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AN ANALYSIS OF PERFORMANCE EVALUATION PROGRAMS FOR

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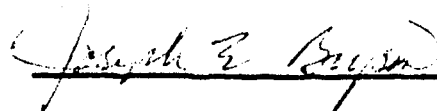
NORTH CAROLINA ADMINISTRATIVE

SCHOOL UNITS, 1973-1974

by

Carolyn M. Cardwell

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

Greensboro
1975

Approved by

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APPROVAL PAGE

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Date of Acceptance by Committee

ii

CARDWELL, CAROLYN M. An Analysis of Performance Evaluation Programs
for Certificated Personnel in Fifty-One Selected North Carolina
Administrative School Units, 1973-1974. (1975) Directed by: Dr.
Joseph E. Bryson. Pp. 244.

It was the purpose of this study to examine the practices

employed during the 1973-1974 school year in evaluating the perfor-

mance of certificated personnel in North Carolina.

The examination included a descriptive analysis of the individual

performance evaluation programs and related administrative practices

in fifty-one selected North Carolina administrative school units:

thirty-seven administrative school units with enrollments of 8,500 and

more pupils; and fourteen administrative school units with enrollments

of 2,500 and less pupils. The study examined the fifty-one evaluation

programs and administrative practices individually and collectively to

determine purposes for personnel evaluation, types of personnel

evaluated, frequency of evaluation, types of evaluators, methods of

evaluation, criteria for personnel evaluation, and procedures for

implementing personnel evaluation.

The study examined, in addition to performance evaluation

practices in North Carolina public schools, performance evaluation

practices in business and industry in the Federal Civil Service and

in the general field of education. In addition, the study examined

performance evaluation standards and practices originating from the

state level in North Carolina and seven other states.

All of the administrative school units participating in the study implemented performance evaluation of certificated personnel to some degree. Teachers were evaluated in all of the school units; principals and supervisors were evaluated in less than one-half of the school units. There was minimal difference in frequency of evaluation for career, or tenured personnel, and probationary personnel. Annual and semi-annual evaluations were employed the most frequently.

The main purposes for evaluation were to stimulate improved performance and to improve instruction. The traditional rating scale approach was the method used to achieve these purposes. The evaluatee's immediate supervisor was the person charged with the responsibility for executing personnel evaluations.

The typical evaluation instrument contained from twenty to twenty-nine broad criteria items arranged under four main areas: classroom environment, professional qualities, working relationships, and personal characteristics. The principal rated teachers on either a three-point scoring scale or a five-point scoring scale for each of the items.

Variations in the rating scale approach were noted in two school units. One school unit used a job target approach to performance evaluation; one school unit used records of classroom visitations. The use of classroom observation as a technique for gathering evaluation data was popular.

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

CHAPTER I

INTRODUCTION

Evaluation of public school personnel is not a new phenomenon.

The clientele of American public schools has always expected the schools

to perform certain services and, in the process, has made both formal

and informal evaluations of the quality and adequacy of school

personnel performance.

THE ROOTS OF TODAY'S EVALUATION PROBLEMS

Throughout the twentieth century there have been sporadic

peaks in the assessment of the competence of certificated public

school personnel. Writing in the November, 1974, _Educational Leader-_

ship, James Popham affirmed that "there is little question that today

we are flat in the middle of such a flurry."[1]

Concerning teacher effectiveness, Biddle and Ellena stated:

> Probably no aspect of education has been discussed with
> greater frequency, with as much deep concern, or by more educators
> and citizens than has that of teacher effectiveness--how to define
> it, how to identify it, how to measure it, how to evaluate it,
> and how to detect and remove obstacles to its achievement.[2]

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[1]W. James Popham, "Pitfalls and Pratfalls of Teacher Evaluation,"
Educational Leadership, Vol. XXXII (November, 1974), p. 141.

[2]Bruce J. Biddle and William J. Ellena (eds.), _Contemporary_
Research on Teacher Effectiveness (New York: Holt, Rinehart and
Winston, 1964), p. v.

Biddle and Ellena further observed that there was general agreement that there should be competent teachers in all classrooms and competent administrators in all leadership positions in the school system. There was less agreement, however, on the meaning and evaluation of competence.[3]

Recent efforts to find improved means and methods to evaluate school personnel have resulted from the thrusts of the social, political, and economic pressures of the times. The accountability movement, the widespread criticism of schools, and the development of certain movements in government and industry have increased the pressure to evaluate. Legislative action in some states and strong recommendations from state boards of education in others have provided the momentum for many states to move in the direction of evaluation.

Further pressures to evaluate have been generated by mounting school costs, the troubles in schools, the appearance of new instructional developments, the increase in federally funded educational programs, and the teacher surplus. As a result, a major concern of legislators, school board members, parents, teachers, and school administrators during the 1970's has been focused on the search for more valid and reliable personnel performance evaluation procedures.

Howsam emphasized that the issue is not whether there will be evaluation. Being a human being implies evaluation, he observed,

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[3]Ibid.

because man is a goal-setting individual. Even if man decided not to evaluate, he would nevertheless evaluate how well he had succeeded in not evaluating. Involved in the·issue are questions such as what, how, by whom, for what purpose, and with what consequence.[4]

Some writers have suggested that educators procrastinate when evaluation is at stake. According to Cunningham, educators have refused to believe that they possessed adequately defined evaluation technology to make judgments about themselves and/or their colleagues.[5]

In a similar manner Carter suggested that educators have rationalized their way out of intensive performance evaluation on the basis of inadequately perfected technology. He indicated that the reason really has been an unwillingness by educators to accept the prospects of negative appraisal.[6]

Educators' fear of evaluation is signficant and powerful according to Gardner who wrote in No Easy Victories:

> It is the modern mode for us to shrink from making judgments, even to believe that it is somehow presumptuous or arrogant to make judgments. We feel that it is more

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[4]Robert B. Howsam, "Current Issues in Evaluation," The National Elementary Principal, Vol. LII (February, 1973), p. 12.

[5]Luvern L. Cunningham, "Our Accountability Problems," Theory Into Practice, Vol. VIII (October, 1969), p. 290.

[6]Launor F. Carter, "Knowledge Production and Utilization in Contemporary Organizations," Knowledge Production and Utilization in Educational Administration, eds. Terry L. Eidell and Joanne M. Kitchel (Eugene, Oregon: Center for the Advanced Study of Educational Administration, 1968), pp. 16-17.

seemly to devise a system and let the system make judgments,
or invent a machine and let the machine do the judging, or
gather statistics and let the statistics make the judgments.[7]

The task of evaluating public school teaching personnel is

difficult and complex. According to a 1974 publication by the National

School Public Relations Association, two almost irreconciliables are

involved: the near impossibility of making valid judgments about

anything as complex and personal as teaching ability, and the crying

need to do just that.[8]

The tension created by the need for evaluation and the

difficulty of it have produced a variety of ways to try to resolve the

problem and various reactions to the solutions. Many states and many

individual school systems have changed or are in the process of

changing their evaluation policies and procedures.[9]

Current methods of evaluating public school personnel have

evolved from practices of many years ago. According to Davis, many

of these evolving practices are clearly influenced by personnel

evaluation and practices in industry and government.[10]

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[7]John W. Gardner, No Easy Victories (New York: Harper and Row,
Publishers, 1968), p. 119.

[8]Education U. S. A. Special Report, Evaluating Teachers for
Professional Growth (Arlington, Virginia: National School Public
Relations Association, 1974), p. 5.

[9]Ibid.

[10]Hazel Davis, "Evolution of Current Practices in Evaluating
Teacher Competence," Contemporary Research on Teacher Effectiveness,
eds.: Bruce J. Biddle and William J. Ellena (New York: Holt, Rinehart
and Winston, 1964), pp. 41-66.

During the past two decades performance evaluation, which in essence is a rejection of the rating scales approach, became the subject of experimentation and refinement in some school units, in professional and management levels of a number of industries, and in some governmental units. A surge of management by objective (MBO) procedures, borrowing from industrial practices to implement these procedures and emphasizing organizational goals and productivity, emerged.[11] Almost a dozen types of performance evaluation techniques appeared in education, government, and industry.[12]

In the 1960's and 1970's the trend toward making the schools accountable, which in essence is the professional staff, resulted in various reactions among the states. Some states enacted laws mandating the evaluation of either teachers or all certificated personnel. In some instances, state laws established general criteria for personnel evaluation policies or required evaluation measures as part of their fair dismissal laws. Recommendations from state boards of education provided the impetus for individual school units in other states to develop performance evaluation policies and procedures for specific categories of school personnel. In turn, some states allowed local school units to respond to the evaluation issue in their own ways.

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[11]Harold R. Armstrong, "Performance Evaluation," The National Elementary Principal, Vol. LII, No. 5 (February, 1973), pp. 51-55.

[12]Ibid.

Subsequently, more and more contracts between school boards and teacher

organizations contained negotiated clauses on teacher evaluation.

Several concerns of educators provide the basis for this study.

They are   the necessity and yet the difficulty and complexity of eval-

uating public school personnel, the manner in which evaluation of school

personnel is generally done, the instruments used to record judgments

about school personnel, and the need for a candid and searching look

at what is being done in personnel evaluation and why it is being done.

THE PROBLEM

The purpose of this study was to examine the practices

employed   during the 1973-1974 school year   to evalute the performance

of certificated public school personnel in North Carolina.

Even though some North Carolina administrative school units

initiated formal personnel evaluation programs prior to the national

trend toward greater accountability in the delivery of educational

services, many North Carolina administrative school units did little

to institute formal, systematic performance evaluation policies and

procedures until the 1971 General Assembly enacted the North Carolina

Teacher Tenure Act that became effective on July 1, 1972, and was amended

by the 1973 General Assembly.[13] The tenure law requires school units

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[13]North Carolina General Statute 115-142.

to give consideration "to regular and special evaluation reports,"
executed according to the local board of education's policies and
standards of employment, in determining whether the "teacher's
professional performance is adequate."[14]

The examination in this study included a description and an
analysis of the individual performance evaluation programs and related
administrative practices in effect for 1973-1974 in fifty-one selected
North Carolina administrative school units: thirty-seven school units,
each with an enrollment of 8,500 or more pupils; and fourteen school
units, each with an enrollment of 2,500 or less pupils. The study
examined individually and collectively the fifty-one evaluation programs
to determine the purposes and uses of evaluation, the evaluators and
evaluatees, the frequency of evaluation, the methods used in evaluation,
the evaluative criteria, and the procedures for implementing the
evaluation program.

SIGNIFICANCE OF THE STUDY

By its nature, evaluation of school personnel has always been
a complex and troublesome task for teachers and school administrators.
In turn, theories on evaluation espoused by educational personnel cover
a vast range of proposals. The confusion surrounding teacher evaluation,
according to Armstrong, "is due to the fact that, in any formal sense,

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[14]Ibid., (e) (3).

teacher evaluation has been more talk than reality over the years."[15]

Further Armstrong observed:

> Although the purposes and techniques of teacher evaluation
> have gone through a number of evolutions during the past half-
> century, every saber-toothed ancestor still roams today in some
> school district somewhere. For example, the most primitive rating
> lists, which most properly would be classed as educational museum
> pieces, still pop up occasionally and are in use.[16]

The increasing size and complexity of the educational enter-

prise and the concept of accountability influenced some school units to

adapt personnel evaluation methods that originated in business or

industrial organizations or governmental units. Davis observed that

many of the rating forms used in public schools "still have the charac-

ter traits, the five-point scoring scales, and all the other apparatus

that business and industrial corporations are now discarding."[17]

Further, Davis emphasized the need for better evaluation plans in

public schools "to help administrators and teachers develop to their

utmost their native abilities and their professional learnings on the

behalf of their pupils."[18]

The demands made on the public schools in the 1960's and 1970's

to be more accountable for educational services delivered, increased the

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[15]Armstrong, op. cit., p. 51.

[16]Ibid.

[17]Hazel Davis, "Merit Ratings in Business and Industry: Fact
or Fancy?" NEA Research Memo 1964-6 (Washington: National Education
Association, 1964), p. 8.

[18]Ibid., p. 9.

emphasis on personnel evaluation. The North Carolina Teacher Tenure law provided further impetus for local boards of education in North Carolina to examine their personnel evaluation practices. By the early 1970's, the overabundance of prepared teachers and administrators in many areas exerted further pressure on school units to review the performance of employed personnel.

In spite of the increased pressures to evaluate public school personnel in North Carolina, there were problems. Time and resources, both human and economic, were required to develop an effective evaluation program. Even though the use of personnel evaluation practices already in existence in or out of the field of education proved enticing, by 1973-1974 there were school units that had devised their own unique plans for evaluation. Yet, there has been no study made examining the personnel evaluation programs which were in effect in the largest and the smallest North Carolina administrative school units in 1973-1974, the second year after the tenure statute had become effective.

This study will be of significance to (1) public school systems in their efforts to revise or re-examine their current personnel evaluation practices, (2) educators as they develop improved ways of evaluating public school personnel, and (3) students in the field of study needing current research in the general area of performance evaluation.

LIMITATIONS OF THE STUDY

The area of performance evaluation of public school personnel was so broad and complex that any study in this area would have to set certain arbitrary limits as to which areas were to be examined.

The study was confined to information relative to personnel evaluation received from fifty-one North Carolina administrative school units in March, 1974: thirty-seven school units with 8,500 and more pupils and fourteen with 2,500 and less pupils. Administrative school units with pupil enrollments of more than 2,500 but less than 8,500 were not included in this study. Evaluation instruments from all of the selected school units were analyzed. The analysis of the policies and procedures for personnel evaluation was limited to those school units which supplied this data. No attempt was made to evaluate the weaknesses and strengths of the evaluation program in individual school units except as might have been indicated by comparisons made with the data collected.

DEFINITIONS OF TERMS

The following terms were defined in an effort to provide a commonality of interpretation. A particular meaning was assigned these terms in relationship to this study.

Performance Evaluation. Performance evaluation was defined as the formal process whereby employees are reviewed periodically through

the use of criteria and procedures adopted by the organization or institution to determine what and how well the employee is doing within a defined role in the organization or institution. As applied to school personnel in North Carolina, performance evaluation was defined as the formal process whereby individuals who teach or directly supervise teaching are reviewed periodically through the use of criteria and procedures adopted by the local board of education to determine what and how well an individual is doing within a defined role in the instructional program.

Certificated Personnel. Certificated personnel was interpreted to mean public school personnel whose employment requires certification by the appropriate governing agency. In North Carolina the governing agency for certification is the State Department of Public Instruction which operates under the auspices of the State Board of Education.

Teacher. In relation to the North Carolina Teacher Tenure Act, teacher was defined as a currently certificated person who is employed full-time in a permanent position and is charged with the responsibility of teaching or directly supervising teaching in the public schools of North Carolina.

Career Teacher. A career teacher was defined as a teacher in North Carolina who has obtained career status, or tenure, by having been employed for three consecutive years by a North Carolina public school system and who has been re-employed for the next year. Career

status begins on the first day of the fourth year of employment.

Probationary Teacher. A probationary teacher was defined as a certificated teacher who has not obtained career, or tenure, status. In North Carolina, superintendents, associate superintendents, and assistant superintendents are excluded from career or tenure status under the tenure statute.

County Administrative School Unit. A county administrative school unit was interpreted to mean a county with one school system organized under North Carolina General Statutes.

Partial County Administrative School Unit. A partial county administrative school unit was interpreted to mean a county school system organized under North Carolina General Statutes but having within the county boundaries one or more city school systems.

City Administrative School Unit. A city administrative school unit was interpreted to mean a city school system organized in one of the North Carolina counties as a special chartered unit under North Carolina General Statutes.

Evaluation. Evaluation was used to mean the practice of applying judgments that result in officially recorded formal reports.

ORGANIZATION OF THE REMAINDER OF THE STUDY

Because the dissertation has such broad scope, the review of
the literature on performance evaluation was incorporated as an integral
part in each of the substantive chapters. Relative to business and
industry, the literature was reviewed in Chapter II; relative to the
Federal Civil Service, the literature was reviewed in Chapter III;
and relative to the general field of education, the literature was
reviewed in Chapter IV. Performance evaluation standards and practices
at the state level for certificated public school personnel, 1973-1974,
in North Carolina, Washington, South Dakota, Florida, Oregon, Tennees-
see, New Mexico, and Maryland were examined in Chapter V. A descrip-
tion and an analysis of personnel evaluation programs in fifty-one
selected North Carolina administrative school units was presented in
Chapter VI. Procedures used in the study, including the sources, the
methods of collection, and the treatment of the data were outlined.
Chapter VII contained the conclusions of the study, a discussion of
the implications, and suggestions for further research.

CHAPTER II

PERFORMANCE EVALUATION IN BUSINESS AND INDUSTRY

The methods and procedures used today in performance evaluation of certificated public school personnel and related administrative practices have evolved, in part, from practices employed many years ago. According to Davis, these evolving practices are related to certain practices and movements in business, industry, and government.[1]

Managers made judgments about their employees long before there were formal systems for evaluating performance. They rated their employees and inventoried their abilities. The introduction of systematic evaluation procedures during the 1950's was intended to make these ratings more comprehensive and fairer to all concerned.

The purpose of the present chapter is to report briefly on the genesis and present status of performance evaluation in business and industry. Particular attention is given, within the area of evaluation, to the practice of "applying judgments that result in officially recorded formal reports."[2]

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[1]Hazel Davis, "Evolution of Current Practices in Evaluating Teacher Competence," Contemporary Research on Teacher Effectiveness, eds.: Bruce J. Biddle and William J. Ellena (New York: Holt, Rinehart and Winston, 1964), p. 41.

[2]Ibid.

EVOLUTION OF PERFORMANCE EVALUATION

Meyer described a combination reporting and rating system developed by Saint Ignatius of Loyola after he founded the society of Jesus in the sixteenth century. The system was very similar to many in use today. It consisted of a self-rating by each Jesuit, reports by each supervisor on his subordinates' performance, and special reports to the Father-General from any Jesuit who felt he had pertinent information on his colleagues' performance.[3]

One of the first recorded evaluation systems in industry was Robert Owen's use of character books and blocks in his Scottish cotton mills around 1800. Daily reports on the employees were recorded in the character books. Blocks, which were colored differently on each side to represent an evaluation of the worker for the preceding day, were displayed at his work station. Owen was impressed with the improved performance and behavior of the employees resulting from the use of the silent monitors.[4]

Systems developed by the federal government from 1842 until the end of the nineteenth century had a strong influence upon performance evaluation in business and industry in the United States.

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[3]Herbert E. Meyer, "The Science of Telling Executives How They're Doing." Fortune LXXXIX, No. 1 (January, 1974), p. 104.

[4]Robert Owen, The Life of Robert Owen, I (New York: Augustus M. Kelley Publishers, 1967, pp. 80-81.) Owen wrote this work in the year 1857.

The performance rating system developed by the War Department[5] in

the last decade of the nineteenth century, in particular, played a

significant role.

The period from 1905 to 1915 became known as "the Efficient

Age."[6] Frederick Winslow Taylor's emphasis on scientific management

through standardization, systematization, and stimulation laid the

foundation for the efficiency movement.[7] The effects of the efficiency

movement on the individual worker in business and industry was observed

in the setting of work quotas, wage administration, time-motion studies,

analysis of individual output and errors, and the use of tests in

selecting and placing employees.[8]

During and immediately after World War I, formal, systematic

employee evaluation techniques become prominent in industry. As

early as 1918, General Motors Corporation used a formal evaluation

system for its executives.[9]

Walter Dill Scott, chairman of the Committee on Classification

of Personnel in the Army, in 1917, persuaded the United States Army to

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[5]Ninth Report of the U. S. Civil Service Commission (Washington: Government Printing Office, July 1, 1891 to June 30, 1892), p. 611.

[6]Ralph Henry Gabriel, The Course of American Democratic Thought (New York: The Ronald Press, 1940), pp. 336-338.

[7]Frederick W. Taylor, The Principles of Scientific Management (New York: Harper and Row, 1911), pp. 19-58.

[8]Frederick W. Taylor, Shop Management (New York: Harper and Row, 1912), p. 58.

[9]Meyer, op. cit., p. 105.

adopt his rating scale for military officers, a man-to-man scale.[10]

After World War I, Scott produced a graphic rating scale that served as a model for many similar ones developed later.[11]

The use of merit rating in business and industry developed after 1915. Lord and Taylor, a women's specialty shop in New York, used a rating sheet in 1916, listing such traits as health, integrity, and industry, to rate their sales people.[12] With the installation of rational wage structures for their hourly employees during the 1920's and 1930's, industries established the policy that in-grade wage increases would be based upon merit.[13] Thus, the appellation, merit rating, was applied to this type of evaluation.

Many of the early merit rating plans used factors, degrees, and points which are very similar to a point plan for job evaluation. The term merit rating became restricted in large measure to the rating of hourly employees over the years.[14] Its most frequent use has been in the development of criteria for promotions, transfers, and pay adjustments.

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[10]W. D. Scott, R. C. Clothier, and W. R. Spriegel, _Personnel Management_ (5th ed.; New York: McGraw Hill Book Company, Inc., 1954), pp. 192-193.

[11]Donald G. Patterson, "The Scott Company Graphic Rating Scale," _Journal of Personnel Research_, I (May 1922 to April 1923), p. 362.

[12]Davis, "Evolution of Current Practices in Evaluating Teacher Competence," p. 45.

[13]Ibid.

[14]Dale S. Beach, _Personnel: The Management of People at Work_ (New York: The Macmillan Company, 1970), p. 310.

Davis indicated that formal merit rating never gained "the general acceptance in industry that has often been supposed." She stated that "a running controversy has continued as to the desirability, the reliability, and the validity of merit ratings in business and industry."[15]

Beach affirmed that interest in rating the hourly employee began declining in the 1950's with the introduction of performance evaluation for upper-level personnel.[16] In many companies, pay and advancement for hourly employees are still regulated by seniority.

A definite trend toward formal, systematic, written evaluations began after World War II. Meyer said, "Formal, regularized evaluation programs are now more or less omnipresent in large U. S. Corporations."[17]

A change in terminology accompanied the practice of using evaluation for white-collar, professional, and managerial personnel. Terms such as progress report, "fitness report", "service rating", "personnel review", "personnel appraisal", and "performance evaluation" emerged to denote the newer plans of evaluation that developed along with the interest in formal management development programs. As applied to business and industry, performance evaluation is "the systematic evaluation of the individual with respect to his performance on the job and his potential for success."[18]

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[15]Davis, op. cit., pp. 46-47.

[16]Beach, op. cit., p. 335.

[17]Meyer, op. cit., p. 104.

[18]Beach, op. cit., p. 310.

PURPOSES AND USES OF PERFORMANCE EVALUATION

Despite the fact that judgments about people are some of the most difficult decisions in a business organization, managers do judge their employees constantly and for many reasons.[19] Two major purposes for performance evaluation, according to Kay, are to inventory the abilities and resources of employees, and to reveal to a worker where he stands so that he may improve his performance.[20] Meyer indicated that the performance evaluation report is "the single greatest determinant of whether there will be a raise and what amount will be involved."[21] With evaluations it is possible to put salary administration on a rational basis.

Performance evaluation aids in making sound decisions for promotions, new assignments, transfers, layoffs, and discharges. It tends to protect an employee from being held back or treated unfairly because most systems require supervisors to justify their evaluation, both to their own supervisors and to the employee being evaluated. Discrimination on the basis of sex, race, personality, or appearance is minimized.

[19]Robert B. Finkle and William S. Jones, Assessing Corporate Talent (New York: John Wiley & Sons, Inc., 1970), pp. 33-35.

[20]Emanuel Kay, "Current Concerns about Performance Appraisals," Performance Appraisals, ed.: Alvin F. Zander (Ann Arbor, Michigan: The Foundation for Research on Human Behavior, 1963), pp. 1-4.

[21]Herbert E. Meyer, "A Computer May Be Deciding What You Get Paid," Fortune, LXXXVIII, No. 5 (November, 1973), p. 176.

Evaluation is, in addition, helpful to the individual being evaluated by giving him the opportunity to express his views about his job and the possibility of handling it differently.[22]

Mutual understanding between the supervisor and his subordinates is possible through the evaluation process. A formal and periodic evaluation can aid the supervisor in observing the behavior of his subordinates, in taking an interest in them, and in helping them. Also, an organization's personnel program can be validated by comparing or relating performance ratings with test scores and with interviewers' evaluations. Training programs can be checked against employee performance after the training is completed.[23]

Many companies link performance evaluation to long-range planning efforts. Through studying the evaluation reports, the chief executive gets an understanding of the strong and weak parts of the organization in the area of personnel.[24]

Evaluation can also end the uncertainty that comes from not knowing what the superior thinks. Zaleznik, a psychoanalyst and a professor at the Harvard Business School, emphasized that it is important

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[22]Beach, op. cit., pp. 308-311.

[23]Ibid.

[24]Saul W. Gellerman, Management by Motivation (New York: American Management Association, Inc., 1968), pp. 251-268.

for an employee to know that his image of himself, and of his per-
formance, is consistent with his superior's image. He believed that
disparities between the two can cause personal stress and do physical
damage as cited in Meyer.[25]

Odiorne maintained that the rationale behind evaluation of sub-
ordinates by superiors in an administrative organization is that effec-
tive evaluation of a man's performance and potential by his superior
will improve his effectiveness. Further, he believed that "neither fear
of economic punishment nor desire for economic reward" could explain the
full scope of human motivation.[26] His view reflected the modern school
of management thought described by behavioral scientists such as
McGregor,[27] Likert,[28] Argyris,[29] Herzberg,[30] and Blake and Mouton.[31]

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[25]Meyer, "The Science of Telling Executives How They're Doing," p. 104.

[26]George S. Odiorne, Personnel Policy: Issues and Practices (Columbus, Ohio: Charles E. Merrill Books, Inc., 1963), pp. 304-306.

[27]Douglas McGregor, The Human Side of Enterprise (New York: McGraw-Hill Book Co., Inc., 1960), pp. 150-155.

[28]Rensis Likert, New Patterns of Management (New York: McGraw-Hill Book Company, Inc. 1960), pp. 61-76.

[29]Chris Argyris, Integrating the Individual and the Organization (New York: John Wiley and Sons, Inc., 1964), pp. 72-75.

[30]Frederick Herzberg, Work and the Nature of Man (Cleveland: The World Publishing Company, 1966), pp. 71-91.

[31]Robert R. Blake and Jane Mouton, The Managerial Grid: Key Orientations for Achieving Production Through People (Houston: Gulf Publishing Company, 1964), pp. 5-17.

Called "Theory Y", the modern philosophy proposes supportive manage-
ment, management by integration and self-control, and the optimistic
view of man.[32]

The evaluation system can also promote employee development by
highlighting needs and opportunities for growth and development of the
individual. In the process, the organization can be strengthened also.[33]

Finally, Odiorne emphasized that evaluation systems are "the
vehicles through which some men rise in the organization and others do
not." The vital test of evaluation, as he viewed it, is "whether or
not it allows the right men to rise and prevents others from doing so."[34]
If evaluation is used as a method of filling top management ranks,
according to Odiorne, it must identify men who have proven themselves
and who show ability to assume greater jobs, men who have a proper
value orientation for leadership in society, and men with a high degree
of acceptability to those who are left behind.[35]

The question of effective evaluation of the human resources in
an organization and how it affects the organization's productivity has

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[32]Douglas McGregor, "An Uneasy Look at Performance Appraisal,"
Harvard Business Review, Vol. 35, No. 3 (May-June, 1957) pp. 89-94.

[33]Dale D. McConkey, How to Manage by Results (New York:
American Management Association, 1967), pp. 22-33.

[34]Odiorne, op. cit., pp. 307-408.

[35]Ibid.

been the subject of much concern to managers. Desatnick stated:

> In recent years we have become very aware of how difficult
> it is to increase productivity through better utilization of
> people and through creating an organizational environment in
> which people put forth their best efforts. We are now reaching
> the point where additional gains in productivity will come about
> through improved manpower utilization as opposed to facilities'
> modernization and technological development. In other words,
> increased output at all levels is more likely to result from
> effective human resource management than from improved equip-
> ment.[36]

Some writers have agreed that practices and procedures followed
in some companies reduce the likelihood of better manpower utilization.[37]

Even when a manager is convinced that a certain individual is not as
effective as another, he finds it difficult to prove. There are sever-
al courses the manager may take. He may lean toward job requirements
based on service, age, rigidly defined training, or experience. He
may, on the other hand, upgrade employees only in small steps or
create job ranges having a great amount of overlap in salary. As a
final course, the manager may narrow spans of authority, limit delega-
tion of authority, and increase supervision to offset errors in pro-
motions. In this way, individual weaknesses may be minimized and offset
by practices employed in organizing, assigning, and managing work, but
opportunities to capitalize on individual strengths are prevented.[38]

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[36]Robert L. Desatnick, _Innovative Human Resource Management_ (New York: American Management Association, 1972) p. 6.

[37]Finkle and Jones, op. cit., p.v.

[38]Ibid., pp. v-vi.

Such practices may be realistic adaptations of organizations to the hazards of making judgments concerning people. Some writers have agreed that errors in judgment about people in a business organization are not so much faults in judgment as the lack of adequate information upon which to base sound judgments.[39] Managers need information which they can understand and in which they have confidence in order to make valid judgments of employees.

According to Marvin, the underlying factors in high-level employee achievement are the same in the industrial, military, commercial, institutional, university, and governmental setting.[40] High-level performers recognize the dominant role played by management goals, guidelines, and accountability in individual effectiveness. Marvin offered a set of guidelines to direct a manager's efforts into productive channels. He indicated that the basis for performance measurement and evaluation is the setting of performance achievement responsibilities (PAR) that define quantitatively and qualitatively performance responsibilities, responsiveness, and results for each person. After performance achievement expectations are established, the employee and his manager develop a management

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[39]Ibid., p. vii.

[40]Phillip Marvin, _Management Goals: Guidelines and Accountability_, (Homewood, Illinois: Dow Jones-Irwin, Inc., 1968), p. viii.

action plan. Performance is measured against agreed-upon requirements
and then classified into one of five categories: greatly exceeds expecta-
tions, more than meets all needs, meets requirements, minimum acceptable
performance, or, deficient in substantial areas.[41]

Some evaluation plans require the rater to score the employee
on his personal traits and characteristics and on his contributions.
Many direct labor jobs are readily measurable by the quantity of work
produced. To measure, however, the output of an engineer, a reception-
ist, a public relations director, or a maintenance man is more difficult.

In order to effectively evaluate employees, Beach observed that
it is necessary to have standards of performance against which to compare
them.[42] Using written standards of accomplishment which employees can
reasonably be expected to attain is an effective approach. Standards of
performance should be fair and accurate, yet they should not result in
conformity as the single uniform result.[43]

The job description is a practice used in some businesses and
industries for developing written standards. Lower-level employees,
whose jobs are very precisely defined and limited, are usually informed
of expectations in quantity and quality of work, attendance, promptness,
and job knowledge by their supervisors. A practice sometimes employed

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[41]Ibid. pp. 115-139.

[42]Beach, op. cit., pp. 312-314.

[43]Odiorne, op. cit., pp. 316-321.

for managerial and professional personnel is for the individual and

his superior to jointly develop the standards. Since the needs of

each organization, the caliber of manpower, and the expectation of

management vary in different companies, it is important for performance

standards to be relative to the groups and to the organization.[44]

EVALUATORS

The evaluation process is not executed in precisely the same

way in each business or industrial organization, but the most common

practice is to have the immediate managers and supervisors of each

department evaluate the performance of each of their subordinates.

Typically, the evaluation is reviewed at least two levels above the

man or woman being judged.[45] The rationale for such a procedure is

that the manager or supervisor is held accountable for the successful

operation of his department and must have control over personnel

decisions affecting his people.

The group evaluation approach is used extensively in the Bell

Telephone System Companies.[46] The group method, whereby each evaluator

appraises not only his own subordinates but also those working for other

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[44]Beach, op. cit., p. 312.

[45]Meyer, "The Science of Telling Executives How They're Doing,"
p. 102.

[46]Beach, op. cit., p. 323.

supervisors, yields multiple judgments and tends to modify biased judgments that may be made by a single supervisor under a traditional rating method. The actual rating is performed in a group meeting presided over by a coordinator.

Peer evaluation has not received widespread use in business and industry. In contrast, the United States military services have done considerable work with peer ratings, or "buddy ratings." All branches of the services have done some work with peer ratings in officer candidate schools. The peer ratings are used to supplement information rather than to supplant the ratings executed by superior officers. Hollander found that peer ratings tended to yield strong validity and reliability and were a useful evaluation approach.[47]

Taft found in his study of research in the area of rating or judging that there is high correlation between the ability to judge others and academic ability, high intelligence, high social skill, emotional stability, esthetic interests, and social detachment. Physical scientists were more successful in judging others than were persons with psychological training. There was no correlation between ability to judge persons and age, or sex, or training in psychology.[48]

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[47]E. P. Hollander, "Buddy Ratings: Military Research and Industrial Implications," Personnel Psychology, Vol. 7, No. 3 (Autumn, 1954), pp. 385-393.

[48]Ronald Taft, "The Ability to Judge People," Psychological Bulletin, Vol. 52, No. 1 (January, 1955), pp. 1-23.

One important benefit of the performance evaluation system is that it helps top management make "some further judgments about the executives who judge others."[49] Two researchers found some evidence that supervisors who are highly rated by their superiors do a better job of performance rating than those who are considered poor supervisors. Better supervisors are found to be more discriminating in rating their subordinates from high to low. Down the middle rating is done by less effective supervisors. Also, better supervisors tend to place greater emphasis upon achievement oriented behavior such as persistence, planning ahead, and initiative. Less effective supervisors favored group conformity and follower-type actions in subordinates.[50]

Usually, an evaluation conference is held once a year at which time the evaluatee receives the evaluation of his performance from his immediate superior. Virtually all executives, "from the lowest-ranking recruit up to and often including the chairman of the board (whose performance is evaluated by the directors)," are included in the evaluation program in most companies.[51]

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[49]Meyer, "The Science of Telling Executives How They're Doing," p. 102.

[50]Wayne K. Kirchner and Donald J. Reisburg, "Differences Between Better and Less Effective Supervisors in Appraisal of Subordinates," Personnel Psychology, Vol. 15, No. 3 (Autumn, 1962), pp. 295-302.

[51]Meyer, "The Science of Telling Executives How They're Doing," p. 102.

EVALUATION METHODS AND TOOLS

A number of evaluation systems have developed over the years in business and industry. There has been continued effort to make them less subjective and more valid. In the following section the major types of evaluation systems are described briefly.

The oldest and most widely used type of rating procedure is the rating scale. A rater is usually supplied a printed form, one for each person to be rated, that contains a list of qualities and characteristics to be rated. Typical qualities listed for hourly paid workers are quantity and quality of work, cooperativeness, initiative, dependability, attitude, and industriousness. For managerial personnel such factors as analytical ability, decisiveness, leadership, initiative, job performance, coordination, emotional stability, and creative ability are rated.[52]

The scale may be continuous wherein the rater places a mark somewhere along a continuum. It may be a discontinuous type or multiple step form of scale wherein the rater checks the block most descriptive of the employee. The points may be recorded on the rating form, or they may be omitted from the form and tabulated after the completed forms are returned to the personnel office. Some forms have spaces after each factor for the rater to explain the reason for his rating. The rater may be expected to give examples of the employee's behavior that justifies the assigned rating.[53]

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[52]Beach, op. cit., pp. 315-318.

[53]Ibid. p. 316.

A rating scale is easy to construct and easy to use. It allows statistical tabulation of scores in terms of dispersion, central tendency, and skewness. The rating scale also permits comparison of employee scores which presumably represent the merit or value of the individual. Oberg described the graphic rating scale as effective for identification of training and developmental needs of employees. He said it was also a useful technique for establishing a reference and research base for personnel decisions.[54]

Employee comparison methods such as ranking and forced distribution were devised to overcome some of the disadvantages of the rating scale method. In the ranking method the rater is required to rank his subordinates on an overall basis according to their performance and value to the organization. Someone is rated the low person and someone is rated the high person. Then the rater ranks the rest of the employees between the two extremes. A variation sometimes used is to have the rater place the employees in groups of below average, average, or above average.[55]

The paired-comparison technique is another variation of the ranking method.[56] Each employee is compared with all other persons in

[54]Winston Oberg, "Make Performance Appraisal Relevant," Harvard Business Review, Vol. 50 (January-February, 1972), pp. 61-67.

[55]Beach, op. cit., p. 318.

[56]Ibid.

the group, one at a time. The number of times each person is preferred

over another is tallied. These numbers give the rank order for the

entire group.

The forced distribution procedure is a second method of

employee comparison. The rater is required to distribute the employee

ratings in a pattern to conform to a normal frequency distribution.

The ranking methods are appropriate for developing criterion groups

of "good and bad performers for order-of-merit salary ranking."[57]

The two kinds of check list methods are the weighted check

list and the forced choice method. The weighted check list is composed

of a series of statements applying to the behavior for the particular

job or family of jobs. The statements, describing actual behavior on

a particular type of work, are written by persons who are familiar with

the job. After the statements are placed on cards, judges classify

them into levels of performance, ranging from low to high. Weights

are assigned to the statements.[58]

At the end of World War II, a group of industrial psychologists

developed the forced-choice method of rating to evaluate the performance

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[57]Oberg, op. cit., p. 63.

[58]Beach, op. cit., p. 319.

of officers in the United States Army. Some industries adopted the

technique, which must be constructed specifically "for a general type

or group of jobs."[59] The rating form consists of a number of grouped

statements. For each group the rater must check the statement that is

most descriptive of the performance of the employee and the statement

that is least descriptive of his performance. The grouped statements

are designed so that two of the statements appear favorable, but only

one actually discriminates between high and low performance employees.

Likewise, of the two statements which appear unfavorable, only one

distinguishes between good and bad performers. The actual weight of

the statements is kept secret from the supervisors. The scoring is

done in the personnel department.[60] The raters, thus, are essentially

reporters in that they check statements to report employee behavior

on the job.

Oberg indicated that forced-choice rating is best used for back-

up data for management decisions concerning merit promotions, increases,

transfers, and dismissals. Objectivity appears to be greater in the

forced-choice method than in some other methods. There is also less

bias in the forced-choice rating than in the rating scale method.[61]

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[59]Beach, op. cit., p. 320.

[60]Ibid, pp. 320-321.

[61]Oberg, op. cit., p. 64.

The essay evaluation simply requires the supervisor or other evaluator to write his impressions of the individual on a sheet of paper. The supervisor is sometimes required to group his comments under headings. Uses of the essay evaluation are for identifying individual training needs and for establishing a reference and research base for personnel decisions.[62]

A recently developed evaluation method is the critical incident approach. Supervisors record daily, in a specifically designed notebook, all significant incidents in each employee's behavior that indicate effective or successful action and those that indicate poor or ineffective behavior. The technique is useful to help or prod supervisors to observe their subordinates more closely and to do more coaching of employees. It also provides an objective method for discussing the individual's work performance.[63]

The main feature of the field review evaluation method is that the departmental supervisors fill out no forms. A representative from the personnel department obtains pertinent information on each employee by interviewing the supervisor. The personnel representative writes up his notes later and sends them to the supervisor for comments or approval. Usually, overall ratings in a three-way classification

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[62]Ibid, p. 65.

[63]Beach, op. cit., p. 321.

scheme, such as outstanding, satisfactory, and unsatisfactory, are used. The interviewer probes to find out about the job, how the man is performing, why he performs that way, and what can be done to improve, advance, or develop him.[64] The field review evaluation method is effective for management decisions on personnel.

One method which emphasizes the training, development, and growth of the individual is the group appraisal method. The supervisor of the employee being judged and three or four other supervisors who are knowledgeable about the employee's work performance usually comprise the evaluation group. A chairman, or coordinator, often the immediate superior of the involved supervisors, directs the discussion that centers on the nature of the job, standards of performance for the job, actual performance of the employee, ideas for improving performance, and an action plan for the individual. The group evaluation approach is thorough, and by using multiple judges it can change or cancel out a bias by the immediate supervisor who makes the single determination in most systems.[65]

Some corporations have adopted the assessment center method of evaluating people for management.[66] The German Army used the assessment center technique prior to World War II. The British used it during the

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[64]Stephen Hobbe, "Merit Rating--Plus," _Management Record_, Vol. 15, No. 1 (Spring, 1954), pp. 323-324.

[65]A. G. Bayroff, H. R. Haggerty, and E. A. Rundquist, "Validity of Ratings as Related to Rating Techniques and Conditions," _Personnel Psychology_, Vol. 7, No. 1 (Spring, 1954), pp. 93-103.

[66]D. L. Hardesty and W. S. Jones, "Characteristics of Judged High Potential Management Personnel--The Operations of an Industrial Assessment Center," _Personnel Psychology_, Vol. 21, No. 1 (Spring, 1968), pp. 85-98.

war to select officers. At that time the United States Office of Strategic Services also picked undercover agents by the assessment center method. The American Telephone and Telegraph Company was the first American industry to apply the technique when it launched its Management Progress Study in 1956. Sears, Roebuck and Company and Standard Oil Company of New Jersey also use the assessment center approach.[67]

At the assessment center, candidates are given a series of tests, exercises, and interviews. Specially trained managers observe and rate them. Scores from the various tests and exercises are used as a basis for predicting possible success or failure in management. The assessment center method is appropriate for selecting persons for promotion from a number of departments or divisions.[68]

A new approach to performance evaluation that has emerged in recent years is evaluation by results. Variations in the application of evaluation by results have been given such appellations as"Management by Objectives (MBO)","goals program," and"work planning and review method." Regardless of label, the major goals of evaluation by results are to improve coaching, or counseling, to communicate performance evaluation information to subordinates, and to motivate employees by providing feedback.[69]

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[67]Ibid.

[68]Oberg, op. cit., p. 65.

[69]McConkey, op. cit., pp. 331-333.

Evaluation by results is a new approach to management planning and evaluation. The key features are as follows:

1. Superior and subordinate get together and jointly agree upon and list the principal duties and areas of responsibility of the individual's job.

2. The person sets his own short-term performance goals or targets in cooperation with his superior. The superior guides the goal setting process to insure that it relates to the realities and needs of the organization.

3. They agree upon criteria for measuring and evaluating performance.

4. From time to time, more often than once per year, the superior and subordinate get together to evaluate progress toward the agreed-upon goals. At these meetings new or modified goals are set for the ensuing period.

5. The superior plays a supportive role. He tries, on a day-to-day basis, to help the man reach the agreed-upon goals. He counsels and coaches.

6. In the appraisal process the superior plays less the role of a judge and more the role of one who helps the person attain the goals or targets.

7. The process focuses upon results accomplished and not upon personal traits.[70]

Howell described three stages in the development of a system of Management By Objectives: the performance appraisal stage, the integration of objectives stage, and the long-range planning stage. He asserted that it takes from four to five years to achieve a fully effective program of Management by Objectives.[71]

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[70]Beach, _Personnel_, p. 331.

[71]Robert A. Howell, "A Fresh Look at Management by Objectives," _Business Horizons_ (Fall, 1967), pp. 51-58.

Evaluation by results is most useful for supervisory, technical, professional, and executive personnel. Persons in such positions usually have enough latitude and discretion to participate in setting their own goals, in inventing new ways to solve problems, and in tackling new projects. For hourly workers, evaluation by results is not as applicable because they usually have jobs with performance targets imposed by superiors and jobs with scope, duties, and responsibilities restricted.[72]

VARIATIONS IN EVALUATION

Meyer, Kay, and French, a team of behavioral researchers at the General Electric Company, conducted a year-long comprehensive and scientific testing of the best of their personnel evaluation programs which included evaluation based upon job responsibilities rather than on personal traits.[73]

The effects of participation in the evaluative process were evaluated by tests. One group of managers used high participation; another group employed low participation methods similar to the traditional approach. The results of the study indicated that employees involved in the low participation groups reacted more defensively than

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[72]Beach, op. cit., p. 332.

[73]H. H. Meyer, E. Kay, and J. R. P. French, Jr., "Split Roles in Performance Appraisal," Harvard Business Review, Vol. 45, No. 1 (January-February, 1965), pp. 123-129.

those in the high participation groups and achieved fewer goals. On the other hand, the high participation groups displayed better mutual understanding between manager and subordinate, greater acceptance of goals, a stronger feeling of self-realization, and a better attitude toward evaluation.[74]

Other findings in the General Electric study were   criticism has a negative effect on high achievement, praise has a neutral effect on achievement, mutual goal setting improves performance, defensiveness resulting from critical evaluation produces inferior performance, and coaching on a day-to-day basis produces better results than on a once-a-year basis.[75]

From the findings, General Electric developed the evaluation process called"Work, Progress, and Review." It is a man-to-man approach with emphasis on problem solving and mutual goal setting.[76]

Patton, a well known management consultant, suggested a similar method. The superior, however, in his plan serves in the role of a judge. He rates his subordinates on how well they do in meeting their targets and tells them their ratings.[77]

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[74]Ibid.

[75]Ibid.

[76]Ibid, pp. 126-127.

[77]Arch Patton, "How to Appraise Executive Performance," Harvard Business Review, Vol. 38, No. 1 (January-February, 1960), pp. 63-70.

Meyer described the self-evaluation process used by a large

bank. The supervisory executive simply gives his subordinates their

own evaluation forms and tells them to fill in their own ratings. The

supervisor does, however, make a final review of the ratings.[78]

PROBLEMS IN EVALUATION

Kay found:

> Difficulty arises when the same tool is used to accomplish
> incompatible ends at the same time; incompatible because they
> require different measurement methods and different procedures
> when reporting results to the employee.[79]

Further, Kay indicated that valid appraisal forms must be developed for

separate purposes and that "evidence is wanted that better forms will

make for more valid judgments."[80]

Likert expressed his concern with the relationship between the

superior and the subordinate in evaluation procedures.

> The fundamental flaw in current review procedures is that they
> compel the superior to behave in a threatening, rejecting, and
> ego-deflating manner with a sizable proportion of his staff. This
> pattern of relationship between the superior and the subordinate
> not only affects the subordinate but also seriously impairs the
> capacity of the superior to function effectively.[81]

·McGregor questioned the conventional approach to evaluation and

commented upon its weaknesses:

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[78]Meyer, "The Science of Telling Executives How They"re Doing,"
p. 104.

[79]Kay, "Current concerns about Performance Appraisals," p. 2.

[80]Ibid., pp. 2-3

[81]Rensis Likert, "Motivational Approach to Management Develop-
ment, "Harvard Business Review, Vol. 37, No. 4 (July-August, 1959), p. 75.

The conventional approach, unless handled with consummate skill and delicacy, constitutes something dangerously close to a violation of the integrity of the personality. Managers are uncomfortable when they are put in the position of 'playing God.' The respect we hold for the inherent value of the individual leaves us distressed when we must take responsibility for judging the personal worth of a fellow man. Yet the conventional approach to performance appraisal forces us, not only to make such judgments and to see them acted upon, but also to communicate them to those we have judged. Small wonder they resist.[82]

Odiorne identified two kinds of flaws that appear in inadequate evaluation systems. The "halo" effect involves the tendency to rate an employee very high because of compatability, effect of past record, effect of recency, the blind spot effect, or the one-man asset. The "horns" effect involves the tendency to rate people lower because of a guilt by association effect, a nonconformist or maverick effect, a dramatic incident effect, or a self-comparison effect.[83]

According to Oberg, there are some common pitfalls to monitor in performance evaluation. The approach can demand too much from supervisors. Standards and ratings can vary widely and, often, unfairly. Personal bias and values can replace organizational standards. Because of poor communication, employees may not know how they are rated. In many cases, the validity of ratings is reduced by supervisory resistance to making the ratings. Also, performance ratings can have an adverse effect when communicated to employees. In addition, performance appraisal can interfere with the

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[82]McGregor, "An Uneasy Look at Performance Appraisal," p. 90.

[83]Odiorne, Personnel Policy, pp. 312-313.

more constructive coaching relationship that should exist between a superior and his subordinate. Finally, evaluation techniques tend to be used as performance panaceas.[84]

TRENDS AND PERSPECTIVES

Certain trends in performance evaluation have developed over the years. Recognition that many personnel actions are determined by factors other than a person's merit has increased.[85] There has been a shift in emphasis from the rating of hourly workers to the evaluation of higher-level employees. A decline in emphasis on personal traits has resulted from the recognition that it is hard for a supervisor or manager to change the personality of his people.

On the inevitability of evaluation, Kellogg stated:

Appraisal is a necessary part of a manager's work. It is his subjective judgment of the value of an individual's ability to do something. It is most likely to be sound if its purpose is well defined and if it is based on information which is relevant, accurate, and sufficiently complete so that no over-riding information has been overlooked. It serves primarily as a guide for the manager's own actions with respect to the individual he appraises. Discussion of his appraisal with an employee serves to provide an input for the employee's own appraisal on which he will, in turn, base his actions.[86]

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[84]Oberg, op. cit., pp. 61-62.

[85]Beach, op. cit., pp. 333-337.

[86]Marion S. Kellog, What To Do About Performance Appraisal (New York: American Management Association, 1965), p. 19.

Evaluation is thus viewed as an integral and inevitable part
of the management process. Concurrent with this view is the growing
recognition that different measurement methods and different procedures
are needed for evaluating incompatible purposes such as determining an
employee's salary and providing for an employee's personal development.

SUMMARY

Chapter II has provided background information on personnel
evaluation in business and industries for purposes of comparison and
contrast with personnel evaluation policies and practices in the
Federal Civil Service and in the area of public education. After
presenting a brief history of performance evaluation in business and
industry, attention was directed to the following components of
evaluation programs: (1) purposes and uses of evaluation, (2) methods
and tools of evaluation, and (3) evaluators. Some variations in
evaluation methods were examined in addition to problems encountered
in personnel evaluation and current trends and perspectives in per-
formance evaluation in business and industry.

CHAPTER III

PERFORMANCE EVALUATION IN THE FEDERAL CIVIL SERVICE

Personnel evaluation practices within the federal civil service

have contributed to personnel evaluation practices within the private

sector of society. In turn, federal civil service personnel evaluation

practices have been influenced by personnel evaluation practices in the

private sector. The magnitude and complexity of the federal government

has influenced the development of certain personnel practices.

By any measurement, the Federal Government as an employer
exceeds any other public or private organization in the United
States and perhaps in the world. In terms of budget, number of
employees, variety of occupations, complexity of human relations
problems and effect on the public welfare, there is no equal.[1]

The personnel system of the federal government is based on law,

executive orders, and Civil Service Commission and agency regulations.

It exists to carry out program objectives of the federal government.

Civil service includes all civilian employees of the government who

are appointed rather than elected. The merit system is the means for

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[1]U. S. Congress, House, Committee on Post Office and Civil
Service, Subcommittee on Employee Benefits, Report of the Job Evaluation
and Pay Review Task Force to the United States Civil Service Commission,
Vol. I, 92d Cong., 2d Sess., January 12, 1972 (Washington: Government
Printing Office, 1972), p. 3.

selecting the best qualified person for each job, and it offers

permanent tenure on the basis of good performance.[2]

The United States Civil Service Commission is the principal

agency for managing the federal civil service which is a modern

progressive career system. The terms"classified civil service"and

"classified service" are synonymous with the term"competitive service."

The competitive service consists of the following:

> . . . all civil service positions in the executive branch,
> except positions which are specifically excepted from the competi-
> tive service by or under statute; and positions to which appoint-
> ments are made by nomination for confirmation by the Senate, unless
> the Senate otherwise directs; civil service positions not in the
> exscutive branch which are specifically included in the competitive
> service by statute; and positions in the government of the District
> of Columbia which are specifically included in the competitive
> service by statute.[3]

Only provisions governing appointment and tenure of employees

are included in the meaning of the term "competitive service." The

excepted service consists of those civil service positions not in the

competitive service.[4] All agencies have some positions which are

excepted by statute, executive order, or action of the Civil Service

Commission. A few agencies are entirely excepted. Examples are posi-

tions in the United States Foreign Service, the United States Postal

Service, the Atomic Energy Commission, the Federal Bureau of Investigation,

and the Tennessee Valley Authority. Included in other excepted positions

[2]Donald R. Harvey, The Civil Service Commission (New York: Praeger Publishers, 1970), pp. vii-ix.

[3]U. S. Code title 5, sec. 2102.

[4]U. S. Code title 5, sec. 2103.

are the politically appointed heads of departments and agencies,
policy determining officials, persons hired as temporary or occasional
consultants, laborers hired in out-of-the-way places, seasonal workers,
noncitizens in positions overseas and Veterans Readjustment Appoint-
ments.[5]

EVOLUTION OF FEDERAL CIVIL SERVICE CONCEPTS

The public service during the formative years of the American
national government was considered one of the most competent in the
world and one of the least corrupt. The administrative and political
skills represented in the Founding Fathers and "the implications of
the Constitution of 1789 for the future of American public administra-
tion at the national level" are credited for this state of affairs in
the public service.[6]

Administrative responsibility was centered in a single chief
executive, the President of the United States. The Constitution
established the method for appointment of higher officials, those
responsible for policy. Included were two checks to the power of
the executive.

[5]U. S., Congress, Senate, Committee on Post Office and Civil
Service, Statutory Exceptions to the Competitive Service, Report, 93d
Congress, 1st Sess., July, 1973 (Washington: Government Printing Office,
1973), pp. 7-834.

[6]Paul P. Van Riper, History of the United States Civil Service
(White Plains, New York: Row, Peterson and Company, 1958), pp. 11-12.

On the appointment of inferior officers, the employees responsible for the operating work of the government, the Constitution is much more indefinite. Congress may designate the appointing authority for these employees.

The Constitution states that the President:

> . . . shall nominate, and by and with the advice and consent of the Senate, shall appoint ambassadors, other public ministers and consuls, judges of the Supreme Court, and all other officers of the United States, whose appointments are not herein otherwise provided for, and which shall be established by law but the Congress may by law vest the appointment of such inferior officers, as they think proper, in the President alone, in the courts of law, or in the heads of departments.[7]

Congress thus has the power to prescribe the manner in which the majority of federal employees shall be chosen. In the early days, Congress made little use of this power. Instead, the struggle between the executive and the legislative branches for control of the patronage, "by which party and personal machines are built," and the power of removal, which is not mentioned in the Constitution, became important issues.[8] Extension by statute of the requirement for Senate confirmation of appointments to many non-policy-determining offices furthered control of patronage.

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[7]U. S. Const. art. 11, sec. 2, par 2.

[8]United States Civil Service Commission, History of the Federal Civil Service (Washington: Government Printing Office, 1941), pp. vii-ix. (The Commission is hereafter referred to as U.S.C.S.C.)

It is generally conceded among historians that George Washington

and his immediate successors appointed men of competence to the principal

offices in the executive branch.

> Washington himself insisted that no considerations other than
> fitness of character should enter into his nominations for public
> office, and the evidence indicates that in the main this prescrip-
> tion was upheld. But the Federalist merit system necessarily relied
> upon a special construction of merit. 'Fitness of character'
> could best be measured by family background, educational attain-
> ment, honor and esteem, and, of course, loyalty to the new govern-
> ment, all tempered by a sagacious regard for geographic representa-
> tion.[9]

Two broad categories of personnel were found in the early public

service. First were the high-ranking officers who played a significant

part in the making of public policy. They were appointed generally by

the President and constituted the elite of the executive branch. Today,

they would be called the political executives. Second were the workers

in the offices and the field. Today, they would correspond roughly to

most of those now covered by the federal civil service system.[10]

The two categories were different in the nature of their

responsibilities, in their social and economic origins and background,

in their educational attainment, and in the nature of their appoint-

ments and tenure. The "aristocratic nature of the early federal elites"

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[9]Frederick C. Mosher, _Democracy and the Public Service_ (New York: Oxford University Press, 1968), p. 57.

[10]Ibid., p. 58.

was confirmed by Aronson.[11] The principle and practice of tenure did

not apply at the top level, especially when there was a change in

party control in the Presidency. On the other hand, the workers in

the second category came from middle and upper middle classes.

Generally they possessed a minimum of education. Mosher noted that

it seems to have been taken for granted from the very beginning that

their tenure was for life or for the duration of their effective service.[12]

The practice of job security extended to the workers in the" bureaucratic

beginning"[13] of the public service closely resembled the legally

protected security afforded the present classified service.[14]

A turning point in the direction of American society and its

government occurred with the election of Andrew Jackson as president

in 1828. The new egalitarian philosophy of society was reflected in

attempts to limit tenure and pass the offices around.

Van Riper gave Jackson "credit for formulating the ancient

practices of spoils politics into a widely accepted and systematic

political doctrine, applicable to the national as well as the local

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[11]Sidney H. Aronson, *Status and Kinship in the Higher Civil Service* (Cambridge: Harvard University Press, 1964), p. 61.

[12]Mosher, op. cit., p. 59.

[13]Van Riper, *History of the United States Civil Service,* pp. 11-29.

[14]Mosher, op. cit., pp. 59-61.

scene."[15] The spoils system was in many ways the hallmark of change in the form and direction of American politics. The rise of the new democracy of the Jacksonian era had a profound effect upon the federal civil service.

Among the ramifications of the spoils system were:

> . . . the chaos which attended changes in administration during most of the nineteenth century; the popular association of public administration with politics and incompetence; the growing conflicts between executive and legislature over appointments; ... the almost unbelievable demands upon presidents--and executives of state and local governments as well--by office-seekers, particularly following elections, which were capped by the assassination of a president; the development of political machines in states, counties, and cities (where most government actually was); and the rise to pre-eminence of lawyer-politicians in every branch of government and at every level.[16]

Governmental power was transferred from the gentry to the politicians. Degradation and corruption occurred. In the process, the roots for a new kind of civil service reform grew steadily.

From the excesses of the spoils system arose a great popular reaction in the 1870's and 1880's expressed in demands for reform of the civil service.[17] The movement was in its essence "moral at a time when American thinking was heavily moralistic."[18]

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[15]Van Riper, op. cit., pp. 30-59.

[16]Mosher, op. cit., p. 63.

[17]Ari Hoogenboom, Outlawing the Spoils,(Urbana, Illinois: University of Illinois Press, 1961), pp. 5-8.

[18]Mosher, op. cit., p. 65.

The Pendleton Act, commonly known as the Civil Service Act, became law on January 16, 1883.[19] It was inspired by the British Civil service system, but the Act itself and its implementation "were more American than British."[20]

The Civil Service Act, by which the merit system was given effective statutory authorization, provided for a commission of three members, appointed by the President by and with the advice and consent of the Senate. No more than two members may be from the same political party. The commissioners are to aid the president in drawing up civil service rules for his promulgation, to make an annual report to the President for transmission to Congress, and to carry into effect the provisions of the Civil Service Act.[21] Thus, embodying the concept of political neutrality, borrowed from the British civil service system, the Civil Service Commission was to become "an organizational device which would immunize appointments and in-service activity from political influence."[22] Instead of assuming a posture as merely a staff aid to the President, in practice the Civil Service Commission became "an offsetting power unto itself against political pressures" from the parties, the President, the Congress, and other divisions in the

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[19]22 U. S. Statutes 403 (1883).

[20]Mosher, Democracy and The Public Service, p. 66.

[21]Harvey, The Civil Service Commission, pp. 53-54.

[22]Mosher, op. cit., p. 70.

administration. It not only became the instrument for administering the merit system but also "a watchdog against possible transgressions against such a system."[23] One lasting effect, as a result of the Civil Service Commission's existence, was the separation of general management from personnel management.

The concept of political neutrality was further noted in the prohibition of the removal or demotion of an employee for political reasons. Also, prohibition against the soliciting or receiving political assessments from public employees by any person receiving a salary from the government and the prohibition against soliciting or receiving of political assessments in a federal building by any person whatsoever were further efforts to strengthen the concept of political neutrality.[24]

The concepts of competitive examinations and security of tenure were further British precedents embodied in the development of the United States merit system.[25] The Act provided for competitive examinations, practical in character, of applicants for the classified service; the making of appointments to the classified service from among those graded highest in the examinations; a probationary period before absolute appointment; and the apportionment to the departments at

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[23]Ibid., pp. 69-70.

[24]U. S. C. S. C., History of the Federal Civil Service, pp. 54-55.

[25]Van Riper, op. cit., pp. 100-104.

Washington according to the population of the last preceding census of the states, territories, and the District of Columbia. It required that every application contain a statement of residence under oath. Also, it provided for penalties of fines and imprisonment for violations of the integrity of the examining processes. Veteran preference provisions already on the statute books were reaffirmed. The Act further provided that no more than two members of one family, defined as the members of one household or fireside, could be appointed to the classified service. Recommendations of applicants by members of Congress on matters other than character and residence were not to be considered.[26]

The Pendleton Act was permissive rather than mandatory. It reflected "the peculiarities of the American Constitution as well as those of the political tendencies of the times."[27] The original act placed only about ten percent of the positions in the federal service under the merit system to create the classified civil service. These positions were clerical positions in Washington and in post offices and custom houses employing fifty or more persons. Van Riper noted:

> The remainder of the civil service was left underscore{unclassified,} to be brought under the new regulations by executive order when and if the President saw fit. The only public officials exempted from the authority of the President under the act were laborers and those whose appointments were subject to the advice and consent of the Senate.... It was both politically and administratively impossible in 1883 to apply the merit system to the entire federal civil service.[28]

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[26]U.S.C.S.C., History of the Federal Civil Service, pp. 55-60.

[27]Van Riper, History of the United States Civil Service, p. 105.

[28]Ibid.

With its emphasis upon objectivity, upon relating job qualifications with job requirements, and upon eliminating personal traits and beliefs from personnel management, the civil service system afforded a base for the development of specialization and technology during the first three decades of the twentieth century. Also, the semi-independent character of the civil service administration and the doctrine of separation of policy from administration provided encouragement to the development of the science of public administration.[29]

The efficiency movement in industry had begun in the latter part of the nineteenth century. The parallel movement in public administration was viewed, in part, as an attempt to make government more like business. Many of the same techniques and concepts were used by public and private scientific management. They were standards and standardization, rationality, planning, "one best way," specialization, and quantitative measurement.[30]

Scientific management applied to personnel in government was responsible for the development of efficiency ratings as a factor in promotions. Jobs could be differentiated scientifically and standardized into classes. In addition, examinations could be structured to measure qualifications for jobs or positions scientifically.[31]

[29]Mosher, op. cit., pp. 70-71.

[30]Ibid., pp. 72-73.

[31]Robert F. Milkey, "Job Evaluation after 50 Years," Public Personnel Review, Vol. 21, No. 1 (January, 1960), pp. 19-23.

The scientific management movement in private industry and the federal service were identical in many respects. There were, however, differences in the leadership of the two movements. The vehicles for the development of scientific management in the governmental sphere were the bureaus of municipal research, beginning with the New York Bureau of Municipal Research in 1906.[32] In stressing citizen participation, rights, and responsibilities, the bureau movement differed widely from the scientific movement in private industry and business. The stimulus and the control of management in private business and industry were internal.

During the efficiency period, the public service developed and applied scientific and objective techniques. The commission, created in quite a different setting and for quite different reasons in 1883, managed to function well.[33]

The depression of the thirties and the development of the New Deal gave impetus to a changing role in government. No longer was government a routine servant or a passive and reactive agent. It assumed a role "as initiator of programs and change" and strengthened this role during World War II.[34] The result was a shift in emphasis from efficiency to management.

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[32]Mosher, op. cit., pp. 74-77.

[33]Ibid., p. 79.

[34]Ibid., pp. 79-85.

Because of the steady growth in size of the federal government and the expansion of its activities, attempts were undertaken by various committees over the years to reorganize the federal government. President Roosevelt's Committee on Administrative Management, known as the Brownlow Committee, in 1937 advocated the reorganization of the Civil Service Commission into an agency headed by a single administrator.[35] The Committee suggested that the merit system be extended to include all positions except policy determining ones. The recommendations became a reality over the next few years.[36]

Two Commissions on Organization of the Executive Branch of the Government were created after World War II. Each was headed by Herbert J. Hoover and was popularly known as the Hoover Commission. The First Hoover Commission functioned in 1947-1949 and made recommendations concerning the organization and structure of the various governmental agencies in an effort to promote efficiency and to effect savings.[37]

The Second Hoover Commission's reports marked the beginning of the scientific revolution, the managerial revolution or, as Mosher observed, the age of professionalism in the government and public-service.[38] The reports advocated distinct lines between policy posts and career posts. A Senior Civil Service was recommended. Other recommendations for the permanent service included a radical revision

[35]Ibid., p. 80.

[36]Van Riper, op. cit., p. 358.

[37]Ibid., pp. 444-445.

[38]Mosher, op. cit., pp. 99-102.

of the performance rating system under which approximately ninety-eight percent received satisfactory ratings. Also, a recommendation was made that performance ratings be used as a method of employee development similar to that in private industry. In contrast to the First Hoover Commission reports, the reports of the Second Hoover Commission recognized to a much greater degree the crucial importance of political leadership in personnel management and contained "refreshing and positive emphasis on employee morale, motivation, and development."[39] The movement for better human relations was spreading through the federal service just as it was in private industry.

The American governments were the principal employers of professionals according to the 1960 Census.[40] Nearly one-third of all government employees were engaged in technical and professional work. Omitting school teachers, who are classified as professionals, the proportion of professionals in total public employment was more than the comparable proportion in the private sector. Mosher stated:

> For better or worse--or better and worse--much of our government is now in the hands of professionals (including scientists). The choice of these professionals, the determination of their skills, and the content of their work are now principally determined, not by general governmental agencies, but by their own professional elites, professional organizations, and the institutions and faculties of higher learning. It is unlikely that the trend toward professionalism in and outside of government will soon be reversed or even slowed. But the educational process through which the

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[39]Commission on Organization of the Executive Branch of the Government, Task Force Report on Personnel and Civil Service (Washington: Government Printing Office, 1955), pp. 35-38.

[40]Mosher, op. cit., p. 103.

professionals are produced and later refreshed (in continuing educational programs) can be studied and conceivably changed. The needs for broadening, for humanizing, and in some fields for lengthening professional education programs may in the long run prove more crucial to governmental response to societal problems than any amount of civil service reform.[41]

In summarizing the evolution of civil service concepts, it is important to emphasize that each concept continues to influence policies and practices today. Mosher noted six important divisions in the growth of concepts about the public service. They are government by gentlemen, 1789-1829; government by the common man, 1829-1883; government by the good, 1883-1906; government by the efficient, 1906-1937; government by administrators, 1937-1955; and government by professionals, 1955 until the present.[42]

PRESENT STATUS

To view the personnel system of the federal government in proper perspective, it is necessary to present a general picture of the task of managing the affairs of the federal government. The complexity of the management task is represented by the more than three million federal civilian employees and the fact that their payroll costs comprise over fourteen percent of the total federal expenditures.[43]

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[41]Mosher, op. cit., pp. 132-133.

[42]Ibid., pp. 54-55, 96-97.

[43]United States Civil Service Commission, The Federal Career Service . . . at your Service, Personnel Advisory Series No. 2 (Washington: Government Printing Office, 1973), pp. 3-4.

When the civil service system was established by law in 1883, it applied to about ten percent of the positions in the federal government. Today, over ninety-one percent of all those in the federal government are under merit systems. About sixty-one percent of all federal positions are in the competitive service, which is regulated by the Civil Service Commission. Most of the other positions are under merit systems administered by other federal agencies. Rather than "an army of clerks", the federal civil service today is largely composed of professional men and women and of highly skilled technicians and craftsmen.[44]

Career workers are chosen on the basis of competence, or merit. Open competition is the process for selecting the career work force. Involved in the concept are adequate publicity, opportunity to apply, realistic standards, absence of discrimination, ranking on basis of ability, and knowledge of results. Flexibility is built into the system by allowing federal agencies discretion in filling vacancies. They may be filled by open competition, promotion from within, reassignment of a present employee, transfer of an employee from another federal agency, or reinstatement of a former federal employee.[45]

After completing certain prescribed periods of service, a career employee attains certain rights and benefits. He is protected

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[44]Ibid., pp. 7-8.

[45]Ibid., pp. 11-12.

by law from arbitrary removal for political or other reasons, and may

receive an impartial review of actions adverse to him. The Civil

Service Commission makes the review in some cases. The career employee

may move between agencies or within his agency to a job for which he

qualifies without competitive examination, and he may re-enter govern-

ment service on the same basis. In addition, when there are reductions

in the work force, he is retained in preference to nonstatus

employees.[46]

There are special ground rules under which the Federal Civil

Service operates. In many respects it behaves like any large employer.

It fires, hires, trains, promotes, and retires thousands of employees

each year. These personnel actions must be free from discrimination

based on race, religion, color, sex, or national origin. There are

some functions that are peculiar to federal employment. They are:

.Agencies are subject to detailed control by law and regulation-
 revision takes time.
.In addition to establishing affirmative EEO programs and com-
 plaint procedures, government managers must also provide full equal
 employment opportunity without regard to politics, age, marital
 status, or handicap.
.Political activities of most employees are restricted.
.Maximum age limits on hiring are prohibited in the competitive
 service.
.Veterans receive preference in appointment and retention.
.Strikes are prohibited.
.Conflict of interest (real or apparent) must be avoided.
.Administrative decisions are subject to judicial review.
.Central management agencies exercise leadership in their areas of
 jurisdiction and audit actions taken by agencies.[47]

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[46]Ibid.

[47]Ibid. p. 15.

The composition and organizational structure of the federal work force is extremely complex and is constantly changing. White collar employment is increasing while blue-collar employment is decreasing. On October 31, 1971, "white-collar workers accounted for seventy-two percent of all full-time government employees and blue-collar twenty-eight percent."[48] Within the white-collar work force, more than half of all employees are in professional, technical, and kindred occupations.[49]

Since 1967, the Executive Assignment System, a government-wide personnel program designed to meet executive manpower needs in the federal service, has been in operation. It covers administrators, managers, scientists, physicians, and others in executive positions in higher grade levels. Executives may receive career executive assignment, limited executive assignment, or noncareer executive assignment. An automated executive inventory, containing biographical and work experience data on persons serving in higher grade levels and equivalent is used to assist agencies in finding the right person for the right job.[50]

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[48]U. S. C. S. C. The Federal Career Service, p. 17.

[49]Ibid., p. 18.

[50]Ibid., p. 23.

Federal employees are paid in several ways.[51] Postal

employees have their own system. Blue-collar workers are paid on

the basis of prevailing rates in the locality where they work.

Some federal employees are under special pay plans established to

meet the needs of special groups. Top executives, cabinet officers,

and heads of agencies are paid under the Executive Schedule. The

majority of federal employees are paid in accordance with the General

Schedule pay scales which are governed by law.[52] These scales are

adjusted to the federal position classification system which was

established in 1923.[53]

Because the multiplicity of uncoordinated job evaluation and

pay systems resulted in inconsistencies and inequities in pay and

other personnel practices for federal employees, the classification

and ranking system had become obsolete. Congress or the Executive

Branch had made no efforts to bring all federal agencies under a

single system. Partly in recognition of these facts, the Subcommittee

on Position Classification, House Post Office and Civil Service

Committee, began a study of job evaluation and pay systems in 1967.

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[51]Ibid., p. 21-22.

[52]Ibid.

[53]Esther C. Lawton ed. , Evaluating Position Evaluation
(Washington: The Society for Personnel Administration, 1962),
pp. 1-28.

JOB EVALUATION AND PAY REVIEW

Inadequacies in the position classification systems were

substantiated by the Subcommittee on Position Classification, House Post

Office and Civil Service Committee. This culminated in Public Law

91-216, the Job Evaluation Policy Act of 1970, and in the creation of

the Job Evaluation and Pay Review Task Force within the Civil Service

Commission to perform the duties of the law.[54]

The Job Evaluation and Pay Review Task Force made an in depth

study of federal job evaluation and pay policies and practices in

the executive branch of the federal government. It considered inputs

from other governments, state systems, employee organizations, and

private industry. The Task Force recommended "a new comprehensive

evaluation and pay plan."[55]

The Task Force proposed the Coordinated Job Evaluation Plan

that could be useful for a number of management processes. They

include job structuring, organization planning, staffing, career

development, upward mobility, job rotation, and manpower utilization.

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[54]U. S. Congress, House, Committee on Post Office and Civil
Service, Subcommittee on Employee Benefits, Report of the Job
Evaluation and Pay Review Task Force to the United States Civil Service
Commission, Vol. I, 92d Cong., 2d Sess., January 12, 1972 (Washington
Government Printing Office, 1972), p. 3.

[55]Ibid., p. 7.

The Task Force recognized the role of the manager as the personnel administrator for his organizational unit. They recommended that the authority to evaluate positions be delegated to the manager in order to promote an effective employee appraisal.

> The job evaluation process can serve to achieve agreement between the employee and manager on duties assigned and performance requirements. This process is basic to a meaningful employee appraisal.[56]

The factor ranking method of job evaluation, requiring a ranking of jobs by individual factor under the system in comparison with all other jobs and using benchmark job descriptions and guide charts, was recommended as the most effective method for the federal civil service. In addition, a personal competence ranking system was developed

> for certain occupational categories or occupations such as attorneys, health services, scientists and engineers in research and development, teachers, and the foreign service....The skill, training, experience, creativity and judgment of individuals in these occupations result in highly personal and substantial contribution to their jobs. This effort is not readily evaluated by normal techniques of job evaluation; hence, for pay purposes, this supplemental system has been developed.[57]

The proposed Coordinated Job Evaluation plan is composed of six basic systems. Each of these six deal with special category employees.

The Federal Executive Service, FES, will include civilian executives, with certain exceptions, now in the higher grades and

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[56]Ibid., p. 21.
[57]Ibid., p. 25.

their equivalents in the executive branch. Assignments will be either

career or noncareer. The weighted job factors are job requirements,

difficulty of work, responsibility, and personal relationships.[58]

The Supervisor and Manager Evaluation System, SAMES, will

include positions involving the exercise of supervisory responsi-

bilities. The four factors in the evaluation plan are base level

of work, supervisory functions, supervisor accountability, and scope

of work operations.[59]

The Administrative, Professional, and Technological Evalua-

tion System, APTES, will cover most nonsupervisory jobs classified as

exempt status employees in private industry. Exempt as used in this

connotation refers to the definition used in the provisions of the

Fair Labor Standards Act of 1935. Factors are job requirements,

difficulty of work, responsibility, personal relationships, and other

requirements.[60]

The Clerical, Office Machine Operation, and Technician Evalua-

tion System, COMOT, will apply to the lower-level white-collar

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[58]U. S. Congress, House, Committee on Post Office and Civil Service, Subcommittee on Employee Benefits, Report of the Job Evaluation and Pay Review Task Force to the United States Civil Service Commission, Vol. II, 92d Cong., 2d Sess., January 12, 1972 (Washington: Government Printing Office, 1972), pp. 1-38.

[59]Ibid,, pp. 39-70.

[60]Ibid., pp. 71-350.

positions which are nonsupervisory. These jobs in the federal service possess the same characteristics as those classified as nonexempt status employees in private industry. These are the production-oriented clerical, technician, and operational jobs requiring non-professional qualifications. The Task Force indicated that there were a number of inadequacies in the present position classification system as applied to this group of positions. The factor ranking method was found to utilize techniques which correct the inadequacies of the system. The factors are job requirements and difficulty of work, responsibility, personal relationships, and physical effort and work environment.[61]

The Coordinated Federal Wage System, CFWS, is presently in use and was incorporated into the coordinated plan. It covers non-supervisory positions in the trades and crafts. The four factors used to identify the nature of the occupational facts considered in grading jobs under this method are skill and knowledge, responsibility, physical effort, and working conditions. The Task Force recommended continuation of the current wage-setting practice of compensating blue-collar employees on a locality pay basis.[62]

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[61]Ibid., pp. 351–482.

[62]Ibid., pp. 483–530.

The Special Occupation Evaluation Systems, SOES, are designed to cover the positions normally evaluated, for skill level, under one of the other systems and, for pay purposes, ranked under a personal competence ranking system. All these positions are non-supervisory. The categories requiring individual systems are attorneys, health occupations, scientists and engineers in research and development, teachers, protective occupations, and the foreign service. Each group has its own set of factors for job evaluation.[63]

The Job Evaluation and Pay Review Task Force proposal for a Coordinated Job Evaluation plan composed of six systems represents a search to respect the differentiations between the complexities of the knowledge demands of each group.

EVOLUTION OF FEDERAL PERFORMANCE EVALUATION

Before the passage in 1883 of the Pendleton Act, known as the Civil Service Act, attempts were made to incorporate merit into the civil service. "Pass" examinations were tried but they were unsuccessful in recruiting qualified personnel.[64] Efforts were then made through the Civil Service Act to promote efficiency by use of open competitive examinations for entrance and promotion in the service, by providing for a probationary period of six months, and by position classification.[65]

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[63]Ibid., pp. 531-629.

[64]Mary S. Schinagl, History of Efficiency Ratings in the Federal Government (New York: Bookman Associates, Inc., 1966), p. 17.

[65]Ibid.

In the early years of the Civil Service Act, executive orders and the Civil Service Commission's regulations relative to efficiency ratings and promotion examinations went largely unheeded. As a result, four different promotional procedures emerged. They were tests of fitness, seniority, competitive examinations, and efficiency ratings.[66]

The problems of retirement, removals, ratings, and classification had to be solved before the Civil Service Commission could establish "a promotion plan which would increase efficiency and put civil service on a merit basis."[67] The Classification Act of 1923 covered classification and also required the adoption of a uniform system of efficiency ratings for within-grade promotion, dismissal, retention, and demotion.[68]

Around 1910, a new system of industrial management known as scientific management became prominent and helped to make Americans conscious of efficiency.[69] Taylor's theories were widely influential in all areas of society. Scientific management was applied to all facets of American life for Taylor had said that his principles could be

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[66]Ibid., pp. 17-32.

[67]Ibid., p. 45.

[68]Jay M. Shafritz, Position Classification: A Behavioral Analysis for the Public Service (New York: Praeger Publishers, 1973), pp. 13-22.

[69]Frederick W. Taylor, The Principles of Scientific Management (New York: Harper and Row, 1911), pp. 19-38.

> . . . applied with equal force to all social activities: to
> the management of our homes: the management of our farms; the
> management of the business of our tradesmen, large and small;
> of our churches, our philanthropic institutions, our universities,
> and our governmental departments.[70]

Accompanying the drive for efficiency were experiments in

evaluating the abilities of personnel in industry and education.[71]

Walter Dill Scott, chairman of the Committee on Classification of

Personnel in the Army in 1917, introduced the first rating scale for

officers. It was a man-to-man adaptation of the graphic rating

scale.[72] Ruml simplified the scale and Schinagl noted:

> Since the trend in personnel management was toward fine
> discrimination of personality traits, the Personnel Classifica-
> tion Board copied Ruml's scale and method of evaluation for
> use in Federal agencies located at Washington, D. C.[73]

The graphic rating scale, adopted by the federal civil service

for reporting employee efficiency, generated discontent because of its

weaknesses. The supervisory rated factors were scored by a board of

review in the central office of each department. After applying coded

weights, the final ratings were carried out to two decimal places.

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[70]Ibid., p. 8.

[71]Bruce J. Biddle and William J. Ellena, eds., Contemporary
Research on Teacher Effectiveness (New York: Holt, Rinehart and Winston,
1964), pp. 44-45.

[72]Donald G. Patterson, "The Scott Company Graphic Rating Scale,"
Journal of Personnel Research, I (May 1922 to April 1923), 362.

[73]Schinagl, op. cit., p. 47.

The ratings were adjusted to conform to the normal frequency curve. Employees were then informed of their ratings. If an employee questioned his specific rating, the supervisor could not explain why the rating was received nor could the review board members adequately explain a specific rating. To create further suspicion among employees, an amendment to the Classification Act was passed requiring seniority to be "considered as a basis for promotion in addition to efficiency ratings."[74]

Because of the widespread discontent with the Graphic Scale, the Civil Service Commission developed the Revised Graphic Scale "which substituted numerical-adjective ratings for the finely delimited numerical ratings and which eliminated the statistical objectivity so despised by civil servants."[75] The revised rating scale did not provide reviewing officials with a basis for discovering differences of rating standards. Criticism of the revised rating scale mounted.[76]

The Ramspeck Act, passed by Congress in 1940, provided for boards of review in each department and independent establishment to pass upon the merits of efficiency ratings for classified employees.

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[74]Ibid., pp. 47-48; p. 110.

[75]Ibid., p. 59.

[76]Ibid., pp. 48-52.

Further, the Mead-Ramspeck Act of 1941 amended the Classification Act
of 1923 by awarding classified personnel in the field service the
same benefits as departmental employees.[77]

During the implementations of the Ramspect Act, the Civil
Service Commission adopted a new rating plan, the Modified Rating
System, in 1942.[78] It was a flexible plan that allowed rating officials
to add elements on performance since higher administrative, scientific,
and professional levels had not previously been rated. Group blocking,
or grading according to specific items listed under the categories of
quality of performance, productiveness, and qualifications shown on
the job, were omitted. Numerical and adjectival ratings were marked
according to personnel being rated on the list of thirty-one items.
However, with the demands made on government during World War II, the
Civil Service Commission made only adjectival ratings mandatory in
the uniform efficiency rating system.[79]

Implementation of the provisions of the Veterans Preference
Act of 1944 created the move toward decentralization of efficiency
ratings. The reduction of the governmental work force required the
consideration of four criteria: tenure of employment, military pre-
ference, length of service, and efficiency ratings. The Act stated:

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[77]U. S. Civil Service Commission, Fourth Annual Institute of
Efficiency Rating (Washington: Government Printing Office, 1945),
pp. 3-8.[78]Schinagl, op. cit., pp. 55-59.
[79]Ibid.

Preference employees whose ratings are 'good' or better shall
be retained in preference to all other competing employees and
... preference employees whose efficiency ratings are below 'good'
shall be retained in preference to competing nonpreference
employees who have equal or lower efficiency ratings.[80]

Schinagl summarized the status of employee rating systems in

the federal civil service after World War II. She stated:

The Veterans Preference Act of 1944 influenced ratings in two
ways. Efficiency rating plans had to be devised for ungraded
personnel so that government agencies could comply with provisions
of Section 12 in reference to a rating of 'good' or better. Depart-
mental devised plans existing side by side with the uniform rating
system broke down rigid central control. Decentralization was
furthered by Public Law 581 of 1946, which permitted three
different types of ratings to be operative--the uniform system,
factor rating for ungraded personnel, and the standards of
performance rating.

Confusion and dissatisfaction regarding the use of these
systems and the efficiency rating appeals procedure led to
criticisms by employees, supervisors, private citizens, and
representatives of veterans' and employees' organizations.[81]

The Performance Rating Act of 1950 permitted various plans of

evaluation based on work performance but required uniform procedures.

In the main, it repealed the Efficiency Rating Act of 1912 calling

for a uniform system, abolished Title IX of the Classification Act of

1949 concerning ratings and appeals, and required substitution of

"satisfactory" for "good" ratings whenever such wording was found in

the Classification Act and in the Veterans' Preference Act of 1944.[82]

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[80]58 U. S. Statutes 390 (1944).

[81]Schinagl, op. cit., p. 73.

[82]64 U. S. Statutes 1098-1100 (1950).

At the present, the government's task force on performance evaluation is evaluating the performance of its scores of predecessors and preparing some recommendations on how the heads of the agencies might improve their evaluation systems. Until there are new directives concerning evaluation, the Performance Rating Act of 1950 is still operative.

The Performance Rating Act of 1950 covers:

1. Executive departments
2. Independent establishments and agencies in the executive branch
3. The Administrative Office of the United States Courts
4. The Library of Congress
5. The Botanic Gardens
6. The Government Printing Office
7. The General Accounting Office; and
8. The Municipal government of the District of Columbia.

The act does not cover:

1. The Tennessee Valley authority
2. The field service of the Post Office Department
3. Physicians, dentists, nurses, and other employees in the Department of Medicine and surgery in the Veterans Administration paid under 38 U.S.C. 73
4. The Foreign Service of the United States under the Department of State
5. Production credit corporations
6. Federal intermediate credit banks
7. Federal land banks
8. Banks for cooperatives
9. Employees of the municipal government of the District of Columbia who are not paid under the Classification Act of 1949, as amended
10. The Atomic Energy Commission
11. Employees outside the continental limits of the United States paid in accordance with local native prevailing wage rates for the area in which employed

12. The Central Intelligence Agency
13. Employee members of crew of vessels operated by the Departments of the Army and Navy
14. Hearing examiners; nor
15. The National Security Agency.[83]

Evaluation as a means of benefiting the employee was emphasized by the Performance Act. A "trend away from the use of ratings for punitive purposes toward positive application of evaluation developed."[84]

Using performance evaluation to build better supervisor-employee relationships and to develop an individual's potential worth to the organization demanded new personnel programs. The Incentive Awards Act, approved in 1954 and amended, authorizes agency heads to grant cash awards of up to $25,000 and honorary awards ranging from an official commendation up to the "President's Award for Distinguished Federal Service."[85]

The Government Employee Training law of 1958 allows federal agencies to provide employees in-service courses and to send selected employees to institutions of learning approved by the government.[86] A third personnel program, the Federal Merit Promotion Policy, was approved in 1959. It requires all federal agencies to promote in

[83]Federal Personnel Manual, chapter 430, "Performance Evaluation" (Washington: Government Printing Office, 1972), p. 3.

[84]Schinagl, op. cit., p. 85.

[85]U.S.C.S.C., The Federal Career Service, p. 24.

[86]Ibid.

accordance with plans drawn by the Civil Service Commission. Each

agency administers its own merit promotion program in the competitive

service "provided the agency has adopted systematic plans assuring

selection of the best qualified on the basis of merit."[87] Special

testing guidelines must be met before a written test is used for

inservice placement. There are differences among agencies, and even

among units within an agency, in the problems of evaluation involved

in their promotion plans.[88]

<div align="center">PURPOSES AND USES OF EVALUATION</div>

Under present policy, performance evaluation is considered "an

integral part of an agency's personnel management program and is used to

improve employees' work through a fair appraisal of their performance"

on the job.[89] Each agency's plan or plans must be built for the parti-

cular needs of the agency. The Civil Service Commission will help

agencies in developing their plans.

According to the Federal Personnel Manual, April 20, 1972, the

Federal Civil Service uses employee performance evaluation, including

performance ratings, to help improve employee performance by the following:

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[87]Ibid.

[88]Federal Personnel Manual, Supplement 335-1, "Evaluation of
Employees for Promotion and Internal Placement" (Washington:
Government Printing Office, June, 1969), p. 3.

[89]Federal Personnel Manual, Chapter 430, p. 3.

1. Strengthening supervisor-employee relationships

2. Identifying work standards and requirements

3. Informing employees of work standards and requirements

4. Recognizing commendatory and outstanding work performance

5. Recognizing and correcting work deficiencies

6. Providing a guide to personnel actions.[90]

There are other evaluation devices, apart from the official performance rating plan approved by the Civil Service Commission, used to evaluate for specific personnel needs. These evaluation devices are used to evaluate employees for promotion, determination of training needs and potential, participation in executive development programs, and determination of whether to permit the employee to complete the probationary period.[91]

EVALUATORS

Performance evaluation in the Federal Civil Service is considered a continuous day-to-day responsibility of the supervisor. The performance rating is the periodic, official summary of the supervisor's evaluation of an employee's performance.[92]

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[90]Ibid., p. 3; 5.

[91]Federal Personnel Manual, chapter 430, Appendix A, p. 2.

[92]Federal Personnel Manual, chapter 430, p. 3.

The supervisor must perform his ratings at specific times. He may not make a performance rating on an employee until the employee has had at least three months' service in his position. The evaluation plan may provide for an entrance rating, considered current and official, until a rating based on performance is obtained. The evaluation plan must require that the supervisor "rate employees at GS-10 and below at least annually and employees at GS-11 and above at least every eighteen months."[93]

EVALUATION METHODS AND TOOLS

Agencies to which the Performance Rating Act applies must submit their proposed evaluation plans to the Commission's central office for approval. Each agency may have as many plans as it deems necessary to evaluate performance effectively for different types of employees in different kinds of organizations. The required three rating levels are "outstanding","satisfactory", and"unsatisfactory". A fourth level may be inserted between"satisfactory"and"outstanding", but "all employees otherwise competing in reduction in force must be rated under the same plan."[94]

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[93]Ibid., p. 6.

[94]Ibid., p. 5.

In addition, each performance evaluation plan must conform to certain general specifications. The plan must state the specific employees to which it applies, the purpose of the plan, and the use the agency makes of performance evaluation and official performance ratings. It must spell out the performance evaluation procedure. The plan must include a description of how the agency trains supervisors in the operation and use of the plan. Also, the evaluation plan must state how employees are informed, how employees and supervisors participated in developing the plan, and how the plan is to be administered.[95]

Further, each evaluation plan must follow certain specific requirements pertaining to rating levels, rating methods, rating forms and time of rating. A plan must state the circumstances under which an outstanding rating will be given and provide for a written, detailed statement supportive of such a rating. It must also provide for an official review of an outstanding rating before approval.[96]

Each evaluation plan must provide for a warning in writing before an employee is given an unsatisfactory rating. The warning must state what job requirements the employee is failing to meet. It must also state what the employee can do to bring his performance to a

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[95]Ibid., pp. 5-6.

[96]Ibid., pp. 6-7.

satisfactory level and what efforts will be made to help him improve. If after a ninety day warning period an employee is given an unsatisfactory rating, the rating must have an accompanying written statement justifying the rating. It must specify

1. The facts of the prior warning

2. The efforts made to help the employee improve during the warning period; and

3. The reasons for assigning the unsatisfactory rating.[97]

Finally, each plan must provide an appeals procedure for reviewing an employee's performance rating if the employee requests a review. The agency must establish one or more boards of review to consider and pass on the merits of performance ratings assigned the agency's employees. An employee with an unsatisfactory performance rating may receive the one impartial review within his agency provided by law, appeal to the board of review directly, or appeal to the board after the impartial review. Any employee receiving a satisfactory or better rating may obtain the one impartial review within his agency or he may appeal to the board, but he can not do both. In any case, the board of review either makes a decision to increase the performance rating or to sustain the rating without change.[98]

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[97]Ibid.

[98]Federal Personnel Manual, chapter 430, pp. 9-15.

VARIATIONS IN EVALUATION

There are variations in the devices used in performance evaluation programs in the federal civil service. Some agencies prepare task statements for positions and work standards for tasks to help in the evaluation process.

Some evaluation plans call for employees and supervisors to initial a form to show that a supervisor-employee discussion took place to discuss the employee's rating. Other plans call for the supervisor to write a narrative statement assessing the employee's strengths, weaknesses, and potential.

Throughout the agencies, many kinds of forms for evaluation and rating are used. Some forms give the supervisor spaces to fill with the job's performance requirements, some provide spaces for narrative statements, and some forms give a list of performance characteristics to be rated.

PROBLEMS IN EVALUATION

The problems associated with performance evaluation in the Federal Civil Service are found in the evaluation system itself, in supervision, and in the governmental system of checks and balances.

While the present policy on performance evaluation stresses worthwhile purposes, the system lacks a strong built-in incentive to

improved performance. Concerning performance evaluation, the Job

Evaluation and Pay Review Task Force in its 1972 report stated:

> Cash awards for outstanding performance are occasionally
> granted, as are quality step increases. However, because within-
> grade increases are granted as a matter of course, and since
> employees are limited by law to the number of equivalent increases
> which they may receive during a given period, the granting of
> quality step increases is severely limited. In the process, the
> performance rating system itself has suffered. Therefore, the
> Task Force proposal that within-grade salary advancement beyond
> some fixed point in the salary range for each skill level be on the
> sole basis of merit will restore incentive to the performance
> evaluation system and at the same time require serious redesign of
> the performance evaluation system itself.[99]

Some problems result from the rules and regulations, or lack of

rules and regulations, under which the present system operates. Guide-

lines suggest, but do not require, that agencies use written standards

of performance, a rating form, or supervisor-employee interviews. On

the other hand, there are strict requirements pertaining to awarding a

rating of outstanding or a rating of unsatisfactory to an employee.

The tendency to give employees satisfactory ratings is prevalent.[100]

The degree of management and supervisory understanding and

acceptance of the evaluation program may determine the program's

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[99]U. S. Congress, House, Committee on Post Office and Civil
Service, Subcommittee on Employee Benefits, _Report of the Job
Evaluation and Pay Review Task Force to the United States Civil
Service Commission_, Vol. I, p. 96.

[100]_Federal Personnel Manual_, chapter 430, pp. 6-7.

effectiveness. Training programs and refresher courses are suggested to "help keep supervisors aware of the need and value of performance evaluation."[101]

Finally, there are numerous statutes and regulations governing the employment relationship between the government and its work force. There are well over one thousand laws bearing on manpower practices in the government and at least ten systems of handling personnel and manpower management, each with its own body of detailed administrative regulations.[102]

SUMMARY

Over the years, personnel practices in the federal government have undergone many changes and improvements as the federal government and the society it serves have grown in magnitude and complexity. The federal civil service is based on laws, executive orders, and Civil Service Commission and agency regulations. Like any large employer, there are special ground rules under which the federal civil service operates. In addition, there are some personnel functions that are peculiar to federal employment.

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[101]Federal Personnel Manual, chapter 430, Appendix A, pp. 1-2.

[102]Schinagl, History of Efficiency Ratings in the Federal Government, p. 96.

The scientific management movement which began in the latter part of the nineteenth century affected personnel in government as well as personnel in private industry and business. Efficiency ratings developed as a factor in promotion. Jobs were differentiated scientifically and standardized into classes. Examinations were structured to measure qualifications for jobs or positions scientifically. One important difference noted was that the stimulus and control of management in private business and industry was internal while the leadership of the scientific management movement in the federal service was external.

Accompanying the scientific management movement were experiments in evaluating the abilities of personnel in government, industry, and education. Walter Dill Scott's rating scale for military officers developed during World War I and his graphic rating scale developed later served as models for many similar rating scales adopted by business and industry, and education.

During World War II the federal government shifted from an emphasis on efficiency to an emphasis on management. Through the years, because of the steady growth in size of the federal government and the expansion of its activities, attempts have been made by various committees to reorganize the federal government. One committee, the Second Hoover Commission, recommended that performance ratings be used as a method of employee development similar to that in private industry. Employee morale, motivation, and development similar to the human

relations movement in private industry were emphasized by the Commission's reports. In addition, the Commission disclosed weaknesses in the area of expert management in the civil service due to seniority and red tape.

The composition and organizational structure of the federal work force is complex or is constantly changing. Because the inconsistencies and inequities in pay and other personnel practices for federal employees resulted in a multiplicity of uncoordinated job evaluation and pay systems, the Job Evaluation and Pay Review Task Force was created in 1970. The Task Force's proposal for a Coordinated Job Evaluation plan composed of six systems represents a search to respect the differentiations between the complexities of the knowledge demands, the inputs, of each group of federal personnel.

Performance evaluation is considered an integral part of personnel management programs in the federal civil service. The Performance Rating Act of 1950 permits various plans of evaluation based on work performance, but it requires uniform procedures. Apart from the official performance rating plan or plans approved by the Civil Service Commission, agencies use other evaluation devices for specific personnel needs.

Although the present policy on performance evaluation for the federal civil service stresses many worthwhile purposes, there are problems associated with personnel evaluation. A task force on performance evaluation is presently at work preparing recommendations to assist the heads of agencies in improving their evaluation programs.

CHAPTER IV

PERFORMANCE EVALUATION IN EDUCATION

As the body of knowledge concerning the teaching-learning process increased in the last decades through research, experimentation, studies, workshops, and developmental programs for instructional personnel in the public schools, the impetus for seeking more meaningful performance evaluation procedures and better instruments for recording evaluations has intensified. Even though there is no consensus among administrators and teachers on the subject of evaluation, there has been a change in the opinion of public school personnel regarding evaluation. More and more, teachers are accepting a leadership role in the evaluation process as opposed to the adversary role.

The change in the nature of proposed evaluation programs and changes in outside pressures on the schools have played a part in school personnel assuming more responsibility in planning and recommending evaluation plans. Nevertheless, the multiplicity of proposed evaluation practices, the variety of local situations, and the complexity and the difficulty of assessing the teaching-learning process have worked against a possible consensus among school personnel on the subject of evaluation. The use of positive evaluation practices directed toward improving performance has emerged as a national trend.

The purpose of the present chapter is to review some of the abundant literature relative to performance evaluation in the general field of education. After tracing briefly the evolution of personnel evaluation in the public schools, major attention is directed to current concerns in evaluating public school personnel and to the trends in personnel evaluation.

EVOLUTION OF PERFORMANCE EVALUATION

The systematic, formalized approach to evaluation in education today appears to have originated, in part, "during late nineteenth-century school practice as well as in the efficiency movement of the early twentieth century."[1]

The success of industrial capitalism in the late nineteenth century, according to Callahan, was responsible for two developments which had a great impact on American public schools after 1900. One was the spread of business and industrial values and practices to all facets of American society. The other was the reform movement which developed in an attempt to cope with the problems of rapid industrial-ization, corruption and inefficiency in government, and the growth of

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[1]Hazel Davis, "Evolution of Current Practices in Evaluating Teacher Competence," Contemporary Research on Teacher Effectiveness, eds.: Bruce J. Biddle and William J. Ellena (New York: Holt, Rinehart and Winston, 1964), p. 43.

cities. As a result, business and industrial practices influenced the demand for public schools to be organized and operated in a more business-like way.[2]

Scientific management, a new system of industrial management developed by Frederick W. Taylor, spread across the country.[3] Stress on efficiency accompanied the movement as it accelerated into the second decade of the twentieth century.

Related movements of the same period in education were the growth of measurement in education and the survey movement. Their obvious analogy to the emphasis on scientific management in business and industry made them more acceptable. With their emphasis on testing the efficiency of teaching, the school surveys often utilized the new standard tests. The survey movement had little influence on the testing of individual teacher efficiency. However, Davis observed:

> . . . the growing use of individual efficiency ratings for teachers seems to have been stimulated by the efficiency move- ment, by interest in educational measurements, and possibly by fear of the surveys rather than by direct use of teacher ratings by the survey teams.[4]

Rating devices became prevalent in some of the large city school systems. As early as 1896, Milwaukee had a device for rating

[2]Raymond E. Callahan, Education and the Cult of Efficiency (Chicago: The University of Chicago Press, 1962), pp. 1-18.

[3]Frederick W. Taylor, The Principles of Scientific Management (New York: Harper and Row, 1911), pp. 19-74.

[4]Davis, op. cit., p. 45.

public school teachers on unclassified traits.[5] Other large systems rated teachers with numerical efficiency grades.

Davis described another rating device, the "Provisional Plan for the Measure of Merit of Teachers," which was developed in 1910 by E. C. Elliott, professor at the University of Wisconsin.[6] It was a score card with seven headings: physical efficiency, social efficiency, administrative efficiency, dynamic efficiency, projected efficiency, moral-native efficiency, and achieved efficiency. The maximum value for all the subitem totals was one thousand points. The plan was to help the individual teacher in self-assessment and to help promote supervisor and teacher cooperation.

A further connection between personnel rating movements in industry and government and teacher rating was observed with the introduction of Rugg's rating device for teachers in 1920. Rugg had worked with Scott in developing the man-to-man scale for army officers.[7] No significant identification of evaluation plans in education "with employee rating in business and in the federal government" was apparent for the next four decades.[8]

Around 1960, the influence of evaluation methods used in industry and government again became apparent in education. The critical

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[5]Ibid., p. 47.
[6]Ibid.
[7]Ibid., p. 47-48.
[8]Ibid., p. 48.

incident method, described in Chapter II, was adapted to teacher

evaluation procedures in some school systems. The method was

originally developed by the United States Air Force.[9] Another

method of evaluation, the forced-choice technique, was adopted by

some school systems during the 1960's. Originally, it was developed

to evaluate the performance of officers in the United States Army but

was later adopted by some industries.[10] A description of the forced-

choice technique appears in Chapter II also.

Spencer developed the thesis that the accountability movement

"sweeping through the American education scene" with its emphasis on

authority and responsibility is an aspect of classical organization

theory.[11] He further maintained that the systematic observation

movement wherein teacher behavior is increasingly being observed,

classified, and analyzed is a manifestation of the idea that schools

and the educators who manage them should be responsible and answerable,

or accountable, for student learning.

A new kind of professional evaluation that is different from

the traditional "ratings", which had as their main purpose providing a

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[9]W. K. Kirchner and R. B. Dunnette, "Using Critical Incidents to measure Job Proficiency Factors," Personnel, Vol. 34, No. 2 (March-April, 1957), pp. 54-59.

[10]Dale S. Beach, Personnel: The Management of People at Work (New York: The Macmillan Company, 1970), pp. 320-321.

[11]Ralph L. Spencer, "Accountability as Classical Organization Theory," Emerging Patterns of Administrative Accountability, ed.: Lesley H. Browder, Jr. (Berkeley, California: McCutchan Publishing Corporation, 1971), pp. 81-84.

basis for retaining or dismissing personnel before they achieved

tenured status, has emerged.[12] The focus on the educational process

in relation to goals set and results obtained is called performance

evaluation. Educational improvement through planning based on

analysis and evaluation is its main purpose.

The performance approach completes the evaluation cycle which

began in the early decades of the twentieth century with the increased

interest of industry and government in job evaluation and analysis of

job components in order to arrive at wage scales. With the shift to

evaluating people, the term "merit rating" came into use.[13] Behav-

ioral scientists influenced the next step. The study of personality

traits and psychological testing became prominent. Finally, the idea

developed that all the factors involved in a job had an important part

in improving performance. The growth and development of individual

employees became important. This was closely related to the interest

in formal management development programs. Systematic evaluation

became an integral part of an effective development program.[14]

Criticism of the rating scales approach in education accele-

rated. The Commission on Public School Personnel Policies in Ohio

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[12]Harold R. Armstrong, "Performance Evaluation," _National_
Elementary Principal, Vol. LII, No. 5 (February, 1973), p. 51.

[13]Beach, op. cit., pp. 309-310.

[14]Armstrong, op. cit., p. 52.

termed the rating scales approach to evaluation "a futile attempt to find a simplistic solution to a complex problem."[15]

Evaluation in education has had a difficult time getting away from the rigid ideas used by teachers in evaluating students and the limited scope of evaluating for decisions regarding probationary personnel. The idea of using evaluation as an improvement force with beneficial results for all concerned with education is fairly new.[16]

The thrust in evaluation today is away from the negative approach of identifying incompetent teachers for dismissal to the positive one of "identifying weaknesses and strengths so that the former can be corrected and the latter reinforced."[17] The Education U. S. A. report Evaluating Teachers for Professional Growth stated:

> Most educators welcome the thrust toward a positively oriented evaluation procedure. Practicing administrators, however, cannot blink away the fact that there still must be some procedure for identifying and eliminating incompetent teachers who persist in remaining incompetent. Consequently, today many districts attempt to design teacher evaluation procedures that accentuate the positive while retaining aspects of the negative. Because teachers bristle at any suggestion of evaluation for the purpose of dismissal, some districts go to great pains to separate the idea of evaluation for improvement from the idea of evaluation for dismissal.[18]

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[15]Armstrong, op. cit., p. 52.

[16]Education U. S. A. Special Report, Evaluating Teachers For Professional Growth (Arlington, Virginia: National School Public Relations Association, 1974), p. 8.

[17]Ibid., p. 9.

[18]Ibid.

In the context of performance evaluation the trend is to

extend teacher evaluation to include the work performed by all pro-

fessional personnel. Although the chief focus in evaluation has been

on the teaching act, administrative functions are being increasingly

emphasized in evaluation systems.[19] Davis commented, "Evaluative

standards for administrators would seem to be a prerequisite to sound

teacher evaluation."[20]

PURPOSES AND USES OF EVALUATION

Regardless of the fact that teacher evaluation is only one

approach to improving instruction, Medley stated that the best way to

improve instruction is to improve teaching, and the only way to improve

teaching is to change teacher behavior. He stressed that if instruction

is to improve, it has to change. According to Medley, if teachers are

evaluated on their ability to change, they will change. Further, if

the changes reflect approaches that theory, research, or judgment

indicate are very likely to succeed, then the changes will "result in

overall improvement of instruction."[21]

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[19]Educational Research Service, American Association of
School Administrators and NEA Research Division, Evaluating Administrative/
Supervisory Performance, ERS Circular No. 6, 1971 (Washington: Research
Division, National Education Association, 1971), p. 1.

[20]Davis, op. cit., p. 66.

[21]Donald M. Medley, "A Process Approach to Teacher Evaluation,"
National Elementary Principal, Vol. LII, No. 5 (February, 1973), p. 35.

McNally arranged the variety of purposes often stated for
teacher evaluation into two broad categories: administrative purposes
and instructional purposes. The two are different, but they are related
and can be compatible. For administrative purposes, teacher evaluation
may provide information for many kinds of administrative decisions,
including those concerning tenure, salary increases in merit plans, and
teacher assignments, transfers, dismissals, or promotions. Evaluation
for instructional purposes has as its main function the improvement
of the teaching-learning situation in the school and classroom
instruction in particular. If the latter is carried out well, it
should provide a sound basis for administrative decisions. Thus, the
logical conclusion would be "that the primary purpose of a teacher
evaluation program should be the improvement of teaching and learning
in a school."[22]

Teacher evaluation should be just as integral a part of the
continuous program of improving the quality, variety, and effectiveness
of the learning experiences in the classroom as evaluation of students'
progress is. A good teacher evaluation program which has been designed
to contribute to the improvement of the school can also be designed so
as to yield the necessary information for administrative evaluations
as well.[23]

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[22]Harold J. McNally, "What makes a Good Evaluation Program,"
National Elementary Principal, Vol. LII, No. 5 (February, 1973),
p. 24.

[23]Ibid., p. 29.

In a 1971 survey of teacher evaluation, the overwhelming response indicated that the purpose of evaluation was "to stimulate improvement of teacher performance." Decisions concerning reappointment and dismissal of probationary teachers ranked second and third.[24]

The most important use of performance evaluation, according to McKenna, should be for staff development. After performance inadequacies are identified, he stressed that massive inservice activities should be tailored "to respond to specific evaluation findings."[25] The resulting actions taken after evaluation would make the process worthwhile.

The six major purposes for evaluation of administrative and supervisory personnel, according to the 1971 survey by the Research Division of NEA, were to identify areas needing improvement, to assess present performance in accordance with prescribed standards, to establish evidence for dismissal, to help evaluatee establish relevant performance goals, to have records to determine qualifications for promotion, and to determine qualifications for permanent status.[26]

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[24]Educational Research Service, American Association of Schools Administrators and NEA Research Division, Evaluating Teaching Performance, ERS Circular No. 2, 1972 (Washington: Research Division, National Education Association, 1972), pp. 1-2.

[25]Bernard H. McKenna, "A Context for Teacher Evaluation," National Elementary Principal, Vol. LII, No. 5 (February, 1973), p. 23.

[26]Educational Research,Service, Evaluating Administrative/ Supervisory Performance, pp. 2-3.

Evaluation can help identify the positive elements in the teacher-student relationship. Pierce and Smith agreed that the critical aspect in the education of all children is the teacher-student relationship. Any lasting effect on the learner from his educational experiences, they indicated, was dependent on the teacher.[27]

The importance of teaching performance as an end in itself is well illustrated, according to McKenna, by the fact that students typically spend as many waking hours in school for twelve years of their lives as they do in any other activity. Considering this, he believed that "the process of schooling should be a wholesome, rewarding experience in full living, whether or not it can be demonstrated to result in specific learning outcomes."[28]

EVALUATORS

Traditional evaluation programs in the public schools usually follow the general pattern used in business, industry, and the federal government of designating the individual's immediate superior as the person most competent to conduct evaluations.

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[27]Wendell Pierce and Ronald Smith, "Evaluation -- Should Be A Welcomed Experience," Instructor, Vol LXXXIII, No. 8 (April, 1974), p. 34.

[28]Bernard H. McKenna, "Teacher Evaluation-Some Implications," Today's Education, Vol. 62, No. 2 (February, 1973), p. 56.

There appears to be a general consensus that the principal

is the appropriate person to evaluate teachers. Davis said that

"where there is a supervising principal, he is almost always the

chief evaluator of his teachers."[29]

Heald also agreed that evaluation is an aspect of the

principal's role. He stated:

> The evaluation aspect of supervision has largely come to
> reside with the principal's office, for it is from this office
> more than any other that recommendations must come for reemploy-
> ment, tenure, salary, and promotion. [30]

The Research Division of the NEA undertook a new survey of

teacher evaluation in 1971. The principal was designated the sole

evaluator responsible for completing the final evaluation form in

seventy percent of the systems reporting. Only one of the reporting

systems used teachers in the evaluation of other teachers.[31]

McNally observed that how a principal evaluates teachers

depends to a large extent upon his administrative style which is a

function not only of what he knows, but primarily of what he is.[32]

Other writers indicated that "over-all administrative opinion"

constitutes "the most widely used single measure of teacher competence."

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[29]Davis, op. cit. pp. 42-43.

[30]James E. Heald, "Supervision," Encyclopedia of Educational
Research, 4th ed. (New York: The Macmillan Company, 1969), p. 1394.

[31]Educational Research Service, Evaluating Teaching Performance,
pp. 3-4.

[32]McNally, op. cit., p. 29.

They further observed that available studies showed that, in general,
"teachers could be reliably rated by administrative personnel."[33]

The concept of evaluation by the immediate superior is extend-
ed to the realm of administration. The Research Division of the NEA
reported in Evaluating Administrative Performance, published in 1968,
that the most common practice was for each administrator to be
evaluated by his immediate superior. There were some deviations in a
few systems. For example, the superintendent in some smaller systems
was the evaluator of all administrative and supervisory personnel.
There were a few systems that used two administrators as evaluators.
One system had a person hired just to visit schools throughout the
year "to assist and evaluate principals."[34]

Despite the problems of time, money, and training, a few
systems are experimenting with the use of multiple evaluators. Other
individuals or groups within and outside the schools are used as input
for the evaluation of school personnel. An individual may be assessed
"by a committee of superiors, peers, subordinates, students, and parents,"

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[33]William J. Ellena, Margaret Stevenson, and Harold V. Webb,
Who's a Good Teacher? (Washington: American Association of School
Administrators, 1961), p. 32.

[34]Educational Research Service, American Association of School
Administrators and NEA Research Division, Evaluating Administrative
Performance, ERS Circular No. 7, 1968 (Washington: Research Division,
National Education Association, 1968, p. 2.

or he can be evaluated by one or all of the groups.[35] The results are given some consideration in the final evaluation of the administrator or teacher.

Redfern commented that client-centered evaluation adds a new concept to the traditional approach to assessing performance. "It provides inputs from those whom we guide, teach, lead, and benefit, or in other words, those for whom we truly work."[36]

EVALUATION METHODS AND TOOLS

Medley emphasized that teacher evaluation should be based on assessment of the process of teaching rather than on the product. Teacher competence, he indicated, must be evaluated according to how effective the teacher is in helping pupils learn. If the evaluation program does not improve the instruction in the school, Medley saw no reason for its existence.[37] He further noted two basic strategies for improving instruction in a school by using teacher evaluation. They are a weeding out approach and an upgrading approach.

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[35]National Education Association, Research Division, "New Approaches in the Evaluation of School Personnel," NEA Research Bulletin, Vol. 50, No. 2 (May, 1972), p. 42.

[36]George B. Redfern, "Client-Centered Evaluation," Article No. 6, ed. William J. Ellena, Proposals for Progress: Promise and Performance (Washington: American Association of School Administrators, 1972), p. 24.

[37]Medley, "A Process Approach to Teacher Evaluation," pp. 33-35.

The process approach to teacher evaluation, as cited by Medley, included these characteristics: (1) it is based on change, growth, and improvement in teaching; (2) its goals are individualized; (3) the criteria are agreed on beforehand by evaluator and evaluatee; and (4) it is "accompanied by a program of product assessment of the effectiveness of the school as a whole."[38] When product assessment is used alone, pupil achievement gains are the tools used to determine ineffective teaching.

Two major and very different kinds of evaluation, according to Howsam, are formative and summative. The purpose of formative evaluation is "to continually fashion and refashion behavior in such a way as to achieve objectives."[39] Summative evaluation is terminal. It is the finality, the conclusion of an act or process. Howsam stressed that evaluation processes in education should "emphasize the formative and attempt to ensure that the necessary summative processes interfere as little as possible with the formative."[40] Controversy exists between teachers who want formative evaluation for the improvement of instruction and administrators who want formative plus summative evaluation to aid in decisions concerning retaining or dismissing personnel.

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[38]Ibid.

[39]Robert B. Howsam, "Current Issues in Evaluation," National Elementary Principal, Vol. LII, No. 6 (February, 1973), p. 13.

[40]Ibid.

Eleven characteristics of a well-conceived program of teacher evaluation have been identified by McNally. They are:

1. The purposes of the evaluation program are clearly stated in writing and are well known to the evaluators and those who are to be evaluated.

2. The policies and procedures reflect knowledge of research related to teacher evaluation.

3. Teachers know and understand the criteria by which they are evaluated.

4. The evaluation program is cooperatively planned, carried out, and evaluated by teachers, supervisors, and administrators.

5. The evaluations are as valid and as reliable as possible.

6. Evaluations are more diagnostic than judgmental.

7. Self-evaluation is an important objective of the program.

8. The self-image and self-respect of teachers are maintained and enhanced.

9. The nature of the evaluations is such that it encourages teacher creativity and experimentation in planning and guiding the teaching-learning experiences provided for children.

10. The program makes ample provision for clear, personalized, constructive feedback.

11. Teacher evaluation is seen as an integral part of the instructional leadership role of the principal and of the program of inservice teacher development.[41]

Ryans concluded that the criteria for evaluating teaching should be in terms of teacher behaviors that are predetermined and derived from a value system based on desired outcomes. He observed

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[41]McNally, op., cit., pp. 24-29.

that pupils, evaluators, and administrators consider quite different attributes in conceptualizing the competent teacher.[42]

Competence in teaching is still considered by many to be a difficult and complex process to evaluate. Hunter disregarded that view. She maintained that teaching competence "can be evaluated with consistent accuracy" with what she calls the Teacher Appraisal Instrument. The TAI works with any teacher, in any situation, and in only a short time according to Hunter.[43]

The eleven crucial decisions that a good teacher is skilled at making were factored out by Hunter through "a decade of studying teacher behavior and sifting through the abundant literature on the subject."[44] The techniques are taught in her teacher-training programs scattered throughout California.

Hunter's contention that,in order to be effective, "teachers must focus only on their own and their students' behavior" runs into opposition from those who believe that teaching is "a long-term process of inspiration and a subtle transmission of values".[45]

Bhaerman presented a strong case against merit pay for teachers. He maintained that teachers do not fear evaluation, that they, in fact,

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[42]David G. Ryans, Characteristics of Teachers (Washington: American Council on Education, 1960), pp. 368-398.

[43]Henry S. Resnik, "Madeline Hunter: Eleven Crucial Teaching Decisions," Learning, Vol. 3, No. 4 (December, 1974), p. 24.

[44]Ibid.,pp. 24-28.

[45]Ibid., p. 29.

approve of evaluation as a process of analysis and assessment for constructive, diagnostic purposes but never for merit pay. Further, Bhaerman said that many teachers have voiced the opinion that "the hierarchy in differentiated staffing is an updated version of merit pay that can only weaken, divide, and upset teacher morale and unity."[46]

The characteristics of an effective teacher or administrator must be determined and agreed on by local school personnel. Districts differ in the selection of characteristics, but most attempt to assess teacher-pupil relationships, classroom management and procedure, staff relationships, community relationships, professional attributes, and professional growth.[47]

A data-gathering technique using an in-basket plan is a procedure "which can produce credible evidence" of an administrator's or a teacher's performance.[48] A file is kept for each individual to be evaluated. Into the file, superiors place information about incidents which may affect the individual's evaluation. The file might contain "summaries of classroom observations, statements of supervisory help given, transcripts of courses taken, records of awards received,

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[46]Robert D. Bhaerman, "Merit Pay? No!" National Elementary Principal, Vol. LII, No. 6 (February, 1973), pp. 63-68.

[47]Education U. S. A., Evaluating Teachers for Professional Improvement, p. 11.

[48]National Education Association, "New Approaches in the Evaluation of School Personnel," p. 43.

letters documenting complaints by parents, notes on participation in committee work," and details of other situations which the evaluator thinks are pertinent.[49]

Historically, student accomplishment has not been used as a means of evaluating teachers, principally because of the difficulties involved. However, the accountability movement has brought renewed interest in setting and attempting to attain specific goals for students. That using measurements of student progress to evaluate teachers is still controversial is indicated by educators who cite "the magnitude of the task of establishing standards of expected student progress, the danger of freezing teachers into a rigid mold to conform to the standards, and the necessity to take into account other factors which influence student progress."[50]

In 1971 the Educational Research Service initiated surveys of administrative and teacher evaluation procedures. The responses indicated that a few school systems are experimenting with some new evaluation methods in the hope of arriving at some solutions to the weaknesses in traditional evaluation systems.[51]

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[49]Ibid.

[50]Education, U.S.A., _Evaluating Teachers for Professional Growth_, p. 12.

[51]National Education Association, "New Approaches in the Evaluation of School Personnel," p. 42.

The two general types of evaluation procedures used in evaluating administrative and supervisory personnel, according to the 1971 survey, were assessment of the evaluatee against prescribed performance standards, and assessment on individually set job targets or performance goals.[52]

The survey conducted in 1971 on Evaluation of Teaching Performance reported the majority of the responding school systems based evaluation on a comparison of a teacher's performance against prescribed standards for all teachers. The report noted that a growing number of districts were utilizing the job targets approach.[53]

Literature in the area of superintendent evaluation is sparse. There is a growing trend to develop evaluation forms and guidelines for evaluation of the superintendent.[54] The job targets approach is one procedure.

The job targets approach to evaluation is borrowed from industry. Patton recommended evaluation of executive performance by establishing annual targets that are implicit in the job and judging performance in

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[52]Educational Research Service, Evaluating Administrative/ Supervisory Performance, pp. 6-8.

[53]Educational Research Service, Evaluation of Teaching Performance, p. 6.

[54]Educational Research Service, American Association of School Administrators and NEA Research Division, Evaluating the Superintendent of Schools, ERS Circular No. 6, 1972 (Washington: Research Division, National Education Association, 1972), pp. 1-4.

terms of the targets. He believed that the specific task of goal-setting should be a joint project involving the individual executive and at least one administrative superior.[55]

There are many types of performance evaluation techniques in use in business, industry, government, and education today. They are given labels such as "management by objectives", "job targets", and "appraisal by results".[56]

The Redfern approach has emerged in education after two decades of experimentation and discussion.[57] It is an evaluative cycle of six steps. At the beginning of the cycle each person involved in evaluation examines the job he performs. He sits down with his evaluator and they select a few specific areas where special effort will be made to improve the performance level. Near the end of the period, they review what has been accomplished. They discuss the self-evaluation and the evaluator's appraisal. Finally, they analyze and decide what further action to take.

Voluntary self-appraisal or required self-evaluation are used as part of the evaluation program in some districts. The instructional

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[55]Arch Patton, "How to Appraise Executive Performance, "Harvard Business Review, Vol. 38, No. 1 (January-February, 1960), pp. 63-70.

[56]The Concept of Management by Objectives was originated by Peter Drucker in The Practice of Management (New York: Harper and Row, 1954).

[57]George B. Redfern, How to Evaluate Teaching, A Performance Objectives Approach (Worthington, Ohio: School Management Institute, 1972), pp. 10-39.

mini-lesson, microteaching, interaction analysis, and other devices
are approaches that have been used for individual teacher assessment.

VARIATIONS IN EVALUATION

There are many variations among the states in their approaches
to the evaluation of public school personnel. Several of these are
described in detail in Chapter V. Some variations in evaluation
programs found in individual school systems are analyzed in Chapter VI.

PROBLEMS IN EVALUATION

There are problems associated with personnel evaluation
programs in the public schools. One source of difficulty is the lack
of trained evaluators. Popham asserted that a careful review of
teacher competence research and current studies related to education
in general is "mandatory for any first rate evaluator."[58] Systems
encounter problems with time, money, and training of evaluators.

Systematic observational schemes have proliferated in the
past decade. Popham noted, "A few years ago when someone attempted
to assemble all of the popular classroom observational schemes it
took not one, but two large volumes" to contain them.[59] Information

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[58]W. James Popham, "Pitfalls and Pratfalls of Teacher
Evaluation," Educational Leadership, Vol. 32, No. 2 (November, 1974),
p. 142.

[59]Ibid., p. 143.

about observational techniques has not been broadly disseminated and opportunities for learning the skills necessary to use the instruments have been few.[60]

Procedures used in some evaluations have flaws in them. Poor measurement procedures may include bias, prejudice, or poor judgment; subjective ratings and classifications; out-of-classroom personality influence on measurement of in-classroom behavior; attempts to measure too many elements; tendency to continue a prior viewpoint of a person's performance; consistent overevaluation or underevaluation; and inconsistency of reaction to behavior.[61]

According to Lieberman emphasis upon who evaluates instead of the criteria and procedures for evaluation could lead teachers and administrators into a stalemate. He emphasized that evaluation is management's responsibility and under no circumstances should peer evaluations be accepted if the evaluations are included in the personnel files of teachers being evaluated.[62]

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[60]Dale L. Bolton, Teacher Evaluation, PREP report No. 21 (Washington: U. S. Department of Health, Education and Welfare, 1970), pp. 20-22.

[61]Ibid., p. 12.

[62]Myron Lieberman, "Should Teachers Evaluate Other Teachers?" School Management, Vol. 16 (June, 1972), p. 4.

Management by objectives is especially difficult to use in education, according to Kleber, because the output is difficult to measure quantitatively and because the managers "are professionals who may have little managerial experience and/or expertise."[63] The main problem in measuring teachers by results lies in the problem of evaluating results. The difficulty is "learning how to manage intangibles or hard-to-measure output."[64]

Some states have had difficulty in getting their proposed state evaluation plans accepted. For example, Hawaii's Performance Improvement Program, PIP, has been rejected by the teacher's union.[65] The proposed evaluation plan is very similar to the Civil Service Commission's policies and procedures set forth for the agencies' use in implementing performance evaluation in the government.

Although many school systems have adopted some part of industry's management by objectives, or management by results, when implementing their evaluation systems, Combs insisted that a humanistic approach is needed to turn the emphasis away from

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[63]Thomas P. Kleber, "The Six Hardest Areas to Manage by Objectives," Personnel Journal, Vol. 51, No. 8 (August, 1972), pp. 571-573.

[64]Ibid., p. 574.

[65]Hawaii Department of Education, Performance Improvement Program (Honolulu: Department of Education, 1971), pp. 1-24.

total reliance on behavioral objectives models and the application

of industrial thinking to school problems.[66]

Before educators move too far in the direction of unquestioned

acceptance of the principle of accountability based on performance

criteria, Small suggested that they reflect upon the English

experience with accountability in the Victorian Age. The Newcastle

experiment overlooked human variability in "exhorting the virtues of

payment by results."[67]

TRENDS AND PERSPECTIVES

Efforts to find improved means and methods of evaluating

public school certificated school personnel have resulted from the

thrusts of the social, political, and economic pressures of the time.

Educators are beginning to take a long hard look, from within and from

without school systems, at the philosophy and methods of evaluating

the performance of public school personnel.

The trend in school personnel evaluation is away from the

negative approach of identifying incompetents for dismissal toward the

positive approach of improving instruction by improving personnel.

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[66]Arthur W. Combs, Educational Accountability: Beyond
Behavioral Objectives (Washington: Association for Supervision
and Curriculum Development, 1972), pp. 4-9.

[67]Alan A. Small, "Accountability in Victorian England,"
Phi Delta Kappan, Vol. LIII, No. 7 (March, 1972), pp. 438-439.

Also, teacher involvement in the establishment of evaluation programs is increasing. Clauses on teacher evaluation are being negotiated into contracts between school boards and teacher organizations. Tenured teachers are now being evaluated formally.

The traditional post-performance evaluation procedures and classroom observations are being supplemented by narrative written evaluations and evaluatee-evaluator conferences. In general, the focus is shifting to more evaluation of results and less evaluation of teaching methods and teacher traits. Objectives, mutually determined by the evaluatee and evaluator, are becoming the basis for many evaluations. Evaluations by peers and clients are increasing although the principal is still the chief evaluator of teachers in most instances.

Although there is some disagreement concerning methods and instruments of evaluation, most writers agree that the districts with the most successful results will be those which have joined in critical analysis of their goals, set their time schedules, determined the procedures, designed an instrument to fit the procedures, and developed the purposes for evaluation. The specific procedures may differ from state to state and from one individual district to the next. In general, there is agreement that four specific steps are necessary in any procedure: the preevaluation conference, evaluation, the postevaluation conference, and follow up action.

SUMMARY

The review of the literature in this chapter indicated that personnel evaluation in the public schools is a necessary component of educational accountability regardless of the lack of consensus on the subject of evaluation. The influence of personnel evaluation methods used in industry and government on educational personnel evaluation was observed. In turn, the difficulty and complexity of evaluating the performance of school personnel, especially teachers, was apparent. Further, there were indications that new approaches and new emphases in evaluation are emerging.

CHAPTER V

AN EXAMINATION OF PERFORMANCE EVALUATION
STANDARDS AND PRACTICES FOR PUBLIC
SCHOOL CERTIFICATED PERSONNEL IN
EIGHT STATES, 1973-1974

The public concern for evaluation of the performance of teachers
and administrators has increased in recent years. Each year more and
more states react to the evaluation issue. Some states have done so
through legislative action. Other states have adopted performance
evaluation measures as part of fair dismissal laws. In other states
individual districts or systems have developed evaluation programs
because of recommendations from state boards of education. Many states
have had improvement of school services by all administrative, supervi-
sory, and instructional personnel as their purpose for mandating or
recommending the development of performance evaluation programs.

The Education Commission of the States reported at the end of
1974 that only eighteen states had not as of that date adopted some form
of accountability legislation. They are: Alabama, Delaware, Idaho,
Kentucky, Louisiana, Maine, Minnesota, Mississippi, Missouri, Montana,
New Hampshire, North Carolina, North Dakota, South Carolina, Tennessee,
Vermont, West Virginia, Wyoming, and the District of Columbia.[1]

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[1]National Association of Elementary School Principals, "Who's
Accountable", Spectator, Winter, 1974-1975, p. 3.

In the thrust to establish evaluation programs for certificated public school personnel, each state brings to the issues involved in performance evaluation its own unique needs and its own proposals to solve the problems associated with performance evaluation. In each instance, the evaluative techniques and practices vary, depending upon objectives, needs, and priorities.

The performance appraisal standards and related administrative practices for North Carolina and seven other states are examined in this chapter: Washington, South Dakota, Florida, Oregon, Tennessee, New Mexico and Maryland. The states have approached the evaluation issue in a variety of ways: North Carolina's Tenure Law requires evaluation of performance to document inadequacy in a career teacher's performance; Washington's statute calls for the evaluation of all certificated employees; South Dakota's mandated teacher evaluation came through the South Dakota Teachers Professional Practices Act; Florida has one of the earliest laws governing the evaluation of all personnel; Oregon mandates annual performance evaluation for all instructional personnel in school districts with over 500 students; Tennessee requires "accepted personnel evaluation procedures" as a criteria for approval of schools; New Mexico has a State Board of Education regulation that governs dismissal of teachers; and Maryland has State Board guidelines for the evaluation of probationary teachers.

NORTH CAROLINA

North Carolina does not evaluate the performance of certificated public school personnel from the state level; such evaluation is conducted at the local level. North Carolina has a tenure law which requires that specific procedures shall be carried out before a career teacher can be dismissed or demoted on the basis of inadequate performance.

The fair employment and dismissal bill entitled "An Act to Establish an Orderly System of Employment and Dismissal of Public School Personnel" was approved by the 1971 General Assembly and amended by the 1973 Assembly. Better known as the North Carolina Teacher Tenure Act, General Statute 115-152 spells out a detailed procedure for dismissing a teacher.[2] It also provides due process for the teacher and insures that a teacher evaluation, which was not required in the past, will be conducted annually.

The tenure statute defines a teacher as a person who holds:

> . . . at least a current, not expired Class A certificate or a regular, not provisional or expired, vocational certificate issued by the State Department of Public Instruction: whose major responsibility is to teach or directly supervise teaching or who is classified by the State Board of Education or is paid as a classroom teacher; and who is employed to fill a full-time, permanent position.[3]

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[2] North Carolina General Statute 115-142.

[3] Ibid., 116-153 (a) (9).

Under the tenure statute, teachers who have been employed in a school system for three consecutive years attain career status if employed for a fourth year.[4] Superintendents, associate superintendents, assistant superintendents, and other school employees who do not teach or directly supervise teaching or who are not paid or classified as classroom teachers by the State Board of Education are excluded from career status.[5] Administrative tenure is thus applicable only to principals and supervisors of the instructional program.

On the basis of the tenure statute, a career teacher is no longer subject to the requirement of annual reappointment. A career teacher cannot be dismissed or demoted by the board of education except for reasons enumerated in the statute and only then by following detailed dismissal procedures. All teachers who are not career teachers are probationary teachers and are subject to annual reappointment.

The tenure statute requires each North Carolina school superintendent to maintain in his office a personnel file for each teacher. Any entry in the file must be signed by the person making such entry. The teacher must have full knowledge of the entry and the opportunity to attach a denial or explanation. The personnel file shall be open to the teacher at reasonable times. Further, the teacher must be given notice of any inadequacy in his performance and the opportunity to improve the

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[4]Ibid., 115-142 (c) (2).

[5]Ibid., 115-142 (c) (4).

weakness.[6] To determine whether the career teacher's professional performance is adequate, the statute states:

> . . . consideration shall be given to regular and special evaluation reports prepared in accordance with the published policy of the employing school system and to any published standards of employment which shall have been adopted by the board. Failure to notify a career teacher of an inadequacy in his or her performance shall be conclusive evidence of satisfactory performance.[7]

The bases for dismissing or demoting a career teacher under the tenure statute are:

1. Inadequate performance

2. Immorality

3. Insubordination

4. Neglect of duty

5. Physical or mental incapacity

6. Habitual or excessive use of alcohol or nonmedical use of a controlled substance as defined in Article 5 of Chapter Ninety of the General Statutes

7. Conviction of a felony or a crime involving moral turpitude

8. Advocating the overthrow of the Government of the United States or of the State of North Carolina by force, violence, or other unlawful means

9. Failure to fulfill the responsibilities imposed upon teachers by the General Statutes of this State

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[6]Ibid., 115-142 (b).

[7]Ibid., 115-142 (e) (3).

10. Failure to comply with such reasonable requirements as the board may prescribe

11. Any cause which constitutes grounds for the revocation of such career teacher's teaching certificate

12. A justificable decrease in the number of positions due to district reorganization or decreased enrollment provided that subdivision (2) is complied with

13. Failure to maintain one's certificate in a current status.[8]

Though the act does not say who is to do the evaluation, according to Bryson, the act "legislates the principal into becoming the instructional leader in the school." Further, it "gets the principal out of the office and into the classroom where he has always belonged," he emphasized.[9]

To comply with the tenure statute, school boards found it necessary to adopt three types of regulations: regulations governing the board's procedure at the dismissal hearing, regulations governing public access to the teacher's personnel file, and regulations providing for teacher evaluation procedures if the school sought to dismiss or demote a teacher on the basis of performance.[10]

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[8]Ibid., 115-142 (e) (1).

[9]Joseph E. Bryson, "Teacher Evaluation 1972-73 Style," North Carolina Education, Vol. III, No. 3 (November, 1972), p. 9.

[10]Robert E. Phay, Teacher Dismissal and Nonrenewal of Teacher Contracts (U.N.C. Chapel Hill: Institute of Government, 1972), pp. vi-vii.

In addition to the tenure statute, other statutes pertaining to the duties of school personnel have pertinent bearing upon personnel evaluation programs in North Carolina. The expected performance of teachers generally is found in GS 115-146:

> It shall be the duty of all teachers, including student teachers, substitute teachers, voluntary teachers, teachers' aides and assistants when given authority over some part of the school program by the principal or supervising teacher, to maintain good order and discipline in their respective schools; to encourage temperance, morality, industry, and neatness; to promote the health of all pupils, especially of children in the first three grades, by providing frequent periods of recreation, to supervise the play activities during recess, and to encourage wholesome exercises for all children; to teach as thoroughly as they are able all branches which they are required to teach; to provide for singing in the school, and so far as possible to give instruction in the public school music; and to enter actively into the plans of the superintendent for the professional growth of the teachers.[11]

The duty and authority of North Carolina principals generally is found in GS 115-150:

> The principal shall have authority to grade and classify pupils and exercise discipline over the pupils of the school. The principal shall make all reports to the county or city superintendent and give suggestions to teachers for the improvement of instruction. It shall be the duty of each teacher in a school to cooperate with the principal in every way possible to promote good teaching in the school and a progressive community spirit among its patrons.[12]

In addition, the state statutes spell out the principal's duty concerning fire drills and fire hazards.

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[11] North Carolina General Statute 115-146.

[12] Ibid., 115-150.

The implementation of evaluation programs for public school personnel is thus left to the discretion of the local boards of education in North Carolina. A representative sampling of performance evaluation procedures utilized in North Carolina school systems during 1973-1974 for evaluating instructional personnel are analyzed in Chapter VI.

WASHINGTON

Washington became one of the states mandating the evaluation of public school employees in 1970. Washington State statutes do not mandate the type and style of evaluation procedures, but they create the minimum parameters for local school district evaluation procedures. The statutes assure procedural due process but leave to local school boards the choice of evaluative criteria and procedures for the district.

Relevant sections of Washington State statutes mandating the responsibilities of local school districts' boards of directors in the evaluation of certificated personnel are as follows:

R.C.W.28A.58.100 (Section 1)

> Every board of directors, unless otherwise specially provided by law, shall:
> (1) Employ for not more than one year, and for sufficient cause discharge all certificated and noncertificated employees, and fix, alter, allow and order paid their salaries and compensation...

R.C.W.28A.67.065

Every board of directors, in accordance with procedure provided in R.C.W.28A.72.030, shall establish an evaluative criteria and procedures for all certificated employees. Such procedure shall require not less than annual evaluation of all employees. New employees shall be evaluated within the first ninety calendar days of their employment. Every employee whose work is judged unsatisfactory shall be notified in writing of stated areas of deficiencies along with recommendations for improvement by February 1st to April 15th for the employee to demonstrate improvement.

R.C.W.28A.58.450

Every board of directors determining that there is probable cause or causes for a teacher...to be discharged or otherwise adversely affected in his contract status, shall notify such employee in writing of its decision, which notification shall specify the probable cause or causes for such action.

R.C.W.28A.67.070 (Paragraph 3)

Every board of directors determining that there is probable cause or causes that the employment contract of an employee should not be renewed...shall notify that employee in writing on or before April 15th preceding the commencement of such term of that determination of the board of directors, which notification shall specify the cause or causes for nonrenewal of contract.

R.C.W.28A.72.030

Representatives of an employee organization, which organization shall by secret ballot have won a majority in an election to represent the certificated employees within its school district, shall have the right, after using established administrative channels, to meet, confer and negotiate with the board of directors of the school district or a committee thereof to communicate the considered professional judgment of the certificated staff prior to the final adoption by the board of proposed school policies relating to, but not limited to, curriculum, textbook selection, in-service training, student teaching programs, personnel, hiring and assignment

practices, leaves of absence, salaries and salary schedules and noninstructional duties.[13]

The Northwest Principals' Association Extern Program in Washington State prepared a manual containing guidelines to assist local school districts in developing evaluative criteria and procedures. The guidelines were revised April 1, 1975, and issued by the Superintendent of Public Instruction, Dr. Frank B. Brouillet. The guidelines and model employ traditional evaluation processes but imply that more sophisticated evaluation systems are being developed and field-tested.

A summary of the legal mandates for teacher evaluation, probation, and nonrenewal contains the following:

Teacher Evaluation

1. All certificated personnel must be evaluated annually and certificated personnel new to a district must be evaluated within the first ninety calendar days of employment.

2. Evaluative criteria and procedures:

   a. are subject to the negotiations statute

   b. must be a formally board-adopted policy

   c. must be applied consistently to all teachers with the district

   d. must guarantee procedural due process in application.

Probation

3. Procedures adopted for nonrenewal of a teaching contract for unsatisfactory performance must provide that the employee will be placed on probation.

4. Probationary period procedures must include:

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[13]Washington State Statutes: R.C.W.28A.58.100; R.C.W.28A.67.065; R.C.W.28A.58450; R.C.W.28A.67.070; and R.C.W.28A.72.030.

a. notice of probable cause to place certificated personnel
    on probation, opportunity to request a hearing, and a
    hearing (if requested) shall be afforded the employee
    prior to official action placing him or her on probation
    on February 1.

    (See sections 5 through 9 below since the notice and
    hearing procedures are now the same for probation and
    nonrenewal.)

b. written notice given by February 1

c. notice must state the specific areas of deficiency

d. the notice must include recommendations for improvement

e. the probationary period to April 15 must result in a
    record of activities related to counseling and evaluation
    to show a good faith effort was asserted in remediation
    of the deficiencies.

Nonrenewal Procedures

5. If the specified deficiencies contained in the notice of
    probation are not remediated during the probationary period,
    the board of directors may take action not to renew the
    teacher's contract for the following year. To do so the board
    must notify the teacher in writing by April 15 that there is
    probable cause(s) not to renew the contract.

6. The notice of probable cause(s) leading to possible nonrenewal
    must not state or imply that the board of directors has already
    made its final decision. The notice must specifically indicate
    the reasons for possible nonrenewal action, and must be served
    to the employee in person or by certified or registered mail,
    return receipt requested.

7. Should a teacher wish to contest nonrenewal action, that
    employee must file in writing with the chairman or secretary
    of the board of directors, within ten days of receipt of the
    notice, a request for an open or closed hearing before the
    board to determine sufficiency of causes.

8. Upon receipt of such request, the board of directors or its
    hearing officer must grant a hearing within ten days, so
    notifying the employee of the time, date, and place of the

hearing in writing and at least three days prior to the
hearing.

9. Within ten days of the hearing the board of directors must
notify the employee of its final decision to renew or not
renew the employee's contract for the ensuing year. Only
those board members who attended the entire hearing are
eligible to participate in the decision.[14]

The suggested policy for local school district evaluation of
teachers proposes the following steps in the evaluation process:

1. A pre-observation conference with each teacher,

2. A minimum of three (3) observations, and

3. A post-observation report to be completed by the evaluator

   and provided the teacher prior to

4. A post-observation synopsis is written by the evaluator and

   the evaluatee.[15]

Sections are also included in the guidelines which clarify the

evaluative criteria and probationary period procedures. If a teacher

receives an unsatisfactory performance synopsis at the first post-

observation conference, a second evaluation procedure shall be conducted

and completed by mid-year. Should the second evaluation synopsis

demonstrate unsatisfactory performance, the teacher may be placed on

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[14]Don Gilbert and Larry Swift eds. , Guidelines for Local School
District Development of Teacher Evaluation Criteria and Procedures, Issued
by Frank B. Brouillet, Superintendent of Public Instruction, Olympia,
Washington (rev. Bellingham, Washington: Northwest District Principal's
Association Extern Program, April 1, 1974), pp. 9-11.

[15]Ibid., p. 16.

probation by the school board. The teacher must receive by February 1 "written notice of probation including stated areas of deficiencies, recommendations for improvement, and a copy of the district's policy regarding the procedures to be followed during the probationary period."[16]

The suggested evaluative criteria for evaluating teachers in the Washington State guidelines are process-oriented and rely heavily on observational techniques. Six major topics of evaluation elements are suggested for inclusion in local district evaluation instruments:

I. The formal teaching act

    A. Content
       1. Planning and preparation
       2. Presentation
       3. Evaluation

    B. Learning atmosphere
       1. Physical
       2. Psychological
       3. Control

    C. Student orientation
       1. Interpersonal regard
       2. Student involvement
       3. Individualized needs

    D. Personal-professional attributes
       1. Personal characteristics
       2. Professional characteristics

II. Pupil-teacher relationships outside the formal teaching act

III. Teacher relationships with parents and the general public

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[16]Ibid., pp. 23-25.

IV. Teacher relationships with other certificated and non-certificated personnel

V. Willingness of teacher to assume and performance at co-curricular assignments and other school responsibilities

VI. Teacher professionalism[17]

As a sign of the times, the Washington State guidelines include a section on suggested characteristics and criteria for a reduction in force policy to be formally adopted by a local school district board of directors in open meeting. The criteria presented in order of priority for reduction in force are attrition, program reduction or elimination, seniority, and tie breakers. The items under tie breakers are marital status and number of dependents, number of family wage earners on district payroll, date of contract, and total education.[18]

Finally, a further sign of the times is the inclusion of a section in the appendix on the "Legal Issues Related to Teacher Evaluation in Washington State Public Schools," and a section on illustrative summaries of cases wherein causes for discharge were found either sufficient or insufficient.[19]

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[17]Ibid., p. 27.

[18]Ibid., pp. 74-77.

[19]Ibid., pp. 80-109.

SOUTH DAKOTA

The South Dakota legislature mandated teacher evaluation in

1969 through the enactment of a South Dakota Teachers Professional

Practices Act. The act authorized the establishment of a Professional

Practices Commission to develop standards, criteria, and procedures for

evaluating teachers as a part of its duties. Each independent school

board must adopt a policy statement on supervision and evaluation.

Public school districts must have an evaluation program implemented

by September 1, 1975, and must report to the Division of Elementary

and Secondary Education. If school districts fail to develop their

own evaluation programs, they will be required to use a model being

developed by the Professional Practices Commission.[20]

According to South Dakota statutes, the Professional Practices

Commission, prior to January 1, 1970, is authorized and directed

> . . . to enter into a comprehensive review and evaluation of,
> and to establish and promulgate standards, criteria, and procedures
> for the evaluation of the professional performance of classroom
> teachers in the elementary and secondary schools of the independent
> school districts of the state. The Commission may provide flexible
> ways by which to judge performance adapted to varying local communi-
> ties and differences in individuals utilizing not only experience
> and academic achievements but also any other factors bearing on per-
> formance, while at the same time protecting against incompetence.[21]

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[20]Based on personal correspondence between Dr. Dick A. Stahl,
Education Staff Assistant, Division of Elementary and Secondary Education,
South Dakota Department of Education and Cultural Affairs, and the writer.

[21]South Dakota State Statute: SDCL 13-43-26, "Standards,
Criteria, and Procedures for Evaluation of and Rating of Teachers," South
Dakota Teachers Professional Practices Act, 1969.

The Professional Practices Commission issued a set of proposed

guidelines in 1972 to aid school districts in the evaluation of teaching

performance. The philosophy and objectives in the guidelines are

developed around the "job target" concept of evaluation with improve-

ment of "the evaluatee's ability to promote learning through self-

evaluation and improvement which is consistent with the philosophy

of the school district."[22]

The criteria, or performance standards, suggested by the South

Dakota Professional Practices Commission to be used by the Local Pro-

fessional Practices Committee in identifying areas in which to establish

job targets are in the following major areas; preparational competencies,

instructional skills, management ability, professional responsibility,

and personal competencies.[23]

Each individual school district determines the evaluators in

the evaluation process. The evaluatees are all members of the teaching

profession. The Local Professional Practices Committee files an annual

report on the evaluatees with the secretary of the South Dakota Profes-

sional Practices Commission on a form provided by the Commission.[24]

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[22]South Dakota Professional Practices Commission, The Proposed Guidelines for the Evaluation of Teaching Performance (rev. State of South Dakota: Professional Practices Commission, December, 1972), p. 2.

[23]Ibid., pp. 4-5.

[24]Ibid., p. 6.

The guidelines proposed by the Professional Practices Commis-
sion, though recommending the job targets concept, offer enough
flexibility to provide for different conditions within the various
districts. If the local board of education adopts no policy, the state
guidelines shall apply.[25]

FLORIDA

One of the earliest laws requiring superintendents "to establish
procedures for assessing the performance of duties and responsibilities
of all instructional, administrative, and supervisory personnel" was
enacted in 1967 in Florida.[26] The main purpose stated for performance
evaluation is to improve teaching, administering, and supervising in
the public schools.

Various evaluative instruments are used in assessing the
performance of school personnel in the school districts of Florida.[27]
They are usually created by committees of educators, approved by the
district superintendents, and filed with the state.

All personnel must be evaluated at least annually by the
superintendent, principal, or person who directly supervises the

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[25]Ibid., p. 7.

[26]Section 231.29, Florida Statutes.

[27]Based on personal correspondence between Hugh Ingram,
Administrator, Professional Practices Council, State of Florida, and
the writer.

individual. There must be a post-evaluation conference between

evaluator and evaluatee to discuss the written evaluation. A copy

of the evaluation must be filed in the county office.

The basis for charges upon which dismissal action against

instructional personnel may be pursued are   incompetency, which

includes inefficiency and incapacity; immorality; misconduct in office;

gross insubordination or willful neglect of duties; drunkenness; and

moral turpitude.[28]

The Professional Practices Council maintains a service utilizing

expert witnesses and professional reviewers who assist in confirming

deficiencies and recommending inservice training. If all reasonable

efforts to improve an individual fail, charges of professional

incompetency may be brought before the Professional Practices Council.

With a decision adverse to the individual, the tenure contract of the

individual may be cancelled and the individual dismissed.

The Professional Practices Council, an arm of the State Board

of Education and a part of the Florida Department of Education, issued

guidelines supporting the belief that teacher evaluation should be kept

separate from procedures to identify and dismiss incompetent personnel.[29]

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[28]Section 231.36, Florida Statutes

[29]Professional Practices Council, Guidelines for Dismissal for Incompetency (Tallahassee, Florida: Department of Education, February, 1970), p. 6.

The position of the Professional Practices Council is that evaluation should be a diagnostic tool to focus the assessment procedures and inservice efforts on the school system's goals and the individual's specific needs.

After an administrator has determined that an individual's performance is incompetent, he should use the Professional Practices Council's NEAT procedures as follows:

N   is for NOTICE that deficiencies exist which, if not corrected, could lead to dismissal.

E   is for complete EXPLANATION to individual concerned.

A   is for ASSISTANCE rendered to correct deficiencies.

T   is for reasonable TIME to be allowed for correction of deficiencies.[30]

The concept promoted by the Professional Practices Council of separating the teacher evaluation from procedures to identify and dismiss incompetent personnel is in agreement with the trend away from negative evaluation toward positive evaluation.

OREGON

The 1971 Oregon legislature enacted a Fair Dismissal Law in 1971 that provides for performance evaluation. The statute makes annual performance evaluation of all certificated teachers, which

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[30]Ibid., p. 7.

includes administrators, mandatory for districts with over 500 students

in average daily membership. The statute also requires the Oregon

Board of Education to develop a form for the annual evaluation. Con-

cerning evaluation the Oregon law states that:

> The district superintendent of every common and union high
> school district having an average daily membership...of more than
> 500 students in the district shall cause to have made at least
> annually an evaluation of performance for each teacher employed
> by the district in order to allow the teacher and the district
> to measure the teacher's development and growth in the teaching
> profession. A form shall be prescribed by the State Board of
> Education and completed pursuant to rules adopted by the district
> school board. The person or persons making the evaluations must
> hold teaching certificates. The evaluation shall be signed by
> the teacher. A copy of the evaluation shall be delivered to the
> teacher.[31]

The Oregon Board of Education issued to school districts

suggested guidelines for personnel policy and teacher performance

evaluation procedures. The guidelines reiterate that "a district's

evaluation program will be useful only if it is tailored to the goals

and objectives developed and accepted by the board of education and

the professional staff of that school district."[32]

In its suggested guidelines the Oregon Board of Education

advocates the adoption of minimum performance criteria for all Oregon

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[31]Oregon Laws, Chp. 570, sec. 5 (1).

[32]Oregon Board of Education, Suggested Personnel Policy Guide-
lines for School Districts: Teacher Performance Evaluation Procedures
(Salem: Oregon Board of Education, 1971), p. 1.

educators. The guide is designed to assist educators in improving

their evaluation programs by developing and adopting organized pro-

cedures for supervision and evaluation. It is important to note

the emphasis given to supervision in the guide.

> Certainly evaluation is a very necessary process in any school
> district. However, to assume also that a teacher's or administra-
> tor's competency level will automatically improve solely through
> evaluation is naive. The results of evaluations must be translated
> into an effective supervision program which, in turn, can result in
> significant improvement in performance.[33]

The form required by the Oregon Board of Education is a simple

one that gives local school districts a range of possibilites in

devising and implementing evaluation procedures. It requires the

local district to indicate five items: whether the teacher met,

failed to meet, or exceeded his performance goals and objectives during

the evaluation period, and an explanation; in which areas the teacher

showed development and growth in the teaching profession; in which

areas additional growth and development are needed, with suggestions

for improvement: additional comments; and the supervisor's recommenda-

tions. The four options for recommendations are renewal of contract,

advancement in salary, nonrenewal of contract, and no advancement in

salary. Additional recommendations may be made.[34]

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[33]Ibid.

[34]Ibid., pp. 9-10.

The Oregon state form and the local district form are both to
be used for a complete teacher evaluation "to improve the quality of
instruction."[35]

TENNESSEE

A recent Tennessee legislative resolution and Tennessee State
Board of Education action have made accepted personnel evaluation
procedures one of the criteria for the approval of schools in
Tennessee. The resolution passed in 1972 directed the Commissioner
of Education

> ...to study and develop the best possible formula for evaluating
> the compensation of elementary and secondary school teachers as
> well as determining whether or not it is desirable to retain
> teachers in our elementary and secondary educational system.[36]

The evaluation of all local professional school personnel is
a mandatory function in the criteria developed for approval of schools
by the Tennessee Board of Education.[37] The purpose of the evaluative
procedure is to improve the instructional program. Implementation
began with the annual evaluation of probationary teachers but will
include all professional personnel by the 1975-1976 school year.

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[35]Ibid.

[36]H. J. R. 227, 87th Tenn. G. A. (1972)

[37]Tennessee Board of Education, Rules, Regulations and Minimum
Standards, Part II, Section D (Nashville: Tennessee Board of Education,
1973-74), pp. 72-73.

Tenure teachers will be evaluated once every three years, most likely on a staggered basis.[38]

Self-evaluation is to be a part of the Tennessee evaluation procedure at the beginning of the school year.[39] This is to be followed by an evaluation by a designated superior. The final judgment and decision concerning evaluation results rests with the individual who will be held accountable for those decisions.

Two Tennessee laws hold implications for confidentiality of evaluation records. One law states that all records must be open to public inspection.[40] An opinion from the State Attorney General's office is to the effect that the reports and other information in a teacher's official personnel folder do not appear to be excluded.

A second law, designated the Sunshine Law, requires that any time the members of any public governing body with the authority to make decisions or recommendations to a public body on policy or administration converse to deliberate public business or to make a decision, the minutes of the meeting shall be promptly and fully recorded, and open to public inspection. Further, the meeting itself shall be open to the public.[41]

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[38]Ibid.

[39]Policies, Criteria and Procedures for Evaluating Personnel, Task Force Report, Superintendent's Study Council (Nashville: Tennessee Board of Education, 1973-74), pp. 72-73.

[40]Tennessee, T.C.A., Sec. 15-304-5.

[41]Tennessee Public Acts, chp. 442 (1974).

According to this law, any discussion of evaluative findings at a board of education meeting would have to be placed in the board minutes and made available for public inspection.

Local school systems in Tennessee have many options in developing their own evaluation procedures and forms. Those options range from the traditional to the non-traditional evaluative procedures.

NEW MEXICO

In New Mexico there is no mandated performance evaluation instrument to be used by each school district in the state. Each of the eighty-eight New Mexico school districts employs its own system of teacher evaluation. There is wide variation from district to district with regard to the forms and frequency of evaluation.[42]

Before a teacher with tenure can be terminated or any certified school instructor discharged during the term of a contract for unsatisfactory work performance, "sufficient evaluation of that person must have been made and evidenced in writing to demonstrate the unsatisfactory work performance."[43]

The New Mexico State Board of Education's Regulation No. 74-6 governs the procedures that must be followed before a teacher can be terminated or discharged for unsatisfactory work performance. The regulation requires that two or more conferences must be held between

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[42] Based on personal correspondence between C. Emery Cuddy, Jr., General Counsel, Department of Education, State of New Mexico, and the writer.

[43] Ibid.

the individual charged with unsatisfactory work performance and the

individual's immediate supervisor and any other local board designees

before notice of discharge or termination, as the case may be, is

served upon the individual.

> . . . Sufficient time shall have elapsed between the conferences
> to allow the instructor or administrator to correct the unsatis-
> factory work performance and to have been observed for an adequate
> time in the discharge of his or her duties.[44]

Written records of all conferences must be kept, "specifying

the areas of unsatisfactory work performance, all action suggested by

the school administration which might improve such performance, and

all improvements made."[45]

> . . . Each written record shall be signed by all parties in the
> conference. In the event of a refusal to sign, a notation shall be
> made of the refusal. A copy of each record shall be given to the
> person charged with unsatisfactory work performance. The local
> board shall retain a copy of the record to be introduced at any
> hearing for the person charged with unsatisfactory work performance
> conducted by the local school board.[46]

The State of New Mexico is in the process of developing a

competency based certification process which may involve more extensive

and universal evaluation processes and instruments.[47]

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[44]New Mexico Board of Education Regulation No. 74-6 (March, 1974).

[45]Ibid.

[46]Ibid.

[47]Personal correspondence, Cuddy, Jr.

MARYLAND

In general, the evaluation of certificated public school
personnel in Maryland is left to the discretion of local boards of
education. The policies and practices utilized vary somewhat from
one local school system to another.

The main interest of the Maryland State Board of Education in
cases involving tenured or non-tenured certificated personnel has
been in the provision of due process.[48]

The Maryland State Board of Education has promulgated guidelines
for the evaluation of probationary teachers. In Maryland, a probation-
ary teacher is defined as a teacher who has not completed two years of
teaching on a standard contract and thus has not achieved tenure status.[49]

The guidelines for the evaluation of probationary teachers
provides for at least four observations of the non-tenured teacher "by
the staff of each local board of education and the staff of the School
Commissioners of Baltimore City as determined by the superintendent."[50]
Each observation must be "conducted openly and with full knowledge of
the teacher for a period of time sufficient for an adequate appraisal

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[48]Based on personal correspondence between Howard C. Allison,
Assistant State Superintendent in Certification and Accreditation,
Maryland State Department of Education, and the writer.

[49]Maryland State Board of Education Resolution No. 1973-49
(December, 1973).

[50]Ibid.

of that instructional activity."[51] More than one qualified person,
determined by the superintendent, must observe the teacher. After
each observation a written observation report shall be given to the
teacher in a conference. Comments, criticisms, and specific recommenda-
tions are to be included in the report.

Once each semester a formal evaluation including a conference
must be made. More than one staff member shall be involved in the
evaluation. An over-all assessment by the evaluator must indicate a
satisfactory or unsatisfactory rating. The written evaluation report
"based on performance and other reasonable criteria adopted by the
local boards of education shall be given to the teacher" who signs it
and receives a copy thereof.[52] The teacher may make written comments
to be attached to the report.

The recommendation of the superintendent as to non-renewal of
contract of a probationary teacher shall be based on the evaluation
report and other reasonable criteria prepared in accordance with the
provisions of the Maryland State Board of Education.

The evaluative procedures for probationary teachers became
effective September 1, 1974.[53] At that time, each local school
system was to have submitted new evaluation procedures based on the
new guidelines to the Maryland Superintendent of Schools.

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[51]Ibid.

[52]Ibid.

[53]Ibid.

SUMMARY

There is considerable public interest in state accountability laws that include evaluation of certificated public school personnel performance as a component and thus go beyond the domain of existing state statutes and regulations controlling the certification of school personnel. There are indications that many state governments are questioning whether college training and state licensing are sufficient indicators of teaching competency.

States are taking various approaches to the evaluation issue. Because of the social, political, and economic pressures associated with the criticism of the schools, some states have enacted laws which have a direct bearing on performance evaluation of professional school personnel. A few states have accountability legislation which applies only to performance evaluation of school personnel. Other states provide for performance evaluation as part of their fair dismissal laws. State boards of education in some states are strongly recommending that school systems develop teacher evaluation procedures.

There are evidences that states which have not taken steps toward mandating performance evaluation for school personnel are at least planning some method of accountability that involves performance evaluation of professional school personnel.

The approach taken toward performance evaluation by each of the states in this examination varies considerably in design from state to

state. North Carolina, for instance, requires through its tenure law

regular and special evaluation reports for "determining whether the

professional performance of a career teacher is adequate," but the law

does not specify any particular standards or administrative practices.

On the other hand, the state of Washington mandates annual evaluations

for all school employees, but leaves the specific evaluation procedures

to the individual school systems. If school districts in South Dakota

fail to develop their own evaluation programs by a specific date, they

will be requested to use a model developed by the Professional

Practices Council. Guidelines in South Dakota emphasize improvement,

not rating. Evaluation is for the purpose of improving instruction

through a recommended job target concept. Florida laws require the

evaluation of all teaching, administering, and supervising personnel

and leaves the selection of process and instruments to the local

school systems. The Professional Practices Council functions in

areas of competence.

Oregon's provision for performance evaluation of all certifi-

cated teachers is part of the state's fair dismissal law. Districts

with more than 500 students in average daily membership are required to

evaluate their teachers. The Oregon Board of Education,to comply with

the law, has devised a form for the annual evaluation. A regulation

by the Maryland State Board of Education requires uniform procedures in

observing and evaluating probationary teachers. On the other hand,

Tennessee requires evaluation of all local professional school personnel

as a mandatory function in the criteria for approval of schools by the

State Board of Education. New Mexico does not have state mandated

performance evaluation, but the state is developing a competency based

certification process which will probably involve extensive evaluation

processes and instruments. Thus, in some states the decisions on

whether to evaluate professional school personnel, and in some instances,

how to evaluate it are being taken away from the local school systems.

Even though the direction of performance evaluation of school

personnel is being determined to some extent by state legislative

action, the trend has not developed at the rapid pace pronounced a few

years back. Most of the states requiring performance evaluation leave

the actual implementation and determination of the evaluative process to

the local school districts. Oregon's suggested guidelines state:

> A district's evaluation program will be useful only if it
> is tailored to the goals and objectives developed and accepted
> by the board of education and the professional staff of that
> school district.[54]

Important results of the evaluation issue are that it is

forcing professional school people to reexamine their practices and

it is giving the general public an opportunity to view the complexities

of schooling today.

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[54]Oregon Board of Education, op. cit., p.2.

CHAPTER VI

A DESCRIPTION AND AN ANALYSIS OF PERFORMANCE EVALUATION PROGRAMS
FOR CERTIFICATED PERSONNEL IN FIFTY-ONE SELECTED NORTH
CAROLINA ADMINISTRATIVE SCHOOL UNITS, 1973-1974

The North Carolina Teacher Tenure Law, linked with the

increased demands for greater accountability in education, of which

performance evaluation is a part, and the duties of school personnel

as determined by local school board regulations and state laws,

particularly G.S. 115-146 and G.S. 115-150, create the environment in

which performance evaluation programs in North Carolina function.

While inadequate performance is one of the grounds specified

by the 1971 tenure law as grounds for dismissal or demotion of a

career teacher, inadequate performance is not defined. Concerning

performance the tenure law states:

> In determining whether the professional performance of a career
> teacher is adequate, consideration shall be given to regular and
> special evaluation reports prepared in accordance with the published
> policy of the employing school system and to any published standards
> of performance which shall have been adopted by the board....[1]

The description and analysis of the evaluation programs and

related administrative practices used to evaluate certificated personnel

in fifty-one selected North Carolina administrative school units during

the 1973-1974 school year are presented in this chapter.

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[1]North Carolina General Statute 115-142 (e) (3).

THE STUDY POPULATION

For purposes of description and analysis, the decision was made

to select the published performance evaluation policies and procedures

utilized for evaluating certificated personnel in North Carolina

administrative school units enrolling more than 8,500 pupils and those

enrolling less than 2,500 pupils for the 1973-1974 school year. Informa-

tion issued by the North Carolina Department of Public Instruction

indicated that for the 1973-1974 school year there were forty-two

administrative school units with an enrollment of 8,500 and more pupils

and twenty-seven administrative school units with an enrollment of

2,500 and less pupils.

As indicated in Table I, thirty-seven administrative school

units with an enrollment of 8,500 and more pupils and fourteen adminis-

trative school units with an enrollment of 2,500 and less pupils pro-

vided the writer information on their personnel evaluation programs.[2]

The location of the fifty-one North Carolina administrative

school units is shown on Figure I. The responding administrative school

units are geographically dispersed across the state and represent county,

partial county, and city administrative units. Partial county adminis-

trative units compose the largest percent of Stratum 1 while city

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[2]Responding administrative school units with an enrollment of
(1) 8,500 and more pupils are hereinafter referred to as Stratum 1
and (2) those with an enrollment of 2,500 and less pupils, Stratum 2.

TABLE I

PERSONNEL EVALUATION PROGRAMS, NORTH CAROLINA, 1973-1974:
NUMBER AND PERCENT OF RESPONDING
ADMINISTRATIVE SCHOOL UNITS

Enrollment Stratum	Requests Sent	Replies Received
Stratum 1 (8500 and more)	42	37 (88.1%)
Stratum 2 (2500 and less)	27	14 (51.9%)
Total	69	51 (73.9%)

Source: Information received from North Carolina administrative
school units, March, 1974; school units with (1) 8,500 and more pupils
(Stratum 1) and (2) 2,500 and less pupils (Stratum 2).
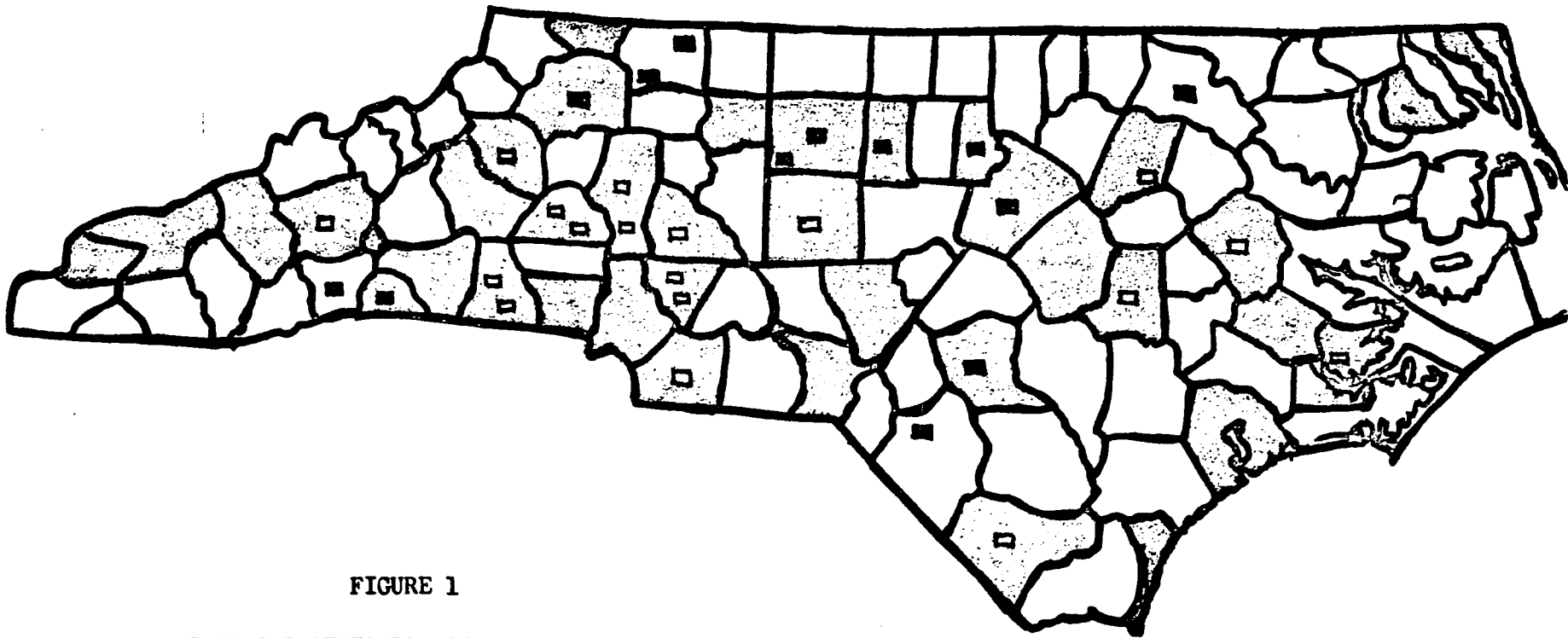
FIGURE 1

FIFTY-ONE SELECTED NORTH CAROLINA

ADMINISTRATIVE SCHOOL UNITS,

1973-1974

administrative units compose the smallest percent. Just the reverse is true for Stratum 2. The comparison of responding administrative school units with the total school administrative units in North Carolina is shown in Table II.

Over 30,000 teachers and more than 700,000 pupils were represented in the fifty-one administrative school units. There were more than 1,000 schools in 1973-1974 in the responding administrative units. These data are depicted in Table III along with the totals for North Carolina.

METHOD OF COLLECTING DATA

Primary information for the study was obtained by the writer contacting by mail each selected North Carolina administrative school unit and requesting information concerning that unit's policy and practice dealing with performance evaluation of certificated personnel and if possible, a copy of the unit's evaluation instrument. A copy of this letter is in Appendix B.

All of the fifty-one responding administrative school units sent copies of their evaluation instruments. Fifteen of the school units, seven from Stratum 1 and eight from Stratum 2, did not send complete information concerning procedures and related administrative policies, but the information received was adequate to analyze collectively and to provide basic summary data for the study.

TABLE II

PERSONNEL EVALUATION PROGRAMS, NORTH CAROLINA, 1973-1974:
COMPARISON OF RESPONDING ADMINISTRATIVE SCHOOL UNITS
WITH NORTH CAROLINA TOTAL

Administrative Unit	Responding Administrative Units			North Carolina Administrative Units*
	Stratum 1	Stratum 2	Total	
County	11 (29.7%)	6 (42.9%)	17 (33.3%)	64 (42.4%)
Partial County	20 (54.1%)	1 (7.1%)	21 (41.2%)	36 (23.8%)
City	6 (16.2%)	7 (50.0%)	13 (25.5%)	51 (33.8%)
Total	37 (100%)	14 (100%)	51 (100%)	151 (100%)

Source: Information received from North Carolina administrative school units, March, 1974; school units with (1) 8,500 and more pupils (Stratum 1) and (2) 2,500 and less pupils (Stratum 2).

*North Carolina Education Directory, 1973-74, Pub. No. 458 (Raleigh: Department of Public Instruction, 1973-1974), p. 116.

TABLE III

PERSONNEL EVALUATION PROGRAMS, NORTH CAROLINA, 1973-1974:
NUMBER OF SCHOOLS, TEACHERS, AND PUPILS IN RESPONDING
ADMINISTRATIVE SCHOOL UNITS

	Stratum 1	Stratum 2	Strata 1 and 2	North Carolina*
Schools	1,018	52	1,070	1,997
Teachers	29,719	1,200	30,919	49,234
Pupils	733,561	25,216	758,777	1,173,425
Units	37	14	51	151

Source: Information received from North Carolina administrative
school units, March, 1974; school units with (1) 8,500 and more pupils
(Stratum 1) and (2) 2,500 and less pupils (Stratum 2).

*North Carolina Education Directory, 1974-1975, Pub. No. 470
(Raleigh: Department of Public Instruction, 1974-1975), pp. 26-115, 132.

PROCEDURES USED IN REPORTING DATA

Each responding administrative school unit in each population stratum was assigned a number at random. The two population strata are analyzed separately and collectively in tabular form. Footnotes were added where needed for clarification.

An examination of the information on performance evaluation for certificated personnel furnished the writer by the fifty-one administrative school units revealed that much of the information could be presented in tabular form. In general, the table constructed to present the characteristics of the personnel evaluation program for each individual administrative school unit contains categories that are adaptations of somewhat similar categories used by the National Education Association to present data in a study of 1970-1971 negotiated teacher agreements.[3]

In addition, summary data on the characteristics of the performance evaluation programs for certificated personnel in the fifty-one administrative school units are presented in separate tables. Summarized in tabular form are personnel evaluation purposes, types of personnel evaluated and frequency of evaluation, types of evaluators,

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[3]National Education Association, "Teacher Evaluation Criteria in Negotiated Contracts," Negotiation Research Digest, Vol. VI, No. 3 (November, 1972), pp. 17-24; see also National Education Association, "Negotiation Procedures for Evaluating Teachers," Negotiation Research Digest, Vol. VI, No. 3 (December, 1972), pp. 12-17.

methods used for personnel evaluation, criteria for personnel evaluation, and personnel evaluation procedures.

The tabular information is presented separately for the individual school units by pupil enrollment strata. The summary tabular data are also presented separately by enrollment strata in addition to the cumulative totals. One exception is the presentation of the cumulative totals for the data on the types of personnel evaluated and the frequency of evaluation for specific types of personnel.

PRESENTATION OF DATA

In structuring the instrument to present the data for the individual administrative school units, items which help to characterize the performance evaluation programs for certificated personnel were included. The personnel evaluation programs contained a variety of different items, ranging from a statement of philosophy, or purposes for evaluation, to a record of conferences held with the individual. Tables IV-LIV are designed to present a description of the performance evaluation programs for certificated personnel in fifty-one selected North Carolina administrative school units, 1973-1974.

The summary data which follow are based on analyses of the characteristics found in the individual personnel evaluation programs. An X indicates that evidence was supplied for that particular characteristic.

TABLE IV

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 1

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated*		Professional qualities	X
Teachers	X	Working relationships	X
Principals	X	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	X		
Four times a year	—	Post-evaluation conference	—
Evaluators*		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	X	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

*Teachers are evaluated by principals; principals, by superin-
tendent.

TABLE V

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 2

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	—
Personnel evaluated *		Professional qualities	—
Teachers	X	Working relationships	—
Principals	X	Personal characteristics	—
Supervisors	X		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	X	Post-evaluation conference	—
Evaluators *		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	X	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	—
Methods of evaluation			
Rating scale	—	Personnel responsible for helping	
Rating scale and comments	—	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other **	X	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

*Teachers are evaluated by principal; principals and supervisors,
by superintendent.

**A Teacher Visitation Report is filed four times a year.

TABLE VI

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 3

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE VII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT
STRATUM 1, NUMBER 4

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	—	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	X	Orientation for evaluation	X
Frequency of evaluation *		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	—
Descriptive criteria	X		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

*Career personnel are evaluated once a year; probationary
personnel, twice a year.   Principals evaluate teachers; and superin-
tendent, other personnel.

TABLE VIII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT
STRATUM 1, NUMBER 5

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	X
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	X
Descriptive criteria	—		
Other	—	Record of conferences	X

Source: Information received from local administrative school
unit, March, 1974.

TABLE IX

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT
STRATUM 1, NUMBER 6

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE X

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT
STRATUM 1, NUMBER 7

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	X

Source: Information received from local administrative school
unit, March, 1974.

TABLE XI

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT
STRATUM 1, NUMBER 8

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	—
Personnel evaluated		Professional qualities	—
Teachers	—	Working relationships	—
Principals	—	Personal characteristics	—
Supervisors	—		
All professional personnel	X	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	—	Personnel responsible for helping	
Rating scale and comments	—	improve performance	—
Written comments only	X		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	—
Descriptive criteria	—		
Other*	X	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

*Criteria are individual job descriptions and annual objectives.

TABLE XII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 9

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	—	Working relationships	—
Principals	—	Personal characteristics	—
Supervisors	—		
All professional personnel	X	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE XIII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 10

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	X
Frequency of evaluation*		Conditions relative to classroom	
Once every three years	X	observation	X
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	X	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

*Probationary teachers are evaluated annually; and career
teachers, every three years.

TABLE XIV

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 11

Characteristics of Evaluation Program

Statement of philosophy —

Personnel evaluated
  Teachers   X
  Principals   —
  Supervisors   —
  All professional personnel —

Frequency of evaluation
  Once every three years   —
  Once every two years   —
  Once a year   —
  Twice a year   —
  Three times a year   —
  Four times a year   —

Evaluators
  Principal   X
  Superintendent   —
  Immediate supervisor   —

Methods of evaluation
  Rating scale   X
  Rating scale and comments   X
  Written comments only   —
  Self-evaluation   —
  Other   —

Evaluation criteria
  Broad criteria   X
  Descriptive criteria   —
  Other   —

Main areas of criteria
  Classroom environment   X
  Professional qualities   X
  Working relationships   X
  Personal characteristics   X

Orientation for evaluation   —

Conditions relative to classroom
  observation   —

Administrative disposition of
  evaluation report   X

Post-evaluation conference   —

Response to evaluation report
  May add written comments or
    attach statement   —
  Evaluatee and evaluator sign
    evaluation report   —

Personnel responsible for helping
  improve performance   —

Recommendations concerning
  future employment   —

Recommendations concerning
  needed improvements   —

Record of conferences   —

Source: Information received from local administrative school
unit, March, 1974.

TABLE XV

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT
STRATUM 1, NUMBER 12

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	—
Teachers	—	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	X	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	—
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	—	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE XVI

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 13

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	X	Personal characteristics	X
Supervisors	X		
All professional personnel	__	Orientation for evaluation	__
Frequency of evaluation		Conditions relative to classroom	
Once every three years	__	observation	X
Once every two years	__		
Once a year	X	Administrative disposition of	
Twice a year	__	evaluation report	X
Three times a year	__		
Four times a year	__	Post-evaluation conference	__
Evaluators		Response to evaluation report	
Principal	__	May add written comments or	
Superintendent	__	attach statement	X
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	__
Written comments only	__		
Self-evaluation	__	Recommendations concerning	
Other	__	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	__	needed improvements	X
Descriptive criteria	X		
Other	__	Record of conferences	X

Source: Information received from local administrative school
unit, March, 1974.

TABLE XVII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 14

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	—
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE XVIII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 15

Characteristics of Evaluation Program

Statement of philosophy   X

Personnel evaluated*
  Teachers   X
  Principals   X
  Supervisors   —
  All professional personnel   —

Frequency of evaluation
  Once every three years   —
  Once every two years   —
  Once a year   —
  Twice a year   X
  Three times a year   —
  Four times a year   —

Evaluators*
  Principal   X
  Superintendent   X
  Immediate supervisor   —

Methods of evaluation
  Rating scale   X
  Rating scale and comments   X
  Written comments only   —
  Self-evaluation   —
  Other   —

Evaluation criteria
  Broad criteria   —
  Descriptive criteria   X
  Other   —

Main areas of criteria
  Classroom environment   X
  Professional qualities   X
  Working relationships   X
  Personal characteristics   X

Orientation for evaluation   —

Conditions relative to classroom
  observation   —

Administrative disposition of
  evaluation report   X

Post-evaluation conference   X

Response to evaluation report
  May add written comments or
    attach statement   X
  Evaluatee and evaluator sign
    evaluation report   X

Personnel responsible for helping
  improve performance   —

Recommendations concerning
  future employment   X

Recommendations concerning
  needed improvements   —

Record of conferences   —

Source: Information received from local administrative school unit, March, 1974.

*Teachers are evaluated by principals; principals, by superintendents.

TABLE XIX

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 16

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals*	X	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	—
Descriptive criteria	X		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.
*Each principal is evaluated at least once a year by his local
professional staff.

TABLE XX

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 17

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	—	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE XXI

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 18

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated *		Professional qualities	X
Teachers	X	Working relationships	X
Principals	X	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators *		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	X
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	X

Source: Information received from local administrative school
unit, March, 1974.

*Teachers are evaluated by principals; principals, by immediate
supervisor.

TABLE XXII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 19

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	—	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	X	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	X
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	X
Descriptive criteria	X		
Other	—	Record of conferences	X

Source: Information received from local administrative school unit, March, 1974.

TABLE XXIII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 20

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE XXIV

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 21

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	—
Personnel evaluated		Professional qualities	—
Teachers	—	Working relationships	—
Principals	—	Personal characteristics	—
Supervisors	—		
All professional personnel	X	Orientation for evaluation	—
Frequency of evaluation*		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators*		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school unit, March, 1974.

*The Record of Evaluations, Commendations, and Complaints is filed by persons named and by dates designated by the superintendent.

TABLE XXV

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 22

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	—
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	—	improve performance	—
Written comments only	—		
Self-evaluation	X	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE XXVI

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 23

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	—	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	X	Orientation for evaluation	X
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	X
Written comments only	—		
Self-evaluation	X	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	X
Descriptive criteria	X		
Other	—	Record of conferences	—

Source: Information received from local administrative school unit, March, 1974.

TABLE XXVII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 24

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated*		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	X
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	X	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

*Includes only teachers who are probationary; new in a position;
returning after a year's absence; resigning; or transferring.

TABLE XXVIII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 25

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated *		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	X
Frequency of evaluation *		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators *		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	X
Written comments only	—		
Self-evaluation	X	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	X
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

*New teachers are evaluated twice a year by principal and/or
supervisor.

TABLE XXIX

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 26

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	—
Personnel evaluated		Professional qualities	—
Teachers	X	Working relationships	—
Principals	X	Personal characteristics	—
Supervisors	X		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation*		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	X	evaluation report	—
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	X	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	X
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

*Probationary personnel is evaluated twice a year; and career
personnel, annually.

TABLE XXX

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 27

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated*		Professional qualities	X
Teachers	X	Working relationships	X
Principals	X	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	X
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	X	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	—
Descriptive criteria	X		
Other	—	Record of conferences	—

Source: Information received from local administrative school unit, March, 1974.

*Principals execute a self-evaluation.

TABLE XXXI

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 28

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated*		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	—
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	—	improve performance	—
Written comments only	—		
Self-evaluation	X	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school unit, March, 1974.

*Teachers are evaluated by principals; other personnel, by superintendent.

TABLE XXXII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 29

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	—	Working relationships	—
Principals	—	Personal characteristics	—
Supervisors	—		
All professional personnel	X	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation repor	
Principal	—	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	X
Descriptive criteria	X		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE XXXIII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 30

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated*		Professional qualities	X
Teachers	X	Working relationships	X
Principals	X	Personal characteristics	X
Supervisors	X		
All professional personnel	__	Orientation for evaluation	__
Frequency of evaluation*		Conditions relative to classroom	
Once every three years	__	observation	X
Once every two years	__		
Once a year	X	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	X		
Four times a year	__	Post-evaluation conference	__
Evaluators*		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	X	attach statement	X
Immediate supervisor	__	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	__
Written comments only	__		
Self-evaluation	__	Recommendations concerning	
Other	__	future employment	__
Evaluation criteria		Recommendations concerning	
Broad criteria	__	needed improvements	X
Descriptive criteria	X		
Other	__	Record of conferences	__

Source: Information received from local administrative school unit, March, 1974.

*Probationary teachers are evaluated by principal three times the first year and then twice a year; and career teachers, principals and supervisors, once a year.

TABLE XXXIV

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 31

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	X
Frequency of evaluation*		Conditions relative to classroom	
Once every three years	X	observation	—
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	X	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

*New teachers are evaluated twice the first year, at least once
thereafter for three years; and career teachers, once every three years.

TABLE XXXV

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 32

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	—
Principals	X	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	—
Three times a year	X		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE XXXVI

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 33

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	X
Frequency of evaluation*		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	X		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	X
Descriptive criteria	—		
Other	—	Record of conferences	X

Source: Information received from local administrative school unit, March, 1974.

*Career teachers are evaluated twice a year; and probationary teachers three times a year.

TABLE XXXVII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 34

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	—	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	X	Orientation for evaluation	X
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	X	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	X
Descriptive criteria	—		
Other	X	Record of conferences	X

Source: Information received from local administrative school
unit, March, 1974.

TABLE XXXVIII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 35

Characteristics of Evaluation Program			
Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	—
Descriptive criteria	—		
Other *	X	Record of conferences	X

Source: Information received from local administrative school unit, March, 1974.

*Include guidelines for criteria items.

TABLE XXXIX

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 36

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	—
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	—
Descriptive criteria	X		
Other	—	Record of conferences	—

Source: Information received from local administrative school unit, March, 1974.

TABLE XL

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 1, NUMBER 37

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	—
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	X
Descriptive criteria	—		
Other	—	Record of conferences	X

Source: Information received from local administrative school
unit, March, 1974.

TABLE XLI

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 1

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	—
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	—
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	—	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school unit, March, 1974.

TABLE XLII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 2

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	X
Frequency of evaluation*		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	—	improve performance	X
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	X

Source: Information received from local administrative school unit, March, 1974.

*Career teachers are evaluated once a year; and probationary twice a year.

TABLE XLIII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 3

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	—
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	—
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE XLIV

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 4

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	—	needed improvements	—
Descriptive criteria	X		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE XLV

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 5

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation*		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	X	Administrative disposition of	
Twice a year	X	evaluation report	—
Three times a year	X		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.
    *First year teachers are evaluated three times a year; probation-
ary, twice a year; and career, once a year.

TABLE XLVI

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 6

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	X		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	X
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	X
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school unit, March, 1974.

TABLE XLVII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 7

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	—
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school unit, March, 1974.

TABLE XLVIII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 8

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	—
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	X	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	—
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	—	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE XLIX

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 9

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	—
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	—
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	—	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	X
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE L

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 10

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	—	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	X	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	X
Immediate supervisor	X	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	X
Written comments only	—		
Self-evaluation	X	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	X
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE LI

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 11

Characteristics of Evaluation Program

Statement of philosophy	—	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	—
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	—
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	—
Three times a year	—		
Four times a year	—	Post-evaluation conference	—
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	—
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	—	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	—

Source: Information received from local administrative school
unit, March, 1974.

TABLE LII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974;
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 12

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated*		Professional qualities	X
Teachers	X	Working relationships	X
Principals	X	Personal characteristics	X
Supervisors	X		
All professional personnel	__	Orientation for evaluation	X
Frequency of evaluation		Conditions relative to classroom	
Once every three years	__	observation	X
Once every two years	__		
Once a year	__	Administrative disposition of	
Twice a year	X	evaluation report	X
Three times a year	__		
Four times a year	__	Post-evaluation conference	X
Evaluators*		Response to evaluation report	
Principal	X	May add written comments or	
Superintendent	X	attach statement	X
Immediate supervisor	__	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	X	improve performance	__
Written comments only	__		
Self-evaluation	X	Recommendations concerning	
Other	__	future employment	__
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	X
Descriptive criteria	__		
Other	__	Record of conferences	__

Source: Information received from local administrative school
unit, March, 1974.

*Teachers are evaluated by principals; and other personnel by
the superintendent.

TABLE LIII

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 13

Characteristics of Evaluation Program

Statement of philosophy	___	Main areas of criteria
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	___	Personal characteristics	X
Supervisors	___	
All professional personnel	___	Orientation for evaluation	___
Frequency of evaluation		Conditions relative to classroom
Once every three years	___	observation	___
Once every two years	___	
Once a year	___	Administrative disposition of
Twice a year	___	evaluation report	___
Three times a year	___	
Four times a year	___	Post-evaluation conference	___
Evaluators		Response to evaluation report
Principal	___	May add written comments or
Superintendent	___	attach statement	___
Immediate supervisor	___	Evaluatee and evaluator sign
		evaluation report	X
Methods of evaluation		
Rating scale	X	Personnel responsible for helping
Rating scale and comments	X	improve performance	___
Written comments only	___	
Self-evaluation	___	Recommendations concerning
Other	___	future employment	___
Evaluation criteria		Recommendations concerning
Broad criteria	___	needed improvements	___
Descriptive criteria	X	
Other	___	Record of conferences	___

Source: Information received from local administrative school
unit, March, 1974.

TABLE LIV

CHARACTERISTICS OF PERSONNEL EVALUATION PROGRAM, 1973-1974:
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNIT,
STRATUM 2, NUMBER 14

Characteristics of Evaluation Program

Statement of philosophy	X	Main areas of criteria	
		Classroom environment	X
Personnel evaluated		Professional qualities	X
Teachers	X	Working relationships	X
Principals	—	Personal characteristics	X
Supervisors	—		
All professional personnel	—	Orientation for evaluation	—
Frequency of evaluation		Conditions relative to classroom	
Once every three years	—	observation	X
Once every two years	—		
Once a year	—	Administrative disposition of	
Twice a year	—	evaluation report	X
Three times a year	—		
Four times a year	—	Post-evaluation conference	X
Evaluators		Response to evaluation report	
Principal	—	May add written comments or	
Superintendent	—	attach statement	—
Immediate supervisor	—	Evaluatee and evaluator sign	
		evaluation report	X
Methods of evaluation			
Rating scale	X	Personnel responsible for helping	
Rating scale and comments	—	improve performance	—
Written comments only	—		
Self-evaluation	—	Recommendations concerning	
Other	—	future employment	—
Evaluation criteria		Recommendations concerning	
Broad criteria	X	needed improvements	—
Descriptive criteria	—		
Other	—	Record of conferences	X

Source: Information received from local administrative school
unit, March, 1974.

Personnel Evaluation Purposes

A review of the tables indicated that twenty-nine school units, twenty-three from Stratum 1 and six from Stratum 2, contained statements of philosophy stating the intent of their personnel evaluation programs. Some school units stated more than one purpose for evaluation, while some stated none. Table LV summarizes the stated purposes for personnel evaluation by listing the purposes and noting the number of school units indicating each purpose.

The two purposes for evaluation stated most often were (1) to stimulate improved performance, and (2) to improve instruction. Although only one school unit indicated that compliance with state law and local board policy was one of the purposes for evaluation, a number of other school units could have stated the same purpose. The school unit supplying a computer print-out evaluation form was also the school unit indicating that the purpose of evaluation was to encourage goal setting.

Personnel Evaluated and Frequency of Evaluation

Table LVI tabulates the number of school units stating the frequency of evaluation for different types of personnel. All fifty-one school units indicated that teachers were evaluated, but seventeen did not indicate the frequency for evaluation. Semi-annual evaluations were most frequent for teachers in school units stating frequency, although annual evaluations were a close second.

TABLE LV

PURPOSES FOR PERSONNEL EVALUATION IN FIFTY-ONE SELECTED
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNITS, 1973-1974

Purposes For Evaluation	Number of School Units Stating Purposes for Evaluation		
	Stratum 1	Stratum 2	Total
To stimulate improved performance	17	3	20
To improve instruction	12	3	15
To aid in developing in-service programs	3	2	5
To provide an official written record	4	1	5
To recognize outstanding personnel	1	2	3
To determine staff members to be dismissed if staff is reduced	1	2	3
To establish evidence where dismissal from service is an issue	1	2	3
To provide a reference for future employment	1	1	2
To encourage goal setting	1		1
To comply with G.S. 115-142 and local board policy	1		1

Source: Analysis based on personnel evaluation information received from fifty-one North Carolina administrative school units, March, 1974; school units with (1) 8,500 and more pupils (Stratum 1) and (2) 2,500 and less pupils (Stratum 2).

TABLE LVI

FREQUENCY OF EVALUATION IN FIFTY-ONE SELECTED NORTH CAROLINA ADMINISTRATIVE SCHOOL UNITS, 1973-1974

| Evaluatees | Number of School Units Indicating Frequency of Evaluation | | | | | | | | Total |
	Four times a year	Three times a year	Semi-annual	Annual	Every 3 years	Every 2 years	Other	Freq. not stated	
Teachers	1	3	8	3			3	17	35
Probationary		1	3	2					6
Career			1	3	2				6
Total	1	4	12	8	2		3	1	
Principals	1	2	3	4					10
Probationary			1						1
Career				1					1
Total	1	2	4	4					
Supervisors	1		1	2					4
Probationary			1						1
Career				1					1
Total	1		2	3					
All professional personnel			4	4				1	9
Probationary			1						1
Career				1					1
Total			5	5				1	

Source: Analysis based on personnel evaluation information received from fifty-one North Carolina administrative school units, March, 1974.

Three school units indicated that the frequency for evaluation of personnel varied during the probationary period. One school unit completed two evaluations the first year for all new personnel, conducted annual evaluations for the remainder of the probationary period, and did no further formal evaluation unless the circumstances deemed it necessary. Two school units completed three formal evaluations for first-year teachers and two evaluations yearly for the remainder of the probationary period. Six school units evaluated probationary teachers more often than career teachers.

One school unit filed a Teacher Visitation Report four times a year in lieu of the typical evaluation form. The form established the date and length of time a teacher had been visited.

Although the majority of school units indicated that teachers were the major type of personnel evaluated, eleven school units stated that principals were evaluated, and ten other school units indicated that evaluations are completed for all professional personnel. Thus, twenty-one school units implied that principals were formally evaluated.

Only five school units indicated specifically that supervisors were evaluated. While ten school units indicated that all professional personnel, which would include supervisors, were evaluated either annually or semi-annually, classes of personnel were not named.

Types of Personnel Evaluators

The principal, as immediate supervisor of teachers, has traditionally been responsible for evaluating teachers. According to the data presented in Table LVII, the principal was the individual most often charged with the responsibility for evaluating teachers in North Carolina. In some of the larger school units middle management administrators, particularly assistant principals and department heads, shared the evaluation tasks, but, in most instances, the principal was ultimately responsible for the evaluation of teachers. One unit in Stratum 2, however, indicated that the superintendent evaluated teachers.

The data indicated that evaluation of principals, supervisors, and other professional personnel was usually performed by the immediate supervisor or the superintendent or his designee. One school unit, however, stated that the principal was to execute a self-evaluation. The local professional staff in another unit evaluated the principal once during the school year. The evaluation was for the principal's own personal use.

Methods Used for Personnel Evaluation

The data presented in Table LVIII indicated that forty-nine of the school units in the study population used some form of rating scale as a tool for evaluation. The two most frequently used scales were those containing from one to three adjectival ratings and those

TABLE LVII

TYPES OF PERSONNEL EVALUATORS IN FIFTY-ONE SELECTED NORTH CAROLINA ADMINISTRATIVE SCHOOL UNITS, 1973-1974

Evaluator	Evaluatees							
	Stratum 1				Stratum 2			
	Teachers	Principals	Super-visors	All prof. personnel	Teachers	Principals	Super-visors	All prof. personnel
Principal	21				6			
Superintendent or designee		4	2		1	1	1	
Immediate supervisor	1	3	2	8	1			1
No designee	6	1		1	5			
Self-evaluation		1						
Local school staff		1						
Total	28	10	4	9	13	1	1	1

Source: Analysis based on personnel evaluation information received from fifty-one North Carolina administrative school units, March, 1974; school units with (1) 8,500 and more pupils (Stratum 1), and (2) 2,500 and less pupils (Stratum 2).

TABLE LVIII

METHODS OF PERSONNEL EVALUATION USED IN FIFTY-ONE SELECTED
NORTH CAROLINA ADMINISTRATIVE SCHOOL UNITS, 1973-1974

Method of Evaluation	Number of School Units Using Method Listed		
	Stratum 1	Stratum 2	Total
Rating Scale	35	14	49
Scale of 1-2	3	2	5
Scale of 1-3	11	5	16
Scale of 1-4	6	1	7
Scale of 1-5	11	5	16
Scale of 1-6	1		1
More than one scale	3	1	4[a]
Rating Scale and Written Comments	34	7	41
Written Comments Only	1		1
Self-evaluation	10	2	12
Other	1		1[b]

Source: Analysis based on personnel evaluation information received from fifty-one North Carolina administrative school units, March, 1974; school units with (1) 8,500 and more pupils (Stratum 1) and (2) 2,500 and less pupils (Stratum 2).

[a]Includes evaluation forms from two school units with some criteria items rated on a 1-2 scale and the rest on a 1-3 scale; evaluation forms from one school unit with criteria for principals rated on a 1-3 scale and criteria for teachers rated on a 1-4 scale; and evaluation forms from one school unit with criteria for principals rated on a 1-4 scale and criteria for teachers rated on a 1-5 scale.

[b]A Teacher Visitation Report filed four times a year is the evaluation method used in one system.

containing from one to five adjectival ratings to rate the qualitative levels of the criteria items.

Forty-one of the school units included in their evaluation forms a space, or spaces, for written comments to elaborate on the assigned ratings for the criteria items. Two evaluation forms provided spaces for citing examples of observed performance for each criteria.

In addition to formal evaluations, twelve school units promoted self-evaluation. Five school units stated that self-evaluation was optional, while three school units indicated that a self-evaluation instrument was to be executed by each librarian, guidance counselor, and teacher. The self-evaluation form was filed with the principal prior to the end of the first nine weeks of school. Another school unit devised a teacher self-evaluation form which contained more detailed items listed under the criterion "teaching proficiency" than did the regular staff evaluation form. One school unit noted that self-evaluation was optional, but that it could be used to initiate discussion with the evaluator leading toward the development of desired goals and specific outcomes for the improvement of instruction. An interesting procedure executed in one school unit provided for the teacher's self-evaluation and the principal's evaluation of the teacher on the same form. One school unit indicated that all personnel performed independent evaluations with the final evaluation executed in a con-ference.

Variations from the rating scale approach were noted in two

school units. The superintendent in one school unit provided Teacher

Visitation reports to be filed by the principal four times yearly for

each teacher. Another school unit used a narrative form for employee

evaluation. The criteria used for evaluations in the school unit were

job description, annual objectives, local school policies, county

board policies, and state and federal laws and regulations. The

following elements were contained in the written form: general state-

ment of progress of employee; criticism; commendations; signatures of

evaluator and employee; and signatures of the employee and the super-

intendent, if the employee submitted additional information regarding

the written statements.

Criteria for Personnel Evaluation

No standardized set of criteria was found in the fifty-one eval-

uation instruments. Few educators agree on the characteristics of effec-

tive teachers and on the ingredients of effective instruction. Yet to

evaluate teachers, local personnel must determine the criteria for

evaluation.

Table LIX summarizes the data on teacher evaluative criteria

collected from the fifty-one evaluation instruments by listing the

types of criteria, the criteria relating to specific areas, and the

number of criteria items. The number of personnel evaluation

TABLE LIX

TEACHER EVALUATION CRITERIA IN FIFTY-ONE SELECTED NORTH
CAROLINA ADMINISTRATIVE SCHOOL UNITS, 1973-1974

Criteria	Number of Personnel Evaluation Forms Containing Criteria Items in Each Category		
	Stratum 1	Stratum 2	Total
Types of Criteria			
Broad criteria items	24	12	36
Descriptive criteria items	10	2	12
Other	3		3
Main areas of criteria			
Classroom environment	34	14	48
Professional qualities	33	14	47
Working relationships	31	10	41
Personal characteristics	32	14	46
Number of criteria items			
Under 10 items	1	1	2
10-19 items	7	4	11
20-29 items	14	5	19
30-39 items	11	4	15
40-49 items	1		1
Overall item	7	1	8

Source: Analysis based on personnel evaluation information received from fifty-one selected North Carolina administrative school units, March, 1974; school units with (1) 8,500 and more pupils (Stratum 1) and (2) 2,500 and less pupils (Stratum 2).

instruments from each enrollment stratum containing each criteria item and the cumulative total for each item are also noted.

The analysis of the data revealed that broad criteria items were found in thirty-six of the evaluation instruments. Twelve of the fourteen forms in Stratum 2 contained broad criteria items. Examples of broad criteria items are flexibility, disposition, teacher-pupil relationship, adaptability, and teaching techniques.

Twelve school units attempted to clarify the evaluative criteria items by describing in some manner the levels of performance expected of the teacher. Evidences of efforts to make evaluation more effective were the use of descriptive subitems for each main item on the evaluation form; descriptions of an adequate, effective teacher and the components of good teaching; simple guidelines; and sample evidences of specific teacher behaviors.

As indicated by the data, four main areas of criteria items were identified. They were classroom environment, professional qualities, working relationships, and personal characteristics. Grouping of the various items found on the individual evaluation forms into the four general criteria areas revealed that most of the fifty-one instruments contained some items pertaining to all four areas. Exceptions were found in the school unit employing a job target approach to evaluation, in the school unit employing visitation reports, and in the school unit using a simple summary rating for the final evaluation.

All of the forty-eight remaining evaluation forms contained numerous items relating to the classroom learning environment. Identified as classroom environment criteria were items pertaining to pupil-teacher interaction, classroom management and procedure, the instructional program, and the classroom's physical appearance.

Items relating to the teacher's professional qualities appeared on forty-seven of the evaluation forms. Identified as criteria depicting the teacher's professional attributes were items concerning the teacher's competence, the teacher's professional qualifications and continued growth, and the teacher's professional attitude.

Forty-one evaluation forms contained one or more elements related to the teacher's working relationships with parents, the school staff, the administration, and the community in general. Considered in this category were criteria concerned with human relations such as the ability to meet and work with people, the ability to refrain from speaking malicious gossip, and the ability to be constructively cooperative.

Items concerning the teacher's personal characteristics and attributes were found in forty-six of the evaluation forms. Considered in the area of personal characteristics were criteria items such as appearance and grooming; voice quality, range and control; emotional stability; adaptability; flexibility; and moral standards and conduct.

Nineteen of the evaluation instruments contained from twenty to twenty-nine items. One instrument contained under ten items, and

one contained more than forty. Eight of the forms provided a space for
an overall or general evaluation of the teacher's proficiency.

Personnel Evaluation Procedures

Table LX presents the information assembled from the fifty-one
administrative school units pertaining to personnel evaluation proce-
dures not previously presented. Although the information indicated
that no school unit employed all the procedures listed, the information
revealed that forty-nine school units used one or more of the procedures.

Eleven school units indicated that some manner of orientation
for the upcoming evaluation was carried out. Several school units
required a meeting early in the year with personnel to discuss the
evaluation form and the procedures used in evaluation. Other school
units stated that each teacher was to be given a copy of the evaluation
instrument at the beginning of school. Unusual was the school unit
that required a signed statement that each teacher had received and
fully understood the evaluation procedure. The statement was to be
kept on file by the principal.

Conditions relative to classroom observation were noted in
twenty-one school units. One school unit stated that the principal
was to give a general notification when formal evaluations were to
take place. Some school units simply stated that the teacher was to
be observed in the classroom prior to the formal evaluation. Others
noted that all personnel performance observations were to be conducted

TABLE LX

PERSONNEL EVALUATION PROCEDURES IN FIFTY-ONE SELECTED NORTH
CAROLINA ADMINISTRATIVE SCHOOL UNITS, 1973-1974

Procedure	Number of School Units Indicating Procedure		
	Stratum 1	Stratum 2	Total
Orientation for evaluation	9	2	11
Conditions relative to classroom observation	16	5	21
Administrative disposition of evaluation report	30	6	36
Post evaluation conference	19	5	24
Response to evaluation report			
May add written comments or attach statement	25	7	32
Evaluatee and evaluator sign evaluation report	35	11	46
Personnel responsible for helping improve performance			
Principals	6	3	9
Other personnel	3	2	5
Recommendations concerning future employment	13	5	18
Recommendations concerning needed improvements	13	3	16
Record of conferences	9	2	11
Record of Observations	9	3	12
Unsatisfactory Report Procedures	16	5	21

Source: Analysis based on personnel evaluation information
received from fifty-one North Carolina administrative school units,
March, 1974; school units with (1) 8,500 and more pupils (Stratum 1)
and (2) 2,500 and less pupils (Stratum 2).

openly. A unique procedure in one school unit was a published statement that required the evaluator to make at least six observations of the teacher before the teacher could be recommended for dismissal. Further, each observation was to be followed by a conference with a summary of the conference signed by both parties and filed in the principal's office. This same school unit had devised an observation report to be used for all observations. The report was to be signed by the teacher and the principal.

Some procedure for administrative disposition of completed evaluation reports was found in thirty-six school units. Most indicated that the completed evaluation report was to be placed in the individual's personnel file and that the teacher was to receive a copy.

About one-half of the school units specified that a post-evaluation conference would be held between evaluatee and evaluator to discuss the evaluation. Almost all of the evaluation instruments provided spaces for the signatures of both the evaluatee and evaluator. Thirty-two stated that the individual could respond to the evaluation report by writing comments on the evaluation instrument or by attaching statements.

Of the small number of school units designating personnel responsible for helping the teacher improve performance, most specified that the principal had that responsibility. Administrative and super-visory personnel in five school units were responsible for helping the individual improve his performance.

Recommendations concerning the individual's future employment were included in about one-third of the evaluation procedures. Also, a written record of recommendations concerning needed improvements was specified in about one-third of the school units.

Approximately one-fifth of the school units required a record of conferences and observations. A statement contained in the evaluation report, stating that the evaluatee's signature indicated that he had read the report and had a conference with the evaluator, was the most frequent method of recording conferences. For records of observation several school units devised observation forms and furnished the teacher a copy within a specified time after the observation.

More than two out of every five school units specified some method for handling an unsatisfactory report. One school unit provided a performance report form to be executed by both the teacher and the principal when negative areas had been explored and a course of action determined for correcting the unsatisfactory areas. The report could be amended when the problem area had been corrected. Other units specified that statements describing any unsatisfactory rating were to be filed with the formal evaluation.

CHAPTER VII

CONCLUSIONS, IMPLICATIONS, AND NEED FOR FURTHER STUDY

This study was designed to examine and describe the performance evaluation programs for certificated personnel in fifty-one selected North Carolina administrative school units during the 1973-1974 school term.

The total population sample for the study included fifty-one selected administrative school units from the one hundred fifty-one North Carolina administrative school units. The population sample was divided into the following subsets: thirty-seven school units with 8,500 and more pupils (Stratum 1) and fourteen school units with 2,500 and less pupils (Stratum 2). The data were gathered by use of a letter requesting from each of the fifty-one school units information concerning that unit's policy and practice dealing with performance evaluation of certificated personnel and a copy of the unit's evaluation instrument.

Results were reported in terms of a descriptive analysis including characteristics of the individual personnel evaluation programs and summary data relative to the purposes for personnel evaluation, the types of personnel evaluated, the frequency of evaluation, the types of evaluators, the methods of evaluation, the criteria for personnel evaluation, and the procedures for personnel evaluation. The findings from the data gathered were presented in Chapter VI.

CONCLUSIONS

The following conclusions were the results of this investigation:

1. All of the participating administrative school units implemented, to some degree, performance evaluation of certificated personnel: within the context of the requirements in the North Carolina Teacher Tenure Act, within the framework of existing state laws pertaining to the duties of public school personnel, and within the bounds of the policies and standards of the local boards of education.

2. Teachers were evaluated in all of the administrative school units. In ten administrative school units, evaluation was extended to include the work performed by all professional personnel.

3. Cognizant of the applicability of the tenure law, not only to those who teach but also to those who directly supervise teaching, one-half of the administrative school units in Stratum 1 evaluated the performance of principals. In Stratum 2 a much smaller number of school units, one-seventh, evaluated the performance of principals.

4. Less than one-half of Stratum 1 administrative school units and only one-seventh of Stratum 2 administrative school units evaluated the performance of instructional supervisors.

5. There was a minimal difference in frequency of evaluation for career, or tenured personnel, and probationary personnel. Annual

or semi-annual evaluations were employed the most frequently for all professional personnel.

6. The purposes for performance evaluation included both instructional functions and administrative functions. The primary purposes for evaluation were instructional: to stimulate improved performance and to improve instruction.

7. More than one-half of the purposes given for performance evaluation were administrative in function. However, in Stratum 1, instructional purposes outnumbered administrative purposes thirty-three to nine. In Stratum 2, instructional purposes and administrative function received equal emphasis with eight purposes for each category.

8. The evaluatee's immediate supervisor was the individual most often charged with the responsibility of executing the evaluation. The superintendent in one Stratum 2 school unit evaluated teachers.

9. No administrative school unit used students or peers in the evaluation process. One administrative school unit required the local staff to perform an evaluation of the principal once a year for his own personal use.

10. The process of self-evaluation as performed in twelve administrative school units was used as an adjunct to the regular, formal evaluation. The individual recorded his personal evaluation on a checklist of criteria rather than setting his own objectives and then rating himself on how well he had achieved the objectives.

11. The traditional rating scale approach, giving a report card estimate of competence, was the type of personnel evaluation used in forty-nine of the administrative school units. The ratings were obtained from lists of criteria that required checking by the evaluator with additional spaces provided for comments on specified factors. One Stratum 1 administrative school unit and seven Stratum 2 administrative school units used the checklist of criteria without spaces for additional comments.

12. The wide use of the rating scale approach does not mean that it is widely effective. The review of the literature on performance evaluation relative to business and industry in Chapter II, relative to the Federal Civil Service in Chapter III, and relative to the general field of education in Chapter IV reflected the identification of evaluation plans used in education with employee evaluation ratings in business, industry, and government. Davis observed that many of the rating forms used in public schools "still have the character traits, the five-point scoring scales, and all the other apparatus that business and industrial corporations are now discarding." (Chapter I, page 8.)

13. The three-point scoring scale and the five-point scoring scale were used in the evaluation instruments more often than other scoring scales for indicating the level of the criteria items.

14. The criteria items on the rating scales contained broad, subjective, undefined, and varied, qualities, traits, and characteristics.

Twelve administrative school units, ten from Stratum 1 and two from
Stratum 2, attempted to describe the criteria items. The items, as a
whole, were presented in generalized terms. There were overlapping,
repetitious, contradictory, and controversial items included on the
evaluation instruments.

15. There was agreement among the administrative school units
concerning the main areas of criteria: classroom environment, profes-
sional qualities, working relationships, and personal characteristics.
Criteria pertaining to the classroom environment ranked first in
frequency on the evaluation instruments; criteria pertaining to
professional qualities ranked second; criteria pertaining to personal
characteristics ranked third; and criteria pertaining to working
relationships ranked fourth in frequency on the evaluation instruments.

16. The typical evaluation instrument contained from twenty to
twenty-nine criteria items. Evaluation instruments containing from
thirty to thirty-nine items ranked second in usage.

17. One administrative school unit provided a simple form for
a summary rating on the individual's overall performance. The overall
rating was included as one of the criteria in the evaluation instrument
in seven school units.

18. Only one administrative school unit employed the job
target approach to performance evaluation. The job target approach
involved the development of a job description by the individual and the

cooperative development of annual objectives between the individual

and his immediate supervisor. The evaluation was in narrative form.

19. Records of classroom visitations recorded on a simple form

were the basis for the performance evaluation in the second adminis-

trative school unit that departed from the traditional rating scale

technique.

20. The use of classroom observation as a technique for

gathering evaluation data was included in the procedures in twenty-

one administrative school units. It was implied in others.

21. One-fifth and more of the administrative school units

enumerated pre-evaluation procedures and post-evaluation procedures.

IMPLICATIONS

The findings of this study have indicated the following

implications:

1. The fact that all local boards of education had to adopt

performance evaluation policies and procedures to determine the

adequacy of the career teacher's professional performance indicated

the importance of and the need for effective personnel evaluation

programs.

2. There was strong indication from the similarity of

policies, procedures, and evaluation instruments found among the

administrative school units that time and resources, both human and

economic, had an impact on the tailoring of the evaluation program to

adjust to given local conditions.

3. Although sixty-two percent of Stratum 2 school units and forty-three percent of Stratum 1 school units included their purposes for evaluation in their policies, a large percentage did not include their purposes for evaluation. The literature on performance evaluation implied that the evaluation program must conform to the school unit's goals and policies and must be designed to encourage pursuit of those goals.

4. The fact that all administrative school units evaluated teachers indicated that teacher evaluation was an integral part of the system's efforts to improve the quality and effectiveness of the classroom learning experiences.

5. Probationary and career personnel were evaluated with the same devices. Since the implied purposes for evaluating probationary personnel are different from the purposes for evaluating career personnel, the implication is that evaluation of probationary personnel and career personnel require different evaluation devices.

6. There was no indication from the data that there was any difference in the practicality of a formal evaluation program in a large school unit and in a small school unit.

7. In school units stressing more than one purpose for the evaluation process, the same evaluation instrument was used. The literature on performance evaluation implied that, for varying or

conflicting purposes for evaluation, different methods and procedures are necessary when reporting results to the individual.

8. Broad criteria items appeared on seventy-one percent of the evaluation instruments. The literature on performance evaluation indicated that the use of broad criteria items tends to increase the subjectivity of the rating and increases evaluator bias. Further, the literature emphasized that performance criteria must be carefully formulated since they are the primary basis for evaluation.

9. Although ninety-six percent of the administrative school units employed a rating scale approach to performance evaluation, the literature indicated that the traditional modes of evaluation look backwards rather than focusing on improvement of performance. Further, the literature implied the need to develop a form of personnel evaluation that would capitalize on the individual's natural attributes and promote continuous growth.

10. One administrative school unit utilized a job target approach to evaluation. The literature indicated that the job target approach was a successful approach in the field of industrial management that could be applied to the field of education by going beyond concerns in the world of inanimate products and dealing with humanistic results.

NEED FOR FURTHER RESEARCH

The data collected has revealed several types of questions to which further study should be given. Areas of inquiry should include, but not necessarily be limited to the following:

1. Perceptions of Performance Evaluation. How do public school teachers, principals, and superintendents perceive their roles in performance evaluation? Is performance evaluation regarded as a necessary and integral aspect of personnel development? Is performance evaluation viewed by evaluatees and evaluators as merely a required administrative ritual to be performed periodically?

2. Promising New Practices in Performance Evaluation. After the initial period of enthusiasm following the introduction of a new approach, is momentum or enthusiam maintained? Further study needs to be concerned with isolation of promising practices in performance evaluation and with comparing them with traditional approaches.

3. Outcomes of Performance Evaluation. Does the written evaluation of the performance of school personnel result in observable changes in their behavior? Do the outcomes reflect the purposes of evaluation?

4. Broader Sampling. Would broader sampling yield more definitive results? This study was concerned with performance evaluation in the largest administrative school units, and in the smallest administrative school units during the 1973-1974 school term.

Further research could very well include a follow-up study on performance evaluation with representative samplings from school units in the middle range of pupil enrollment.

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APPENDIX

APPENDIX A

FIFTY-ONE SELECTED NORTH CAROLINA ADMINISTRATIVE

SCHOOL UNITS, 1973-1974

Stratum 1*

Charlotte-Mecklenburg Schools
Charlotte, North Carolina

Winston-Salem/Forsyth County Schools
Winston-Salem, North Carolina

Cumberland County Schools
Fayetteville, North Carolina

Gaston County Schools
Gastonia, North Carolina

Wake County Schools
Raleigh, North Carolina

Greensboro Public Schools
Greensboro, North Carolina

Guilford County Schools
Greensboro, North Carolina

Buncombe County Schools
Asheville, North Carolina

Raleigh Public Schools
Raleigh, North Carolina

New Hanover County Schools
Wilmington, North Carolina

Onslow County Schools
Jacksonville, North Carolina

Durham County Schools
Durham, North Carolina

Wayne County Public Schools
Goldsboro, North Carolina

Johnston County Schools
Smithfield, North Carolina

Rowan County Schools
Salisbury, North Carolina

Burke County Public Schools
Morganton, North Carolina

Alamance County Schools
Graham, North Carolina

Randolph County Schools
Asheboro, North Carolina

Caldwell County Schools
Lenoir, North Carolina

Fayetteville City Schools
Fayetteville, North Carolina

Pitt County Schools
Greenville, North Carolina

High Point City Public Schools
High Point, North Carolina

Catawba County Schools
Newton, North Carolina

Durham City Schools
Durham, North Carolina

Nash County Schools
Nashvile, North Carolina

Rutherford County Schools
Rutherfordton, North Carolina

List (continued)

Iredell County Schools
Statesville, North Carolina

Union County Schools
Monroe, North Carolina

Richmond County Schools
Rockingham, North Carolina

Moore County Schools
Carthage, North Carolina

Wilkes County Schools
Wilkesboro, North Carolina

Columbus County Schools
Whiteville, North Carolina

Burlington City Schools
Burlington, North Carolina

Haywood County Schools
Waynesville, North Carolina

Cleveland County Schools
Shelby, North Carolina

Craven County Schools
New Bern, North Carolina

Cabarrus County Schools
Concord, North Carolina

Stratum 2**

Mount Airy City Schools
Mount Airy, North Carolina

Pamlico County Schools
Bayboro, North Carolina

North Wilkesboro Public Schools
North Wilkesboro, North Carolina

Perquimans County Schools
Hertford, North Carolina

Hendersonville City Schools
Hendersonville, North Carolina

Weldon City Schools
Weldon, North Carolina

Polk County Schools
Columbus, North Carolina

Red Springs City Schools
Red Springs, North Carolina

List (continued)

Alleghany County Schools
Sparta, North Carolina

Swain County Public Schools
Bryson City, North Carolina

Graham County Schools
Robbinsville, North Carolina

Camden County Schools
Camden, North Carolina

Elkin City Schools
Elkin, North Carolina

Tryon City Schools
Tryon, North Carolina

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*School units with 8,500 and more pupils arranged in order from largest to smallest pupil enrollment.

**School units with 2,500 and less pupils arranged in order from largest to smallest pupil enrollment.

APPENDIX B

LETTER SENT TO SUPERINTENDENTS OF SELECTED
ADMINISTRATIVE SCHOOL UNITS

Box 391
Madison, North Carolina 27025
March 4, 1974

I am doing a study of performance appraisal policies relative to
certified public school personnel and administrative practices imple-
menting these policies in the state of North Carolina.

In order to develop a base for comparison and contrast, I would
appreciate learning of your system's policy and practice dealing with
performance evaluation of certified public school personnel, and, if
possible, receive a copy of your evaluation instrument.

In conducting my study I think you might be interested in knowing
that I am also drawing upon the policies and practices of our Federal
Civil Service Commission and similar practices in the private industrial
sector of the United States.

Your courtesy in this matter will be appreciated. I look forward to
hearing from you or one of your colleagues.

Sincerely,

Carolyn M. Cardwell

CMC:ks

APPENDIX C

LETTER SENT TO SUPERINTENDENTS OF EDUCATION
IN SEVEN SELECTED STATES

Box 391
Madison, North Carolina 27025
March 11, 1974

I am doing a study of performance appraisal policies relative to
certified public school personnel and administrative practices imple-
menting these policies in the state of North Carolina.

In order to develop a base for comparison and contrast, I would
appreciate learning of your state's policy and administrative practices
dealing with performance evaluation of certified public school personnel.

In conducting my study, I think you might be interested in knowing that
I am also drawing upon the policies and practices of our Federal Civil
Service Commission and similar practices in the private industrial
sector of the United States.

Your courtesy in this matter will be appreciated. I look forward to
hearing from you or one of your colleagues.

Sincerely,

Carolyn M. Cardwell

CMC:tz