-10 years ago. This has gradually been replaced with periodic conferences to review and establish targets.

Along with the purpose of improving performance, there remains a strong emphasis on evaluation for the purpose of making judgments. Whether the division had complied with legal requirements was a purpose in 67.9% of the divisions and the decision to retain or dismiss the principal was a recognized purpose by 42% of the division personnel officers.

The use of evaluation to determine promotion or to determine financial reward was not frequently indicated as a purpose. Only a quarter of the respondents or 23.7% stated that promotion was a purpose. Granting merit pay as a purpose was listed by only 13.7% of the divisions.

RESEARCH QUESTION 2

Into which of the following procedures can each school division's evaluation system be categorized?

Summative

"Evaluation serves as an end, a judgement of administrators' performance on which to base an individual administrator's promotion, demotion, incentive pay rewards, and other personal action" (ERS, 1985, p. 6).

Formative

In formative evaluation, the focus is on helping administrators improve their performance. "The evaluation process involves ongoing communication between evaluators and evaluatees . . ." (ERS, 1985, p. 6).

Performance Standards

Evaluation is based on a list of predetermined criteria which are rated numerically, by selecting a descriptive phrase, or by written comments. The principal does not contribute to the establishment of the criteria (VanderWey, 1983).

Performance Goals

Evaluation is designed for the individual principal. Goals may be determined by the immediate supervisor in conjunction with the principal. Various persons or groups

of persons may be involved in the evaluation of the goals (VanderWey, 1983).

Data used to determine the procedure into which each of the division's evaluation systems could be categorized came from two sources; appropriate items from the survey instrument and documents collected from the divisions. Table 18 presents the analysis of the data.

To ascertain whether a division's procedures were formative or summative, responses to question 29 of the survey instrument were analysed. Items b. d. e. and g. focused on summative evaluation purposes and items a. c. f. and h. focused on formative evaluation purposes. Not one personnel officer from one public school division selected summative purposes exclusively. However, 19 personnel officers did select only formative items. One hundred eight or 82.4% of the respondents revealed that their division's procedures were both formative and summative by selecting a mix of purposes.

To determine whether a division's procedures fit the definition of performance standards or performance goals, documents received from the divisions as well as responses to question 27 of the survey instrument were scrutinized. It was found that 14 divisions did not have either evaluation procedures or instruments. All the other divisions appeared to have some mix of performance standards and performance

Table 18

Frequencies and Percentages of Responses Concerning Procedures into Which Each Division's Principal Evaluation System May be Categorized in the School Divisions of Virginia (N = 131)

Procedure	Frequency	Percentage
Summative	0	.0
Formative	19	14.5
Formative/Summative	108	82.4
Did not respond to item 29 of the questionnaire or submit any documents	4	3.1
Performance Standards	0	.0
Performance Goals	0	.0
Performance Standards/ Performance Goals	117	89.3
Did not submit evaluation procedures or instrument	14	10.7

goals. Thus, 89.3% of the public school divisions procedures were categorized performance standards/performance goals.

RESEARCH QUESTION 3

To what extent has the Evaluation Procedures Handbook (Tentative Model) influenced principal evaluation policies and procedures in the Commonwealth of Virginia?

A large number of current personnel officers were not aware of the publication in question. One probable reason for this is that it was published and distributed to the divisions 12 years ago. The purpose of the Handbook was to assist the divisions in meeting the 1972 mandate of administrative evaluation in all public school divisions in the Commonwealth of Virginia. Forty-six respondents or 35.1% reported that they did not know if the Handbook was used in their division for formulating evaluation procedure. Only 18.3% of the divisions reported that the Handbook influenced evaluation policies and procedures. The data gathered to answer this question are displayed in Table 19.

When the divisions were asked if they thought a new evaluation prototype would be helpful in formulating evaluation policy and procedure the response was 51.9% in favor of such a prototype. Forty-six personnel officers felt it would not be helpful or 35.1% of the divisions while 17 divisions chose not to respond to this question. If the

Table 19

Frequencies and Percentages of Responses Concerning Assistance From the Virginia Department of Education in Principal Evaluation in the School Divisions of Virginia (N = 131)

Questionnaire Items	Frequency of Responses	Percentage of Responses
<u>The Evaluation Procedures Handbook (Tentative Model)</u>		
was used in formulating evaluation procedure		
Yes	24	18.3
No	58	44.3
Dont' Know	46	35.1
No Response	2	1.5
Not Applicable	1	.8
An evaluation prototype developed by the Virginia Department of Education would be helpful to formulate evaluation procedure		
Yes	68	51.9
No	46	35.1
No Response	17	13.0

number of "no's" is added to the number who chose not to respond, it can be assumed that about half of the divisions do not feel that an evaluation prototype would be of assistance.

Document Analysis

Documents collected from the public school divisions in the Commonwealth of Virginia concerning principal evaluation, were analyzed using the document analysis form found in Appendix F. The researcher reviewed the range of documents available, the quality of the documents, and what was defined in the documents for each division.

Documents

Documentation concerning principal evaluation in the public school divisions of Virginia range from, "no documents" to very sophisticated programs comprised of two volumes as found in Lynchburg City Public Schools. Twenty school divisions have no written policy, 26 divisions have no written procedures, and 18 divisions have no evaluation instruments. Nine divisions have no documentation concerning policy, procedure or instrumentation. Most of the better developed programs include statements of philosophy as well as job descriptions.

Policy statements received range from a seven inch by eight and one-half inch sheet of paper with one four line sentence to a detailed, letter-size, multi-page document. With respect to procedures, many of the public school divisions considered the evaluation instrument to be their written procedures. The instrument began with an introductory paragraph detailing how the instrument would be used. However those divisions with highly developed evaluation programs provided extensive explanation of the principal evaluation process.

Documents pertaining to principal evaluation that are currently in use in the public school divisions of the Commonwealth of Virginia dated from 1974 to 1988. Nearly two-thirds of the documents received had been updated during the last four school years.

Quality of Documents

All of the reviewed documents were machine printed. Most documents were in-house reproductions. However, the more sophisticated documents were bound and professionally printed. The professionally printed materials might well have been in-house reproductions too, depending upon the equipment available within the division. A number of the in-house reproductions were dated bulletins issued by central office detailing evaluation procedures. Most bound copies

provided a detailed table of contents, with appendixes, introductory statements, and acknowledgements to the committee that developed or revised the principal evaluation system. Some of the documents were coded. All were readable and easily understood, although there were times when the researcher felt that simpler was better.

What is Defined?

The most simple principal evaluation document reviewed defined who the evaluatee was and then provided a space where the evaluator was to write a statement relating to the principal's overall performance. However, the range of principal evaluation documents progressed from this one sheet of paper to very detailed procedures laid out in procedures handbooks. An example of a well developed procedures handbook specifically for administration can be found in Hopewell City Public Schools.

Many school divisions defined exactly who the evaluators were, what they did, and when they did it. Evaluators ranged from one person to multiple persons. Evaluation instruments used by the evaluators included the one sheet already described to formative forms and summative forms. Forms varied according to whether they were used at the beginning of the year, middle of the year or end of the year. Some divisions had special pre-conference forms, observation

forms, self evaluation forms, peer evaluation forms, teacher evaluation forms and community evaluation forms. Forms varied from all narrative to all checklist. Combinations of the two were also reviewed. Forms varied in numbers of discriminating items and categorization of items.

Ratings used for principal evaluation range from two category scales of satisfactory/unsatisfactory to narrative formats. Various forms of continua are used such as a numerical continuum from one through five, a "does not meet" to "exceeds," or "less than satisfactory" to "more than satisfactory." Performance indicators are used by some divisions to assist the evaluator in determining the proper rating for the given expectation. Various public school divisions use a numerical formula based on points given for each item rated to determine merit pay. Principals may be given an annual base salary adjustment with merit pay in addition to that adjustment.

Some of the handbooks provide flow charts of the evaluation procedure. The flow chart shows the steps in the evaluation cycle with options where improvement is needed or where administrative action may be required. The flow chart reflects the formative and summative aspect of evaluation.

A number of evaluation guidebooks included purposes and goals for evaluation, orientation to the evaluation procedure, and an improvement plan. The improvement plan

normally was applied after the summative evaluation phase had been completed. However, the improvement plan did not need to be the result of a noted weakness but could be used on request of a principal who desired to excel in one or more areas of performance. An appeal procedure was included in many division programs.

Comments by Personnel Officers

More than one personnel officer noted dissatisfaction with his particular public school division's principal evaluation program. One superintendent wrote in a letter to the researcher that he would not send his division's policy and procedures because they were outdated. Another personnel officer stated that his division had developed a principal evaluation program about four years ago but to date he had not used it in its intended form because it was too time consuming. The following comment from a personnel officer accompanied documents received from a public school division:

Although our administrators and principals evaluation system is of recent origin and is being used for the first time (1987-88 year), the instrument in my opinion is a compromise that does not always reflect what research suggests for leadership in effective schools research. The instrument is, in fact, a political compromise internal to the school system and is probably as good as could be expected. The principals in this school system have never had a formal evaluation prior to this school year.

Three divisions stated that their evaluation procedures were in the process of being revised at the time of this study. One such division stated that, "We are just beginning a leadership career incentive study which will revamp our evaluation procedure and hold principals accountable for the characteristics of effective schools."

CHAPTER V

SUMMARY, RECOMMENDATIONS, AND CONCLUSIONS

INTRODUCTION

The purposes of this study as presented in Chapter I were to:

1. Describe principal evaluation policies and procedures currently in place in the school divisions of the Commonwealth of Virginia.
2. Compare those policies and procedures with "state of the art" recommendations found in literature.
3. Make recommendations that should prove helpful in the development of principal evaluation policies and procedures for school divisions in the Commonwealth of Virginia.

Chapter II reviewed the current status of public school principal evaluation as found in the literature. The main body of literature examined dated from about 1980. Chapter III laid out the design of the study while Chapter IV presented the findings in tables to answer research questions one, two and three. The data for Chapter IV were collected through a questionnaire sent to personnel officers in all 131 public school divisions in the Commonwealth of Virginia. Questionnaire returns were received from 100% of the divisions. Also, documents covering each school division's

policy and procedures governing principal evaluation were requested, received and analyzed.

The data collected from the public school divisions in the Commonwealth of Virginia are summarized in Chapter V. The data collected are compared to what has been determined as best practices described in extant literature. To answer research question four, recommendations are made for the development of principal evaluation policies and procedures and some conclusions are drawn.

SUMMARY

Literature contends that principal evaluation is not as well developed as teacher evaluation. This contention was found to be correct in the school divisions of the Commonwealth of Virginia. While written policy for principal evaluation is in place in 84% of the school divisions of the Commonwealth of Virginia, Moore's 1987 study reported that written policy for teacher evaluation was in place in 97.7% of the divisions (p. 67). A greater discrepancy exists for written procedures. It was found that only 77.9% of the divisions have written procedures for principal evaluation in comparison to 98.5% for teachers. The statistics revealed in this research for written principal evaluation policy and procedures seem particularly low considering that principal

evaluation was mandated by the Commonwealth of Virginia in 1972.

Central Office personnel and principals are the main contributors to the design of policy and procedures for principal evaluation as they presently exist in the divisions. However, about 70% of the public school divisions in the Commonwealth of Virginia do not have a regular procedure for reviewing and revising policy and procedures. Divisions obviously do feel that updating policy and procedures is important since over 50% of the personnel officers reported that their policy and procedures have been updated in the last three years. Further indication of an attitude change in the divisions is revealed in the fact that 50% of the divisions responded positively to a current need for revision of policy and procedures in principal evaluation.

The percentage of the total number of divisions that use an evaluation instrument is about 85%. The instruments used are the same for elementary, middle and high school principals in almost all divisions. No division personnel officer reported that the instrument is individualized.

Criteria used for the evaluation of principals are most often found in the evaluation instrument. A little over half of the divisions reported that the criteria could be found in procedure.

In 78% of the divisions, goals and criteria are established in a formal evaluation conference at the beginning of the evaluation cycle. Personnel officers in 71% of the divisions report that the school division and the principal have equal input into the establishment of goals. When asked if the performance goals for evaluation are mutually agreed upon, the positive response was even higher at 79%. When criteria were broken down into product criteria or process criteria, evaluation is most often based on process criteria.

Only about one-third of the public school divisions in Virginia provide for the review of artifacts (products or presentations) in the principal evaluation process. Job descriptions play a more important role than do artifacts. Of the 88% of the divisions that reported having job descriptions, 78% said that they used the job descriptions in the evaluation process to a large extent.

The only significant formal evaluator of principals in the school divisions of the Commonwealth of Virginia is the Superintendent. Personnel officers reported that in 60% of the divisions evaluation is conducted by the Superintendent. When respondents were asked to list who else in their division provides input into the formal evaluation process, the principal himself was most often indicated (37% of the divisions). Of the two groups of subordinates to the

principal, teachers had input in 16% of the divisions and students contribution was found to be negligible being indicated in only 3% of the divisions.

Almost three-fourths of the divisions reported that the evaluator receives training. Most of the training consists of workshops, seminars, conferences and/or college courses.

A formal evaluation cycle takes place in 97% of the public school divisions. In three-fourths of the divisions, formal evaluation takes place once yearly. A formal conference is held at the conclusion of the evaluation cycle in 92% of the divisions. Not all principals who receive a formal evaluation receive a written evaluation. Personnel officers revealed that 88% of the divisions provide written evaluations. Should a principal so desire, a dissenting statement may be attached to the formal evaluation in 86% of the divisions.

About 82% of the divisions include on-the-job observation as part of the evaluation process. Only 7% of those divisions that reported observation as part of the evaluation process reported that it was formal. Approximately one-third of the public school divisions require a conference after each observation.

The improvement of professional performance is the most important purpose of principal evaluation as reported by personnel officers in the public school divisions in the

Commonwealth of Virginia. Complying with legal requirements is an important purpose in two-thirds of the divisions. Evaluation to determine promotion or financial reward was not frequently indicated as a purpose.

Principal evaluation in the public school divisions of Virginia is more formative than summative. Not one division indicated that summative evaluation is the sole purpose for evaluation. However, 19 divisions do use only formative criteria for principal evaluation. More than 80% of the respondents revealed that their division's procedures for evaluation of principals are a combination of formative and summative purposes. When applying the definition of performance standards and performance goals to principal evaluation procedures, it was found that not one division is exclusively one or the other. Fourteen divisions do not have either written evaluation procedures or evaluation instruments. All the other divisions (89%) appeared to have a mix of performance standards and performance goals.

The Evaluation Procedures Handbook (Tentative Model) does not appear to be a major influence in formulating principal evaluation procedure in the school divisions of the Commonwealth of Virginia. Only 18% of the personnel officers reported that it had influenced evaluation policy and procedure in their division while 35% of the respondents did not know if it had been an influence. When the division

personnel officers were asked if they felt another evaluation prototype to be developed by the Virginia Department of Education would be helpful, the divisions were almost evenly divided in their response.

Documents collected from the divisions on principal evaluation policy and procedure ranged from no documents to highly sophisticated materials. Nine divisions do not have documentation concerning policy, procedure or instrumentation. Policy statements examined varied from a four line, one sentence statement to multipage documents. A number of divisions considered the evaluation instrument their written procedures while other divisions had extensive procedures requiring a two page table of contents. Evaluation instruments reviewed vary from a one page narrative to a formal process consisting of three conferences with detailed forms to be completed for each conference.

RECOMMENDATIONS - RESEARCH QUESTION 4

What recommendations can be made for use in the development of "state of the art" principal evaluation policies and procedures?

If the principal evaluation systems in the public school divisions of the Commonwealth of Virginia were placed on a continuum, they would spread from one extreme to the other. There are divisions where the very best practices as defined

in the literature are evident and there are divisions where practices consist of day-to-day verbal interaction. Some divisions have sophisticated policy and procedure recorded in bound volumes while other divisions have nothing in writing. The recommendations for the development of "state of the art" principal evaluation policy and procedures are based on "best practices" as found in the literature. Because there are public school divisions within the Commonwealth of Virginia that incorporate all of the recommendations proposed, the researcher does not intend that each of the following recommendations apply to every division. Neither is the list intended to be an exhaustive list. Rather, it is the result of a review of questionnaires and documents received from divisions.

1. Schools should embrace the effective schools/effective principals movement. Effective schools and effective leadership go hand-in-hand. Effective leadership most generally is distinguished by concern for teaching and learning. Effective instructional leaders must be capable of adjusting their style to each peculiar school environment. If a school is to be effective, the division must be willing to permit leadership autonomy.

2. Every division should have written policy governing principal evaluation. Generally, the policy should permit flexibility of interpretation yet provide clearly defined

parameters. Four elements that should be included are: (a) specification of the superintendent as the person responsible for the evaluation system, (b) a timetable for the evaluation process (cycle), (c) reasons for evaluation, and (d) a mechanism for response by the principal to the evaluation.

3. The formal evaluator of the principal should be the superintendent or whoever is designated as the principal's supervisor. A strong case is emerging for a team approach to evaluation. Regardless of whether a team approach is used, input should be solicited from other professionals and included in the formal evaluation process.

4. School divisions should not attempt to design a principal evaluation which fits all situations. Purposes should be school division specific.

5. The primary purpose of principal evaluation should be to improve performance.

6. A job description is important in developing criteria for evaluation. The job description should coincide with the principal's current role expectations. It should clearly define the job when it is successfully performed.

7. The principal should be evaluated on what he accomplishes, the product, and how he does it, the process. The criteria which are considered more important will depend on the philosophy of the division.

8. Evaluators should be trained to administer the system. Evaluatees should be trained in the sense that they know the expectations of the system.

9. Evaluation should be continuous and cyclical.

10. A pre- and post-evaluative conference should be held between the evaluator and the principal.

11. The evaluation process should include a printed instrument. The instrument should be individualized to the degree possible. Performance criteria may be generic but goals, targets, or objectives should be personalized.

12. Three kinds of evidence should be used in determining performance. Scheduled observations, unscheduled observations and non-observed data. Examples of non-observed data might be artifacts such as student handbooks and newsletters.

13. The purpose for information gathering is to determine strengths and weaknesses. When weaknesses are discovered a growth plan should be implemented with sufficient lead time for remediation.

14. Guidelines for evaluation should provide for written response by the principal. The provision for an appeal process should be the professional right of the evaluatee.

15. A process for regularly reviewing and revising principal evaluation policy and procedure should be in place.

CONCLUSIONS

There is a need for updating principal evaluation policy and procedures in many of the public school divisions in the Commonwealth of Virginia. Information describing principal evaluation policy and procedures currently in place in the public schools of the Commonwealth of Virginia were gathered in two ways. Written policy and procedures were collected from the school divisions and a questionnaire was sent to the personnel officer of each division. Not always did the documents and the questionnaire received from the same division concur on current practice. In some divisions, the documents were in need of revision. More than one personnel officer commented that the documents sent were not followed.

Recent revisions in principal evaluation policy and procedures reported by some public school divisions do not evaluate effective leadership. With respect to meeting the standard of a well developed principal evaluation program as recommended in literature the situation in the public school divisions in the Commonwealth of Virginia is mixed. Divisions have recognized a need for reviewing and revising principal evaluation policy and procedures. This is evident in that about one-half of the divisions have gone through a procedures revision in the last three years. However, as one personnel officer commented, even though recent revision took place, the results did not evaluate effective leadership

according to research but rather represented a political compromise.

It is not necessary for the Virginia Department of Education to develop a principal evaluation prototype. About one-half of the divisions indicated that they felt a principal evaluation prototype to be developed by the Virginia Department of Education would be helpful in updating their principal evaluation procedures. However, there are excellent principal evaluation systems in existence among the public school divisions. It would seem that the State Department of Education could meet the need of those divisions seeking assistance by collecting the outstanding programs and making them available on request. By identifying those evaluation systems that meet the criteria of excellence, effective administrators would also be identified. These administrators could serve as consultants.

FURTHER RESEARCH

The main source of data analyzed in this study was a questionnaire completed by the chief personnel officer from each of the 131 public school divisions in the Commonwealth of Virginia. It is suggested that this study be replicated by sending a similar questionnaire to principals. This replication would provide a comparison of the perception of

the evaluatee with that of the evaluator concerning policy and procedure.

This research could be replicated in other states to determine if their principal evaluation policy and procedures are compatible with "best practices" as determined in the literature.

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APPENDICES

APPENDIX A

Roster of Panel Members

ROSTER OF PANEL MEMBERS

Mr. Frank H. Elliott
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Virginia Department of Education
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Richmond, VA 23216

APPENDIX B

Letter to Review Panel and Evaluation Form

January 12, 1988

Dear

I am a Doctoral candidate in Educational Administration at Virginia Polytechnic Institute and State University. I am writing a dissertation on the policies and procedures used to evaluate the performance of principals in the school divisions of the Commonwealth of Virginia. The intent of my study is to: (1) describe principal evaluation policies and procedures currently in place in the school divisions, (2) compare those policies and procedures with "state of the art" recommendations in literature, and (3) make recommendations that should prove helpful in the development of principal evaluation policies and procedures for school divisions.

To conduct the research for this study, I am collecting and analyzing the policies and procedures from all of the school divisions. In addition I will be using a questionnaire to gather data that might not be provided in the collected principal evaluation documents. The questionnaire will be sent to the division personnel officers.

I am asking for your assistance by requesting that you review and critique the enclosed questionnaire. An evaluation form is included for your convenience. However, if you prefer to write directly on the questionnaire please do so.

Please return the questionnaire with your comments by January 24, 1988. A stamped, self-addressed envelope is included for your convenience.

Thank you in advance for your assistance, time and cooperation.

Sincerely yours,

William G. Born

Enclosures

Name of Reviewer_____

QUESTIONNAIRE EVALUATION FORM

Please consider each of the following questions as you review and critique the questionnaire. Any comments or suggestions you might have in addition to these questions will be greatly appreciated. Feel free to make your comments on this form and/or on the questionnaire.

1. Is the format of the questionnaire easy to follow? _____YES _____NO
2. Are the directions for completing the questionnaire clear? _____YES _____NO
3. Is the meaning of each question readily understood? _____YES _____NO
4. Are the response options for each question adequate? _____YES _____NO
5. Does any aspect of the questionnaire suggest bias on the part of the researcher? _____YES _____NO
6. Is the length of the questionnaire excessive? _____YES _____NO

ADDITIONAL COMMENTS:

APPENDIX C
Questionnaire

QUESTIONNAIRE

Principal Evaluation Policies and Procedures
In The School Divisions Of Virginia

Please respond to each of the questions as indicated.

1. Does your school division have a written policy for principal evaluation?

_____YES _____NO

2. Does your school division have written procedures for principal evaluation?

_____YES _____NO

3. Was your principal evaluation policy and procedure developed by (Check all that apply):

_____a. Central Office Personnel?

_____b. Principals?

_____c. Teachers?

_____d. Students?

_____e. Parents?

_____f. School Board Members?

_____g. Consultants?

_____h. Others (Specify)? _____

4. When were your division's principal evaluation policies and procedures last updated?

5. Is there a procedure for regularly reviewing and revising principal evaluation policies and procedures in your school division?

_____YES _____NO

If so, how often? _____

6. As division personnel officer, do you see a current need for revision of your division's principal evaluation policy?

_____YES _____NO

7. Is an evaluation instrument used in your division to evaluate principals?

_____YES _____NO

8. Is the instrument the same for all principals?

_____YES

_____NO (varies by level, elementary or secondary)

_____NO (individualized)

9. Are the criteria which will be used for the evaluation of principals specified (Check all that apply):

In policy? _____YES _____NO

In procedure? _____YES _____NO

In the instrument? _____YES _____NO

Other (Specify)? _____

10. In some school systems a principal's evaluation may include the review of products/artifacts or presentations (e.g. newsletters, publications, presentations to the Board or community). Are such data formally included in your evaluation procedures for principals?

_____YES _____NO

If yes, please provide some examples: _____

11. Who conducts the formal evaluation of principals in your school division?

12. Has the evaluator received training prior to conducting evaluations?

_____YES _____NO

13. If the answer to number 12 was yes, describe the training:

14. Who else provides formal input into the evaluation of principals:

_____a. Teachers?

_____b. School Board Members?

_____c. Peers?

_____d. Self?

_____e. Students?

_____f. Consultants?

_____g. Evaluation team (Specify)? _____

_____h. Others (Specify)? _____

15. How often are principals formally evaluated:

Regular cycle:

_____Twice yearly?

_____Once yearly?

_____Every two years?

_____Other (Specify)?

Varies depending on these factors: _____

16. Is the principal provided with a written evaluation?
_____YES _____NO
17. If the answer to number 16 was yes, how often?

18. Does your division have job descriptions for principals?
_____YES _____NO
19. If the answer to number 18 was yes, to what extent is your evaluation based on job descriptions?
_____a. To a little extent
_____b. To a large extent
20. Is a formal conference held with the principal to establish the goals and the evaluation criteria at the beginning of the evaluation cycle?
_____YES _____NO
21. Is the principal performance evaluation based on goals established:
_____a. Mostly by the school division?
_____b. Mostly by the principal?
_____c. Equally by both school division and principal?
22. Is on-the-job observation of the principal a part of the evaluation process?
_____YES _____NO
23. If the answer to number 22 was yes, is observation formal or informal?
_____a. Formal (e.g. one hour twice annually)
_____b. Informal (no established time)

24. Is there a conference following each observation?
 _____YES _____NO
25. Is a formal conference held with the principal after the evaluation cycle has been completed?
 _____YES _____NO
26. Are there provisions for principals to file a dissenting statement to be attached to the evaluation document?
 _____YES _____NO
27. About what percent of the evaluation is based upon:
 _____a. Process criteria?
 _____b. Product criteria? (specific measurable outcomes)
28. Is the principal evaluated on mutually agreed upon performance goals?
 _____YES _____NO
29. Are the purposes of principal evaluation in your school division to (Check all that apply):
 _____a. Improve task performance?
 _____b. Comply with legal requirements such as state law and division policy?
 _____c. Identify job targets?
 _____d. Retain or dismiss the principal?
 _____e. Grant merit or performance pay?
 _____f. Provide information related to strengths and weaknesses to aid in professional growth?
 _____g. Determine qualifications for promotion?
 _____h. Others (Specify)? _____

30. Was the Evaluation Procedures Handbook (Tentative Model), published by the Virginia Department of Education, used as a reference in formulating your division's evaluation procedure?

_____YES

_____NO

_____DON'T KNOW

31. Does your division feel that another evaluation prototype developed by the Virginia Department of Education would be helpful?

_____YES

_____NO

PLEASE INCLUDE WITH THIS QUESTIONNAIRE A COPY OF YOUR SCHOOL DIVISION'S WRITTEN POLICY AND PROCEDURE GOVERNING PRINCIPAL EVALUATION.

APPENDIX D

Letter of Introduction and Cover Letter

February 25, 1988

Dear

We know that you are swamped with requests to provide information on everything under the sun, but your help is needed in completing a study on the evaluation of school personnel in Virginia.

We are urging your special consideration of Mr. William G. Born's attached survey and request for information which we believe will yield essential data critical to the status of personnel evaluation in local school divisions. This information will be useful also to the Virginia Department of Education's Committee on Evaluation and a recently constituted VASPA/Department of Education Advisory Group on Certification. These committees are currently studying evaluation practices and procedures and their implications on certification requirements.

Thank you, in advance, for completing the survey form and for your assistance in determining the current status of personnel evaluation in Virginia school divisions.

Sincerely,

Administrative Director
Office for Professional Development
and Teacher Education
Virginia Department of Education

Wayne M. Worner
Professor
Educational Administration
College of Education
Virginia Tech

enc

February 29, 1988

Dear

I am a doctoral candidate in Educational Administration at Virginia Tech. Presently, I am writing a dissertation on the policies and procedures used to evaluate the performance of principals in the school divisions of the Commonwealth of Virginia. I'm sure you will agree that this is a very timely topic considering the importance of the principal indicated by school effectiveness research.

To gather the data necessary to conduct my study, I am sending a questionnaire to personnel officers in all of the school divisions of Virginia. Your assistance in completing this questionnaire is vital to the success of the study. In addition to the questionnaire I am asking that you send a copy of your school division's principal policies and procedures.

You may be assured of the confidentiality of your responses to the questionnaire. Each questionnaire has been coded for mailing purposes only. This is so that we can check your name off of the mailing list when your questionnaire is returned. Should your questionnaire be lost or misplaced a follow-up questionnaire will be sent.

The results of this study will be made available to the Virginia Department of Education, Virginia Association of Elementary School Principals and Virginia Association of Secondary School Principals.

Please return the completed questionnaire and a copy of your division's policies and procedures by March 11, 1988. Enclosed is a postage-paid, self-addressed envelope for your convenience. If necessary, I have arranged to assume additional postage costs in cooperation with the Blacksburg Post Office.

Thank you for your time and assistance. Your cooperation is greatly appreciated.

Sincerely,

William G. Born

Encl: Questionnaire
Postage-paid, self-addressed envelope

APPENDIX E
Follow-Up Letter

March 18, 1988

Dear

About three weeks ago I wrote to you asking for your assistance in a study concerning principal evaluation in the Commonwealth of Virginia. As of today I have not received your completed questionnaire and the written materials which describe your current practice. If the questionnaire and the written materials are in the mail please disregard this letter.

It is our belief that this study can make a significant contribution to our understanding of what is currently taking place in the divisions regarding principal evaluation. At this time no summary of policies and procedures used by school divisions for evaluation of principals exists. The Virginia Association of Elementary School Principals has endorsed this study. You will also note the enclosed cover letter of support co-signed by Dr. Thomas Elliott from the Virginia Department of Education.

The population to which this questionnaire has been sent is all the divisions of the Commonwealth of Virginia. A response from each division is vitally important to the usefulness of the study. In the event that the first questionnaire was misplaced or lost, a replacement is enclosed. Please take just a few minutes of your time to complete the questionnaire. Return it along with a copy of your division's policy and procedures on principal evaluation by April 1, 1988. A postage-paid, self-addressed envelope is enclosed. If additional postage should be necessary, I will assume that cost upon receipt.

Thank you for your time and assistance.

Sincerely yours,

William G. Born

Enclosures

APPENDIX F

Document Analysis Chart

DOCUMENT ANALYSIS CHART

_____ (School Divisions) _____

DOCUMENTS

Policy _____
Procedures _____
Philosophy _____
Evaluation Instrument _____

QUALITY

Professionally Printed _____
In-house Reproduction _____
Coded _____
Readability _____
 Difficult _____
 Clear _____
Length _____

DEFINES

Evaluators _____
Evaluation Cycle _____
Frequency of Evaluation _____
Purposes _____
Orientation _____
Method _____
Rating scale _____
Improvement Plan _____
Due process _____

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document. Page 1 of 2**

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