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Greene, Linda Hincher

A CONCEPTUAL FRAMEWORK FOR PRINCIPALS' K-12 INVOLVEMENT IN THE EVALUATION OF TEACHERS

The University of North Carolina at Greensboro   Ed.D.   1984

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A CONCEPTUAL FRAMEWORK FOR PRINCIPALS'

K-12 INVOLVEMENT IN THE EVALUATION

OF TEACHERS

by

Linda Hincher Greene

A Dissertation submitted to
The Faculty of the Graduate School at
The University of North Carolina at Greensboro
in Partial Fulfillment
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1984

Approved by:

Dissertation Adviser

This dissertation has been approved by the following committee
of the Faculty of the Graduate School at The University of North
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Dissertation Adviser _____

Committee Members _____

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GREENE, LINDA HINCHER, Ed.D. A Conceptual Framework for
Principals' K-12 Involvement in the Evaluation of Teachers. (1984)
Directed by Dr. Dale Brubaker. Pp. 141.

The purpose of this study was to build a conceptual framework
focusing on the principals' role in the evaluation of teachers. To
this end, a conceptual framework was developed to aid in defining and
clarifying the principals' involvement in the evaluation process. It
also provides a means for systematically analyzing and viewing the
training or retraining of principals in the area of teacher evaluation.

The methodology utilized in this study, that of conceptual
framework building, is less finite and less restrictive in nature,
design, and elements than a conceptual model. Viewed heuristically,
the framework is meant to serve as a means of discovering and thus
encouraging further thought through ongoing refinement and analysis.
Teacher evaluation and the principals' involvement are viewed as dy-
namic processes in which theory and practice are integrated through
action and reflection as part of a larger interpretive endeavor.

The framework consists of three conceptual arenas and accompany-
ing elements. The first arena and the one over which the principal
has greatest influence is related to the principal's basic values,
attitudes, knowledge, and skills.

Included in the second arena are those influences exerted by
internal forces such as the superintendent, other principals, teachers,
and students. Influence here is most often in the form of policies,
guidelines, and tacit and implicit expectations.

Those forces or initiatives farthest removed from the principal but that have profound influence on how evaluation is structured constitute the third arena. Represented here are federal, state, and local initiatives such as commission studies and reports, accountability efforts, state and local mandated performance appraisals, and teacher competency movements.

The study concluded with guidelines and discussion related to implementing the framework and recommendations for further study.

ACKNOWLEDGEMENTS

The writer gratefully acknowledges the assistance received from Dr. Dale L. Brubaker in his capacity as professor, dissertation adviser and committee chairman.

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<div align="right">L.H.G.</div>

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CHAPTER I

INTRODUCTION

To evaluate or not to evaluate is NOT the question. We make judgements all the time, judgements about ourselves and what we do and about others and what they do. And we, in turn, are being judged by others. We cannot escape evaluation. Every choice, every decision—to speak or not, to use this example or that—involves an evaluation automatic or deliberate. In the context of teaching, the question is not whether to evaluate, but who should evaluate and for what purpose? Using what means?[1]

Evaluation of public school personnel, particularly teachers, is receiving considerable attention. In an age of accountability characterized by declining enrollments, shrinking budgets, falling test scores, increasing legal restrictions, and the increasing cost of providing public education, there is mounting public concern that some teachers are not paying enough attention to individual pupils and some are not sufficiently dedicated to the teaching profession. This situation is manifesting itself in legislative acts of local personnel evaluation measures to assure the public that educators are account-able, that effective teaching is taking place, and that incompetent teachers will be removed. At the same time, teachers and administrators

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[1] Jason Millman, ed., Handbook of Teacher Evaluation (Beverly Hills: SAGE Publications, 1981), p. 12.

reflecting the expectations of workers in other fields, have insisted that salaries and fringe benefits should be increased continually, regardless of financial limitations of school systems, the state and national economic situation, and the protests of taxpayers.

The challenge for educators, especially those in public school administration, is to develop a framework for planned, individualized improvement on the job. The system, according to Olds, must be one which is positive, fair, and unthreatening; it must afford motivation and positive supervisory support, and deeply involve the individual in self-development. Olds further stated that most personnel evaluation programs in education are negative. Seemingly they are operated primarily for the benefit of legal compliance and for those who maintain personnel records. Developmental performance evaluation, on the other hand, is dedicated to on-the-job growth and has performance improvement as the main purpose.[2]

The literature on teacher evaluation is vast, often argumentative, and frequently theoretical. An enormous amount of material exists dealing with theories, approaches, models, forms, and examples of teacher evaluation. However, few research studies include evidence of reliability or validity. All of this points to the increasing need for all educators, especially school administrators and governing boards, to assume responsibility for systematically planning for the improvement of employee performance, a process that depends on a sound evaluation system.

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[2]Robert Olds, "Performance Evaluation Rates a Close Look," Compact 8 (May 1974): 13-16.

Considerable diversity of thought exists on how to evaluate teach-

ing performance, who should evaluate, and what criteria should be used.

According to Robinson, questions arise regarding the effectiveness of

different teaching styles as they relate to the performance of students,

the effects of adverse teaching conditions on teaching performance, and

the effects of specific school-district policies on the morale and

performance of classroom teachers.[3]

Travers reported that Charles Hoole, master of an English gram-

mar school, published as early as 1659 a series of pamphlets on how to

run a school. The main criterion of teacher effectiveness implicit

in the pamphlets was management. Distribution of authority and other

management problems of the 17th-century school were described in detail.

The pamphlets implied that if the school were managed correctly, then

students would have full opportunity to learn and any deficiencies of

learning would be a result of pupil irresponsibility. The assumption

was that the teacher was accountable for student learning only insofar

as management problems were concerned.

Management of the school also involved what we today call public

relations. A master could function effectively only if he were held

in high public esteem. Hoole's pamphlets provided specific direction

to masters for maintaining a good reputation as well as procedures to

employ should they experience disfavor in the community.[4] The

evaluation of teachers in terms of management skills has persisted and

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[3]Glen Robinson, <u>Evaluating Teacher Performance</u> (Arlington, Virginia: Educational Research Services, Inc., 1979), p. v.

[4]Robert Travers, "Criteria of Good Teaching," <u>Handbook of Teacher Evaluation</u>, ed. Jason Millman (Beverly Hills: SAGE Publications, 1981), pp. 15-17.

continues to be a part of many educational evaluation procedures. It was not, however, until the 20th century that teachers and administrators assumed more than a managerial responsibility for student learning. Of major significance in determining the criteria of good teaching is the distinction between what teachers and administrators view as their responsibility and what is perceived as the responsibility of the student.

Teachers at one time were evaluated on very subjective considerations such as appearance and personality. Today the public demands a more rigorous, systematic approach. Because of dwindling student populations and budgets, the public also insists that the number of personnel be reduced and that instruction and student learning be improved. Performance then has top priority in evaluation. Many teachers are also interested in evaluation. They want excellent teaching acknowledged and rewarded. Some want poor performance sanctioned.

To date, at least 27 states have initiated some measure of teacher evaluation. (See Appendix A.) In North Carolina as in several other states, the effort was begun by politicians in the form of legislative mandate rather than by educators in schools. However, across the state considerable concern exists on the part of both teachers and administrators.

In the face of this intense interest, evaluating teacher performance is one of the most important and difficult tasks that school principals face. The complexity of the teaching task itself and the personalities of the individuals involved contribute to the elusiveness of a single method or approach to effective evaluation. Opposing

educational philosophies and conflicting research further complicate the issue.

The Statement of the Problem

School systems in North Carolina and across the nation are faced with providing an effective system of teaching evaluation. In North Carolina, as in most states, primary responsibility for evaluation of teachers lies with the principal. A clear need exists for a conceptual framework for systematically analyzing and planning for the principal's involvement in the evaluation of teachers.

Significance of the Study

Citizens and legislators have been dissatisfied with educators' efforts to develop a comprehensive program of personnel evaluation. As a result of this dissatisfaction, several states have mandated a comprehensive system of evaluation. In North Carolina, such a system was mandated for all teachers and principals during the 1982-83 school year. (See Appendix B.)

Evaluating teacher performance is one of the most difficult tasks school administrators face each year. Seldom do we hear of any principal, supervisor, or superintendent who is eager to approach the task or who feels the system being used is effective. Principals frequently view their dilemma as reconciling two major functions of teacher evaluation. _Formative_ evaluation helps teachers develop their teaching competence or techniques. To use this type effectively the

principal must establish a climate of trust and openness in which the teacher feels free to show incompetence or lack of skill. <u>Summative</u> evaluation, on the other hand, makes assessments that have implications for promotion, tenure, firing or salary adjustments. In school districts across the country, the importance and value of evaluating the progress and success of newly employed and experienced personnel is recognized. Administrators who have had little training in personnel evaluation are required to meet state mandates in evaluation and implement reduction in force policies, but they must also utilize evaluation as a means of improving teaching. These administrators are expected to provide an environment where these two not so compatible entities can co-exist. Frequently, their evaluative techniques result in alienating the relationship between teacher and administrator and fail to provide constructive suggestions for professional development. In addition to legislative mandates, the issues of accountability of educators, merit pay, reduction of personnel due to declining enrollment, and reduced federal, state, and local funding have implications both for developing and refining an effective system for evaluating personnel and for implementing it at the local or state level. The inevitability and the seriousness of the issue of teacher evaluation are obvious. Regardless of which evaluation procedure is used, the purpose or use of the evaluation must be determined.

Levin suggested that teacher evaluation can serve either or both of two purposes—to improve teaching, and to guide decisions about hiring, retention, and promotion. The purpose of making personnel decisions requires comparison among teachers, and therefore, fair

techniques for evaluation.[5] Reliability, or the extent to which an

evaluation produces consistent results with different people, and

validity, or proof that an evaluation measures what it is supposed to

measure, are also crucial.

In looking at the purposes or uses of evaluation, Michael Scriven

of the Evaluation Institute of the University of San Francisco

originally made the distinction between formative and summative evalua-

tion. Evaluation for faculty development (formative) and evaluation

for personnel decisions (summative) are not intrinsically distinct,

suggested Scriven. He said that summative evaluation must be primary,

because human careers are at stake, not merely professional improve-

ment. Furthermore, if it is not possible to tell when teaching is good

or bad overall, it is not possible to tell when it has improved. If

it is possible to tell when teaching is bad or good, personnel de-

cisions can be made even though it is not known how to make improve-

ments. Diagnosis, he suggested, is easier than healing, and certainly

a preliminary to it.[6]

Millman also made the distinction between the formative role of

improving teaching and the summative use of evaluation data for making

personnel decisions. He indicated that over a dozen distinct purposes

for teacher evaluation exist. Among those are aiding administrative

decisions, guiding students in course selections, meeting state and

institutional mandates, promoting research on teaching, and the like.

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[5] Benjy Levin, "Teacher Evaluation: A Review of the Research",
Educational Leadership, December 1979, pp. 240-245.

[6] Michael Scriven, "Summative Teacher Evaluation" in Handbook of
Teacher Evaluation, ed. James Millman (Beverly Hills: SAGE Publica-
tions, 1981), pp. 244-245.

He defined formative evaluation as helping teachers improve their performance by providing data, judgements, and suggestions that have implications for what to teach and how. On the other hand, summative evaluation serves administrative decision making with respect to hiring, firing, promotion and tenure, assignments and salary.[7]

In addition to the crucial question of purpose, other basic questions must be asked: Who should formally evaluate--principals, supervisors, or peers? When should the evaluation be conducted-- scheduled or unscheduled, once or three times yearly? Which means should be used--checklists, observations, growth plans, interviews? What should be evaluated--process or product? Is consideration to be given to the moral and ethical dimensions of evaluation? Is the relationship between teacher personality and teacher performance to be considered? If so, to what extent and based on what direct or indirect measures?

While these questions and many others may be answered differently by each state, school, or system, the point to be made is that the philosophy and purposes of evaluation must be identified and understood by all involved. Before determining a philosophy or enumerating a plan for evaluation of personnel, consideration must be given to (1) existing laws or mandates, (2) current research or other information, and (3) current attitudes or sentiments toward evaluation.

Dealing with the many complexities of teacher evaluation is a challenge for educators at all levels. However, primary responsibility

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[7]Millman, p. 13.

for formally evaluating teachers and for submitting periodic reports on teaching performance rests squarely on the shoulders of the building principal. According to an Educational Research Service survey throughout the nation, the principal is responsible for evaluation of teachers in 92.5% of the school districts with elementary schools, 86.7% of those with high schools, and 81.9% of those with senior high schools. For 15.7% of the junior high schools and 13.5% of the senior high schools, the responsibility was shared jointly by the principal and assistant principal. Four superintendents in very small school districts reported that they assumed teacher evaluation responsibilities.[8]

In many school districts across the country, principals are responsible by law and by tradition not only for evaluating the teachers in their schools but also for selecting, training, and guiding them. Traditionally, principals have been expected to ensure that subjects are well-taught, and students are well-taught, and students are learning. Often principals feel pressure for improving teaching. This motivation is sometimes intrinsic or self-motivated, but often the source of pressure is extrinsic, emanating from board members, parent groups, or central office personnel.

When summative evaluation instruments are utilized, formal observations are often conducted from one to three times a year. Hyman reported that generally, elementary and secondary school principals differ in their biases regarding effective teaching. Elementary principals view warmth and acceptance as essential criteria, principals

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[8] Joan P. Sullivan Kowalski, Evaluating Teacher Performance (Arlington, Virginia: Educational Research Service, Inc., 1979), p. 28.

Following the selection of this topic for study, the writer exerted considerable time and effort reviewing the history of conceptual model or framework building, conducting a search of related literature, and reading numerous articles in journals and periodicals. In addition, the writer attended related conferences and workshops, initiated numerous discussions and conversations with

_____

[9]William Hyman, "Judging the Effectiveness of Teaching Style," Educational Administration Quarterly, January 1979, pp. 104-116.

in intermediate schools prefer creativity, and high school principals

favor dynamism. Principals at all levels value organized behavior.[9]

With mandated teacher evaluation a reality in North Carolina as

well as in numerous other states and school districts across the

country, and with primary responsibility for conducting such evalua-

tions placed on the building principal, a systematic means of planning,

implementing, and evaluating a program of teacher evaluation merits

considerable attention.

Purpose of the Study

The major purpose of this study is to build a conceptual frame-

work focusing on the principal's role in teacher evaluation. Such a

framework will help to define and clarify the principal's involvement

in the evaluation process. It will also provide a means for systemati-

cally viewing the training or retraining of building principals in the

area of teacher evaluation.

Methodology

Following the selection of this topic for study

the writer exerted considerable time and effort reviewing the history

of conceptual model or framework building, conducting a search of re-

lated literature, and reading numerous articles in journals and

periodicals. In addition, the writer attended related conferences and

workshops, initiated numerous discussions and conversations with

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[9] William Hyman, "Judging the Effectiveness of Teaching Style," Educational Administration Quarterly, January 1979, pp. 104-116.

"experts", practitioners, and others interested in personnel evaluation
in general and teacher evaluation specifically. Several video tapes
and 16mm films were viewed. The conversations, conferences, workshops,
and readings contributed significantly to the writer's insight and
understanding of the complex issue of teacher evaluation. As a result
of reading about, listening to, and talking with proponents of various
models and processes of teacher evaluation, it became increasingly
apparent that what was needed was not another sophisticated research
model but a framework for viewing and understanding the involvement of
the principal in the process of teacher evaluation.

The term "model" usually refers to a small copy of something and
includes the concept of one-to-one correspondence of components. The
elements or components of the model and the actual object are at least
similar. (Examples of this concept might include models of cars,
buildings, or figures made of clay or wax to be copied.)

On the other hand, the term "framework", as referred to in this
study, is less finite and less limiting or restrictive in nature, de-
sign, or elements. Viewed heuristically, a conceptual framework is
one that serves as a means of finding out or discovering and as such
encouraging further thought through refinement and analysis, as com-
pared to a finished product transportable to any setting or situation.

Haworth suggested that it is generally understood that a frame-
work is a structure for supporting or enclosing something. A concept
is an idea which combines various elements into an understandable

whole. Hence, a conceptual framework is one that draws together various elements into a supporting structure which may aid in better understanding a given topic.[10]

Conceptualization of elements crucial to effective teacher evaluation and systematic attention to these elements by a competent principal will contribute to improved understanding and, hence, the likelihood of more effective teacher evaluation.

Assumptions

A particular methodology rests on certain basic assumptions held by the investigator. The following assumptions guided the writer in this study:

1. The present study is worth doing

2. Administrators, both principals and other leadership personnel, can benefit from approaching the training of evaluators in a systematic way

3. Evaluation can be a positive force that aids educators

4. Formative and summative evaluation can be mutually supportive

5. Leadership and effective evaluation are inseparable

6. Sufficient research regarding effective teaching exists to merit its inclusion in a conceptual framework

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[10]Shirley Haworth, A Sociocultural Framework for Understanding Change in Organizations and Application of the Framework to an Educational Setting (University of North Carolina at Greensboro, 1978), p. 7.

Limitations

Limitations on this study include the following:

1. The study is heuristic and exploratory and should be complemented by studies that use more tightly defined research methodologies, such as experimental investigation.

2. The study is culture bound and should also be conducted in other areas of the United States and perhaps outside the United States.

Definition of Terms

Israel Scheffler[11] in The Language of Education refers to three kinds of definitions: Those that are descriptive in which consensus exists; those that are stipulative or exist in or under certain conditions or constraints which have been identified; and those that are programmatic or prescriptive, in which the writer determines the meaning of a term when little or no consensus exists or when a new definition is needed. The following definitions are for the most part stipulative and prescriptive or programmatic.

Conceptual Framework – A system or structure that serves as a means of identifying and analyzing elements or data related to a given subject in order to enhance meaning or understanding.

Principal – The officially designated head of the school.

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[11]Israel Scheffler, The Language of Education (Springfield, Illinois: Charles C. Thomas Publishers, 1960), pp. 13-19.

Teacher - One officially designated as having primary responsibility for providing instruction to students.

Teaching - "That array of activities that teachers employ to transform intentions and curriculum materials into conditions that promote learning."[12] (Teaching and instruction are used synonomously in this dissertation.)

Learning - What occurs when a person makes sense out of what he or she encounters or experiences in interacting with self, others, and the environment.[13]

Curriculum - All the components of a learning situation: the content to be learned, the media by which the information is conveyed, the techniques used in the process, the administrative framework within which the process takes place; the entire system within which learning occurs.

Setting - A term used synomously with the term "creation of a setting"; "any instance when two or more people come together in new and sustained relationships to achieve certain goals."[14]

Supervision - A process to improve the teaching-learning situation by working directly with teachers and focusing on teacher develop-

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[12]Elliot Eisner, The Educational Imagination (New York: Macmillan, 1979), p. 164.

[13]Dale L. Brubaker, Curriculum Planning: The Dynamics of Theory and Practice (Glenview, Illinois: Scott-Foresman and Company, 1982), p. 78.

[14]Seymour Sarason, The Creation of Settings and the Future Societies (San Francisco: Jossey-Bass, 1972), p. ix.

ment. Supervision is teaching and as such is both a scientific and artistic endeavor. Characteristics of supervision include planning of instruction, self-actualization, quality performance, facilitation of learning, and evaluation.[15]

Leadership - The process by which a person influences the action of others to behave in what he or she considers to be a desirable direction.

Praxis - Reflective action; connotes the desirability of inter-action between theory and practice.

Evaluation - Appraising or analyzing the teaching-learning situa-tion for the purpose of ongoing instructional improvement and/or docu-mentation for administrative decision making. Evaluation and performance appraisal are used synonymously.

Formative Evaluation - Ongoing evaluation conducted for the purposes of improving performance and professional development.

Summative Evaluation - Evaluation for purposes of hiring, promotion, retention, and salary adjustments.

Organization of the Study

The organization of this study is as follows: Chapter I contains an introduction to the study, statement of the problem, significance of the study, methodology, assumptions, limitations, definitiion of terms, and plan of organization.

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[15]Thomas J. Sergiovanni, ed., Supervision of Teaching: ASCD 1982 Yearbook (Alexandria, Virginia: Association of Supervision and Cur-riculum Development, 1982), p. v.

Chapter II is a transitional chapter describing the current status of teacher evaluation in order to introduce the review of literature in Chapter III. A separate chapter is given to the current status of teacher evaluation because of its volatile nature as evidenced by the controversy surrounding the topic at the current time.

Chapter III examines current literature on selected topics associated with the principal's involvement in the evaluation of teachers. Topics included in this review of literature are effective teaching research, the principal as instructional leader, models of supervision, leadership and evaluation, motivational theory, and change.

The writer's conceptual framework for viewing the principal's involvement in teacher evaluation, as well as an introduction to conceptual framework building, will be presented in Chapter IV. Development of the framework will be based on the conceptualization of those elements identified by the investigator as crucial to effective teacher evaluation as reviewed in Chapter III. Guidelines for implementing the framework in educational settings will be presented in Chapter IV.

The final chapter will present a summary and conclusions based on the development of the framework. Recommendations for further study will conclude the work.

CHAPTER II

CURRENT STATUS OF TEACHER EVALUATION

The volatile nature of teacher evaluation is evidenced by the tremendous controversy and debate surrounding it at this time in history.

Many teacher evaluation systems have been advocated. In this chapter these systems will be reviewed after discussion of reasons for assessing teacher performances and who should evaluate teachers.

Reasons for Assessing Teacher Performance

Current literature on teacher evaluation indicated several reasons for assessing teacher performance. Those reasons most frequently identified are the following:

To reward superior performance

To supply information for modifying assignments

To validate the personnel selection process

To provide a basis for teachers' career planning

To identify effectiveness of teacher services[1]

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[1]Dale Bolton, Selection and Evaluation of Teachers (Berkeley, California: McCutchan, 1973), p. 46.

The following additional reasons have been cited:

To guide students in course selections

To meet state and institutional mandates

To promote research in teaching

To aid administrative decisions

To improve teacher performance[2]

It has been argued that a school system's main objective in teacher evaluation should be to help the teacher be successful, and that this objective should be changed only when a teacher is unable or unwilling to teach effectively.[3] Fortunately or unfortunately, other agencies or groups such as state legislatures and state boards of education also get involved in determining purposes and standards to be employed in teacher evaluation. They have the authority to set general evaluation policies or mandate by law, or the parameters within which local boards of education must operate. Frequently, when this happens, insufficient time for adequate planning and preparation is allowed, and the potential for effective local evaluation programs is limited.

Evaluation procedures should focus on improving instruction, should be realistic and practical, and should enhance the supervisor-teacher relationship, reported McGreal.[4] As a result of his experience

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[2] Jason Millman, ed., Handbook of Teacher Evaluation (Beverly Hills: SAGE Publications, 1981), p. 13.

[3] J. O'Hanlon and L. Mortenson, "Making Teacher Evaluation Work," Journal of Higher Education, Vol. 51, 1980.

[4] Thomas L. McGreal, "Effective Teacher Evaluation Systems," Educational Leadership, January 1981, pp. 303.

since 1975 working with some 300 school districts and 75,000 supervisors and teachers to build teacher evaluation systems, McGreal identified commonalities associated with desirable practices.

The most important of these for purposes of this study is <u>attitude</u>. Traditional models have stressed teacher accountability while supervisory models have emphasized instructional improvement. This dual emphasis requires evaluators to walk a fine line between accountability and improvement, which is extraordinarily difficult to do. According to McGreal, evalutors must make a choice between the two; the likelihood of success is greater when there is consistency within a system. Generally, he said, accountability systems are designed to obtain documentation of inappropriate teacher behavior. Principals are forced to collect data, use instruments, and act in a directive manner that permits their making summative evaluations of performance. Approaches founded on this attitude are generally based on a misunderstanding of the requirements of documentation or a lack of basic information about what is needed for teacher dismissal. Experience and available data suggest that evaluation systems based on accountability promote negative feelings about evaluation which, in turn, lead to a lack of participation and a lower likelihood of teachers being willing to alter classroom behavior. On the other hand, systems built around the concept of improving instruction are always accompanied by an acceptable level of accountability information. An attitude must prevail that the purpose of the evaluation system, particularly for tenured teachers, is truly to help teachers improve instruction.[5]

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[5]McGreal, p. 304.

Complementary procedures, processes, and instrumentation are also important. The ultimate test of an evaluation system, said McGreal, is whether a relationship of mutual trust exists between the supervisor and the teacher when they meet. The key to success is the amount of flexibility the supervisor and teacher have in working toward the particular skills, knowledge, techniques, styles, and so on that best fit that teacher's needs and interests. A school cannot expect to have an effective system by proposing one purpose and then requiring individuals within the system to follow procedures that are not consistent with that purpose.

McGreal also suggested that separation of administrative and supervisory behavior is another factor of crucial importance. With an emphasis on instructional improvement, principals should try to separate teacher evaluation from teaching evaluation. One of the major violations of this concept is the use of districtwide summative evaluation instruments as the basis for evaluation of classroom performance following observation. In many instances, as much as 75 percent of these criteria are administrative in nature and have nothing to do with the type of data collected during a classroom visit. Formative evaluation techniques are used to make summative judgements.

Many tough, accountability-oriented boards of education accept the notion that there are minimum expectations of teachers that are primarily administrative or personal in nature: adherence to school policy, appearance, personal relationships, relationships with parents and community, and so forth. According to McGreal, these expectations are continuously monitored by an informal unobtrusive nature of admin-

istrators and teachers working, living, and interacting in the same
environment and no special set of procedures and instrumentation need
be established to deal with these issues. Violations are dealt with
as they occur. Teachers accept bureaucratic rules and procedures if
they are handled in an appropriate manner at the appropriate time.

There is no need, McGreal said, to store up evaluation comments
on administrative criteria for inclusion in conferences following
classroom observations. These conferences should allow principal and
teacher to focus on instructional matters, relying on formative evalua-
tion techniques that foster a collegial, supervisory-oriented relation-
ship between professionals.[6]

Who Should Evaluate Teachers

When the question of who will evaluate teacher competency is
raised, some argue the teacher is the best source of information.
Others are of the opinion that if a teacher's competency is to be
known, it must come from external sources since self-evaluation may be
distorted by egocentrism or a tendency toward personal and professional
defensiveness.

Some argue that the logical approach is to include the teacher as
self-evaluator along with other colleagues who are in a position to
make such judgements. The self-evaluation approach encourages teachers
to reflect on their teaching and initiate appropriate changes. Col-
leagues most frequently identified as being in the best position to

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[6]McGreal, p. 305.

evaluate teachers adequately are supervisors, the school principal, and

fellow teachers, provided they possess the professional skills needed to

participate in the evaluation process.[7]

In considering an approach such as self-evaluation, informed

leadership must take into consideration the vast amount of research on

motivational theory. Basic assumptions about human behavior such as

McGregor's Theory X-Theory Y, Hertzberg's theory of motivation, and

Maslow's hierarchy of needs--all have significance as individuals and

organizations determine who should be involved in evaluation.

Administrators must acknowledge that frequently teachers become

anxious and feel threatened at the prospect of being supervised. The

supervisor is often perceived by teachers as a potentially dangerous

person. Teachers often feel they must defend themselves or justify

their actions.[8] On the other hand, sometimes supervisors feel un-

comfortable because often they do not have adequate skills to evaluate

objectively and to make judgements about subordinates. They also

realize that they may be unable to implement remedial measures.[9]

Another viewpoint is that educational evaluation should be carried

out by staff members and students. Included would be self-evaluation

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[7]Gerald J. Pine and Angelo V. Boy, "Necessary Conditions for Evaluating Teachers," NASSP Bulletin, December 1975, pp. 18-23.

[8]Robert L. Heichinger and James M. Young, Jr., "Teachers Perceptions of Supervision and Evaluation," Phi Delta Kappan, November 1975, p. 120.

[9]Judith A. Brody, "A Good Teacher is Harder to Define Than Find," The American School Board Journal, July 1977, pp. 25-28.

by students, self-evaluation by teachers, and cooperative evaluation by
staff and students. In such a setting would evaluation support di-
versity? Would it be liberating? Would there be sufficient resources?
Would self-direction, commitment, and flexibility be promoted?[10] These
questions merit major consideration in determining who should be in-
volved in evaluation of teachers.

Managers are uncomfortable when they are put in the position of
"playing God". Excellent assessments of current performance appraisal
programs and problems of resistance to evaluation are described in
"An Easy Look at Performance Appraisal"[11] and "Chairman Mac In Perspec-
tive".[12] Individual responsibility for establishing improvement goals,
a shift of focus from appraising to analyzing, and the need for empha-
sizing performance rather than personality are recommended. The new
approach outlined is based on the assumption that individuals know or
can learn more than anyone else about their own capabilities, needs,
strengths, weaknesses, and goals.

There is also a trend toward peer evaluation. A national report
indicated that teachers are more receptive to the idea of being
evaluated by another teacher because they feel a fellow teacher will be

[10]James B. Macdonald, Bernice Wolfson and Esther Zaret, "Reschool-
ing Society," ASCD, 1973.

[11]Douglas McGregor, "An Easy Look at Performance Appraisal,"
Harvard Business Review, September-October 1972, p. 133.

[12]Warren Bennis, "Chairman Mac In Perspective," Harvard Business
Review, September-October 1972, pp. 139-142.

[13]National School Public Relations. <u>Evaluating Teachers for Professional Growth: Current Trends in School Policies and Programs</u> (Arlington, Virginia, 1974), p. 23.

[14]L. L. Cummings and Donald P. Schwab, <u>Performance Organizations: Determinants and Appraisal</u> (Glenview, Illinois: Scott Foresman and Company, 1973), p. 176.

more sympathetic and is more competent to judge what takes place in a classroom than an administrator or supervisor.[13]

Some authorities report that it is the duty and obligation of superiors in an organization to make evaluative and developmental decisions. To do otherwise would not be in keeping with the expectations of most subordinates as well as top level management. It is better, they suggest, if several superiors at the same level or at successive levels are involved in the evaluation. The immediate superior is unlikely to observe all aspects of the individual's behavior or weigh these behaviors in the same way that other levels of management might. The drawbacks often cited of peer evaluation include those of administrators finding time and money to release teachers to appraise colleagues, their having time to train teachers in appraisal skills, and reluctance on the part of some teachers to judge their fellow teachers.[14]

Teacher Evaluation Systems

Several models approach teacher evaluation from a highly linear Tylerian or Research and Development perspective. These models can best be described as having control over the process as well as the individuals involved as the primary goal. An awareness that this is the dominant model used for educational development by the U.S. Office of

[13]National School Public Relations Report, "Evaluating Teachers for Professional Growth: Current Trends in School Policies and Programs" (Arlington, Virginia 1974), p.

[14]L. L. Cummings, Donald P. Schwab, Performance Organizations: Determinants and Appraisal (Glenview, Illinois: Scott Foresman and Company, 1973), p. 176.

Education, by state education agencies, and the research and development centers across the United States sheds valuable insight on why so few attempts at evaluating teachers or other efforts involving educational change are effective.

Furthermore, few of the models take into account the moral or ethical dimension of teacher evaluation. The worth, integrity, and dignity of individuals being evaluated is seldom a consideration. Efficient measures or procedures seem to be in conflict with humanistic ethical models. Concern for the technical dimensions of evaluation overshadows concern for the integrity of individuals and the importance of relationships between persons and organizations.

The use of an observation instrument or system such as the Flanders Interaction Analysis is relatively rare. Observation instruments of this type can be useful for giving teachers feedback on aspects of their teaching. However, provision of appropriate feedback is no guarantee that teaching will improve or change. These instruments may be helpful in analyzing the teaching act but not judging its effectiveness.

One of the most popular approaches to teacher evaluation is the rating of teaching by students. Using one of many rating tools available, it was found that different groups of students tend to give similar ratings to the same teachers, and the same students rate teachers similarly at two different times. While reliability is high and relatively easy to ascertain, validity is a difficult question to determine, primarily because it calls for a rating based on personal opinion. While ratings of students and other evaluators differed significantly,

students' scores on tests correlated well with their rating, indicating that students are good judges of their own learning. Characteristics of good teachers identified repeatedly by students included clarity of presentation, enthusiasm, and empathy. The research indicates that many of the fears about students' evaluations of teachers are not well founded, and that such evaluations can provide reliable useful data for evaluation purposes.[15]

The most common approach was ratings by supervisors, usually the principal, who made two or three thirty-minute visits to the classroom. The interesting yet not surprising findings was the variance between elementary and secondary principals in criteria for judging teaching. Elementary principals tended to value warmth, creativity, and organization while secondary principals valued systematic, task-oriented, structured teaching. Generally, teachers felt supervisory evaluations were of no value to them and were not in their best interests. The problem of confusing the teacher's personality and staff relations with teaching ability was a concern.[16]

Heated debate often surrounds the selection or designation of procedures to implement the evaluation process regardless of whether those decisions are made at the school level, district level, or state level.

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[15]Glenn Robinson, <u>Evaluating Teacher Performance</u> (Arlington, Virginia: Educational Research Services, Inc., 1979), p. v.

[16]George B. Redfern, <u>How to Evaluate Teaching: A Performance Objectives Approach</u> (Worthington, Ohio: School Management Institutes, 1972), p. 112.

Activities described as evaluation were akin to coaching, teaching, supervising, counseling, or helping teachers become better teachers. The consensus of the research is that effective practice in evaluation calls for reducing the judgmental components of the process for optimal impact on teaching improvement. While these efforts are commendable, the question remains whether they represent what is commonly understood as "evaluation"? Apparently evaluation is considered valuable only if it serves to improve but not judge instruction.

While summative evaluations may not be helpful to teachers as a way of improving instruction, they may have other useful purposes such as validating the schools' teacher selection process, rewarding superior performance, protecting students from incompetence, and supplying information that will lead to the modification of teachers' assignments such as placement into other positions, promotions, and terminations. The salient ideas found in the teacher evaluation literature as it pertains to making summative evaluations of teaching identified five important dimensions of teacher evaluation and recommended three methods that can be used for making holistic judgements. The five dimensions of teacher evaluation are as follows:

Summative vs. Formative Evaluation. The purpose of the summative evaluation is to "grade" the quality of teaching. In contrast, formative evaluation provides the teacher with suggestions and information to improve teaching performance, which should lead to a higher rating on the summative evaluation.

Criteria and Standards. The criterion is an objective statement that specifically identifies the aspect of teaching performance or

characteristics to be evaluated. Most teacher evaluations are more sub-
jective than objective.

Styles of Perception. In general, evaluators look either at
tangible factors of the teacher's classroom performance or for more in-
tangible qualities. Perceptions of the first style are based on the
teacher's behaviors, lesson planning, and techniques in the classroom.
Perceptions of the second style are based less on definable patterns
than on such qualities as cooperation, professionalism, and other gen-
eral character traits.

Discernment vs. Criticism. The discerning evaluator can identify
which teachers are excellent and which are mediocre. The critical
evaluator can identify the factors that make a teacher excellent or
mediocre.

Arithmetic vs. Holistic Evaluation. The arithmetic approach
weighs each teaching dimension, totals the ratings, and arrives at an
overall sum. This approach is useful when comparing teachers, but may
not be justifiable for dismissing teachers. The holistic approach looks
at the total effect of all teaching dimensions at one time. The two
approaches are not necessarily exclusive. Three methods are identified
in the literature for making holistic judgements about teachers:

Paired-comparisons--pairing teachers to be compared to one
another in a process of elimination and selection to determine which
teachers are most effective and which are least effective.

Intrinsic scoring--rating each teacher as average, or 3, on a
scale of 1 to 5 and then rearranging teachers symmetrically over the
ratings until a spread is reached.

Performance-based procedures--applying a five-point scale to in-
dividual, specifically defined dimensions of teachers performance.
Teachers may receive different ratings on various dimensions. The result
provides a defined basis on which to make summative evaluations.[17]

Clinical supervision has long been a respected and recommended
evaluative or supervisory model. However, the complete application of
the model in local school systems is not easy to implement, due to the
required training period, the time requirements, and the inconsistencies
between the philosophy of clinical supervision and the nature of super-
vision as carried out by administrators when they evaluate. Neverthe-
less, since the major form of data collection used in schools is class-
room observation, the use of preconferences prior to observation as
suggested by clinical supervision, observation, and postobservation
conferences is invaluable.

Research indicates two primary ways to increase the reliability of
classroom observation. The first is to narrow the range of things one
looks for during observation by using a goal-setting process, by operating
a system based on a narrowed focus of teaching, or by using some type
of observation guide or focusing instrument. The second way to increase
reliability is related to the kind and amount of information a person
has prior to an observation. Consequently, the preconference is a
useful and practical way to improve classroom observations.

Effective evaluation systems utilize several sources of data.
Observation is only one way to collect data about teaching. Among other

[17]James Raths and Hallie Preskill, "Research Information Service,"
Educational Leadership, January 1982, pp. 310-311.

alternatives are self-evaluation, peer evaluation, parent evaluation, student evaluation, student performance, and artifact collection. While each method has some potential, three are especially useful. The first is <u>classroom observation</u> specifically directed toward collecting descriptive data relevant to established goals, and, as suggested before, use of preconferences before observations.

The second source of data is the use of student evaluative or, more accurately, <u>student descriptive data</u>. In terms of evaluation/ supervision systems, it appears to be more reliable and hence more valuable to have students respond to written or oral statements asking for their perceptions of what occurs in a classroom than to have them rate the teacher. Having students respond to "everyone is treated fairly here" is more descriptive than judgmental; having students respond to "The teacher has favorites" is a personal rating item.

The third source of data that should be a regular part of an evaluation system is an <u>artifact collection</u>. Artifacts include study guides, question sheets, homework assignments, practice sets, experiments, descriptions of drill and practice activities, quizzes, and tests. Collecting and reviewing teacher artifacts takes on tremendous importance in light of teacher effectiveness research, which shows that 50 to 70 percent of the average student's day in school is spent in seat work and related activities. Concepts of classroom planning that go beyond the traditional lesson plan can be developed through the collection and subsequent discussion of artifacts.

The following approaches to evaluation are among those most frequently cited in the literature:

1. Students' ratings of teaching through questionnaires and other survey instruments

2. Evaluation based on observation by supervisors, such as principals

3. Evaluation based on an observation instrument or system, such as the Flanders Interaction Analysis System

4. Self-evaluation by teachers

5. Evaluation based on gains shown by students on various tests

6. Evaluation through specially designed "teaching tests"[18]

The controversial view that teaching competency can be measured effectively by students' gains on tests has been challenged by many educators. Rather extensive research in this area cautions against the sole use of student gains to evaluate teaching. Evaluation through "teaching tests" as outlined by James Popham is aimed at the evaluation of teachers for personnel purposes rather than for improvement of instruction and is aimed at student outcomes or test scores as evidence of effective teaching performance. The disadvantages of such a system include teaching the test, loss of long-range goals in favor of short-term scores, and the implications of nonrandomly constituted classes.

Evaluation of Tenured and Nontenured Teachers

Most evaluation systems apply the same procedures and requirements to tenured and nontenured teachers. The only difference is that "it" happens more frequently to nontenured teachers. These two groups are not the same and the requirements concerning their participation in the system should be different.

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[18]Raths and Preskill, p. 310.

Evaluation of nontenured teachers has two distinct purposes. The first is to provide administrators with data to use in making retention decisions. Second, the system must provide beginners with a support process that improves teaching skills and gives them a positive image of what supervision can be. More and more schools are accepting the recommendation that the following conditions be part of the evaluation process for nontenured teachers: (1) Goals are established for the teachers; most beginners are not sophisticated or confident enough to set their own goals. (Goals for beginning teachers should usually relate to planning and management skills.) (2) Regular observations accompanied by pre- and postconferences are made during a two- or three-day visit sequence. (3) At least once each semester student descriptive data are collected from one of the teacher's classes. The data are used formatively by the principal and teacher and are put in the teacher's portfolio. (4) At least once each semester for a two- or three-week period or for a unit of work, all materials used or produced by the teacher are collected and reviewed with the supervisor. The comments and suggestions and the artifacts themselves are kept in the teacher's file.

Since an evaluation system for tenured teachers should focus on improving instruction, the teachers should be active participants in the goal-setting process and data sources should relate to the established goals. While nontenured teachers go through the evaluation process continuously, tenured teachers go through the system only every second or third year. This is based on considerable experience showing that extensive contact between supervisor and teacher over the course of a

year in a well-developed goal-setting system is much more effective in
altering classroom behavior than the perfunctory, unfocused yearly visit
that characterizes most local evaluation systems.

· Multiple sources of data are generally not required of tenured
teachers, but rather are used by agreement between principal and teacher
as dictated by the type of goals set by the teacher.[19]

Training for Evaluators of Teachers

An evaluation system is effective in direct relation to the amount
of training received by all the participants. Too often teachers and
principals are expected to operate within systems that demand skills or
understandings to which they have not been exposed. Consequently they
are forced to fall back on old practices and attitudes that are not ap-
propriate or supportive of a new system.

From the perspective of the commonalities, an appropriate training
program would include goal-setting skills for both principals and
teachers; definitions, explanations, examples, and practice in the se-
lected teaching focus; explanation of and practice in use of student
descriptive data and artifact collection; classroom observation skills
for principals; conferencing skills for principals, and a general review
for all participants covering the prevailing attitude toward the purpose
of evaluation in the local district and how the system and the expecta-
tions toward the participants in the system are congruent with that
attitude. In many instances, the training can be accomplished in

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[19]Raths and Preskill, p. 311.

relatively short periods of time. Much of the initial training can be handled in six to eight hours for principals and five hours for classroom teachers.

The above commonalities are offered not as a model evaluation system but as a basis for reviewing current practices in a district. Districts wishing to redesign their present systems may use these commonalities as a starting point. School administrators who desire to increase effectiveness of their district's teacher evaluation system must look at the existing system, particularly with regard to its purposes, procedures, processes, and instrumentation. What the district wants its system to be and do, and what the system requires of the people involved must be congruent.

All members of the school staff must be provided with appropriate training and guided practices in the skills and knowledge necessary to implement and effectively maintain the system.

According to Bellon, developing a good evaluation program takes two to four years to put in place. He suggested that a small school should see results in about three years. The first year is spent developing the process and the second year refining it. He cautions educators not to expect too much too soon.

In systems that function effectively, a recurring commonality is some form of goal setting between the teacher and the principal. The use of goal setting as a basic supervisory activity has increased dramatically in recent years, partly in opposition to evaluation systems built around standardized criteria offering no opportunity to individualize supervisory practices.

In its most effective format, the goal-setting process is a co-
operative activity between the principal and the teacher that results in
a mutually agreeable focus. The goals become the core of the evaluation/
supervision process.[20]

In order to have an impact on instructional practices, principals
and teachers must have some common framework and a similar set of defini-
tions about teaching from which to work. Principals also need thorough
knowledge of classroom teaching skills.

More is known about teaching and its impact on student learning
than ever before. The evaluation/supervision systems that function most
effectively are based on a particular approach to teaching which serves
as a framework for the instructional interaction between principals and
teachers. Two useful and frequently mentioned ways of narrowing the
focus of teaching are provided by teacher effectiveness research and by
research studies conducted at the University of California at Los Angeles
related to teacher appraisal. Both are useful because of their focus
on teaching behaviors. A review of effective teaching research is in-
cluded later in this study.

Obviously, approaches and practices related to teacher evaluation
are numerous and vary in districts throughout the country. Educators and
legislators have become increasingly involved in accountability measures
including teacher evaluation. State legislatures are asserting an in-
creasing amount of power and influence over educational matters such as
teacher evaluation mandates and qualifications for teacher certification

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[20]Jerry Bellon, "Workshop on Evaluation of Personnel" (Boone, N.C.:
Continuing Education Center, 1982), pp. 7-8.

and educational outcomes as evidenced by competency testing and annual testing requirements. State boards of education are increasingly losing control over educational matters in the schools.

Many believe the ultimate goal of these efforts is to improve the schools. To do this, they believe the solution is to improve the quality of teachers. In order to do this, proper evaluation procedures must be developed, incompetence documented, and termination of employment result. However, dismissal charges based on incompetence are extremely difficult to prove in courts of law, and few teacher evaluation procedures are adequate for documenting incompetent teaching. Few principals are adequately trained to carry out such procedures.

Responsibility and competency in effective evaluation require that principals possess wide-ranging knowledge of supervision, motivation, and change as well as the current research on teaching effectiveness. Although principals may find it difficult to keep up with the fast-paced changes in law and research, their job of improving instruction by selecting good teachers, supervising them in the classroom, developing curricula, and recommending dismissal for incompetent teachers requires them to make decisions and take actions daily. To be effective evaluators, principals must master the formal requirements of completing classroom observations on standardized instruments, develop skills in conferencing and clinical supervision, and carry out the evaluation process in a context of mutual understanding, effective communication,

and good will. Improving instruction takes good management and good in-
structional leadership. The principal is the key.[21] The following

chapter, which reviews related literature, will demonstrate this point.

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[21]Thomas R. McDaniel, "What's Your P. Q. (Principal Quotient?",
Phi Delta Kappan, March 1982, pp. 464-468.

CHAPTER III

REVIEW OF LITERATURE

The purpose of this chapter is to review current literature on
selected topics associated with the principals' involvement in the eval-
uation of teachers. Since research indicates the primary responsibility
of formal evaluation of teachers rests with the principals, the litera-
ture related to the principal as instructional leader will be reviewed.
Topics also reviewed in this chapter include effective teaching, class-
room management and instructional organization, supervision, leadership
and evaluation, motivation, and change.

The Principal as Instructional Leader

Effective instruction is or should be a major goal of every edu-
cator. The indiviual most frequently cited as being the key to good
instructional leadership is the principal. Much of the research on
effective schools as well as that concerning school change and implemen-
tation of innovations and safe schools cumulatively highlights the
crucial role of the building principal and the importance of principal
leadership for instructional improvement and effectiveness.

Principals in effective schools make more observations of
teachers' work, discuss more work problems with teachers, are more
supportive of teachers' efforts to improve, and are more active in

setting up teacher and program evaluation procedures than principals in less effective schools. Research has sufficiently established the prerequisites for and nature of effective principal behavior.[1] These behaviors include knowledge and skills concerning effective teaching and curricular practices, goal setting, decision-making, resource allocation, staff and program evaluation, staff development and reward systems, and other management behaviors.

Improving student achievement is reported to be a prime motivator for principals. In interviews with some 113 principals, 75 percent said evidence that their students are achieving is the major satisfaction they get from their work.[2] To improve student achievement, principals must organize and sustain an effective instructional program. Expertise is required in the nature of the technical work of schooling—an understanding of learning processes and of students as learners, as well as proficiency with respect to effective instructional and curricular practices.

Principal leadership also requires expertise in staff development practices based upon an understanding of teachers as workers and adult learners. In addition, successful principals must have an understanding of the dynamics of organizational processes—processes of change and implementation, as well as those processes which promote continuity and stability. Technical expertise in these areas must also be complemented

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[1]Steven Bossert, "Instructional Management Role of the Principal," Educational Administration Quarterly, Summer 1982, p. 136.

[2]Michael Cohen, "Effective Schools: Accumulating Research Finding," American Education (January-February 1982), p. 14.

by personal characteristics which facilitate successful performance. By
its very nature, educational work is often filled with unpredictable
situations and ambiguity which cannot be readily managed by strict ad-
herence to standard operating procedures or uniform policies.[3] Suc-
cessful principals then should possess resourcefulness and the ability to
generate solutions to problem situations.

Effective schools require a sense of purpose and direction based
on well developed and clearly articulated goals. Effective goal setting
involves several dimensions. Such leadership requires the principal to
possess a clear vision of where the school is going. That vision must
be kept in mind in the course of numerous daily informal and unscheduled
encounters with staff, students, and community as well as in more formal
meetings and communications. Not only must the principal have a personal
sense of goal clarity, but he or she must also be effective in communicat-
ing those goals to faculty and students of the school, getting them to
"buy into" the goals and make them their own.

Four generally effective tactics that principals may use to
shape the behavior, norms, and expectations of their staffs include
announcing, modeling, sanctioning, and protecting.[4] Promoting positive
instructional outcomes requires school management decisions to be made
on the basis of student learning goals and the principal's knowledge
of factors which promote conditions for effective instruction in class-
rooms. Decision-making, resource allocation, and interaction with

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[3]Cohen, p. 15.

[4]Cohen, p. 16.

staff with regard to such issues as the assignment of students to teachers and classrooms, the scheduling and time allocated to instructional and other activities, staff proposals for experimentation and innovation, choice and selection of staff development activities, the observation and evaluation of instructional staff, and the development of behavior and discipline policies should all be based, to a large extent, on informed judgements regarding the extent to which any given alternative will promote, or detract from, the conditions required for effective instruction to occur.

Such behavior on the part of the principal attends to factors which generate and sustain commitment on the part of students and staff to the learning goals of the school. These factors allow for and encourage the integration and articulation of curriculum and instructional activities across and within grade levels and subject areas. Principals should buffer instructional time and processes from intrusions, and encourage, model, and reward teachers' attempts to engage in shared and collegial efforts to improve their instructional practices.

In spite of increasing knowledge about principal effectiveness, many school systems have not clearly defined what they expect from their principals. Furthermore, current methods of evaluating principals do not reflect the research on effective principal behaviors.

In many instances, no clear direction for any particular behavior, no criteria for evaluating effectiveness, and little opportunity for principals to get useful feedback on their performance exist.

Principals need to understand that instructional leadership is more than a matter of direct time in classroom, but an attitude that

underlies most of their management activities and management decisions.

Having articulated expectations regarding principal performance, Lortie went on to say that districts need to develop behavioral measures to use in selecting principals. One approach is the use of assessment centers such as those recently developed by the National Association of Secondary School Principals. In the NASSP model, participants are observed by trained assessors as they perform in specially designed activities over a two-day period. The activities are designed to measure skill dimensions including problem analysis, judgement, organizational ability, decisiveness, leadership, sensitivity, range of interests, personal motivations, stress tolerance, educational values, oral communications skills, and written communications skills. Assessors meet and reach a consensus rating in each of the areas. In addition to the written report, each participant receives a comprehensive private feedback session.

It is important that selection processes screen out applicants lacking certain important skills that research on human learning indicates are particularly difficult to teach--human relations skills, personal resourcefulness, creativity. Current selection procedures rarely incorporate opportunities to actually observe candidates in the kinds of management activities essential to effective leadership, nor do school districts generally design professional growth opportunities that give potential principals practice in these essential skills.[5]

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[5]Cohen, p. 16.

Similarly, study of effective principal behaviors has also led to a better understanding of the essential knowledge and skills principals need. Preservice training in most institutions focuses on administrative and management areas such as finance and law and general principles of management and supervision. Much of the theory is not particularly useful, first, because preservice students often lack the experience base to apply it, and second, because many of the administrative issues discussed in classes focus more on district-level than on building-level decisions. Moreover, preservice training often fails to address the day-to-day operational issues, as basic as scheduling, for example, that effective principals must master in order to concentrate on larger issues of instructional leadership, motivation, and change.

Conversely, inservice training tends to focus on specific instructional areas, curricular or technological innovations, or implementations of state, federal, or local mandates. Principals rarely have an opportunity to think about the totality of their role or to use theory to understand events in their own schools. At both preservice and inservice levels, current training typically provides little in the way of process and organizational skills without which principals are unable to apply technical knowledge.[6]

Bellon and Bellon suggested that organizations such as schools must have strong leadership from the principal. Instructional improvement is not a short-term process. The complex and dynamic nature of

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[6]Arthur Blumberg and William Greenfield, The Effective Principal: Perspectives on School Leadership (Boston: Allyn and Bacon, 1980).

teaching and learning demands a systematic, developmental approach to
improvement. Short-term measures produce only temporary or surface
level changes. Meaningful and lasting improvements are achieved only
through cooperative efforts with adequate time provided for planning.
It is important that those who will be involved with the instructional
program participate in the planning and the development of strategies
and activities to accomplish jointly established goals. Bellon and
Bellon went on to say that many institutions are organized to handle
daily routine very well. The problem is that, too often no decision
is made regarding which of the daily routines will be done at all.
They further said that like other organizations, schools need to have
goals established to give direction and purpose. Thus, the quality of
the educational program of an individual school depends on the leader-
ship effectiveness of the building principal. In the final analysis,
the principal must be seen as the instructional leader who is responsible
for the educational program of the school. The instructional leadership
behavior exhibited by the principal will serve as a model for the
teachers, support staff, and students. When the leadership behavior is
positive, and focused on improving student learning, the entire school
benefits.[7]

Factors related to the principalship that were identified in
four studies of successful urban schools include strong leadership and
high expectations. All four schools had a clearly identifiable instruc-
tional leader. In three cases these individuals were principals; in

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[7]Jerry Bellon and Elmer Bellon, Classroom Supervision and Instruc-
tional Improvement: A Synergetic Process (Dubuque, Iowa: Kendall/Hunt
Publishing Company, 1982), pp.

one case, the area superintendent. In all four cases these persons led the beginning reading program. All had high expectations of inner-city children and provided a school climate characterized by order, a sense of purpose, relative quiet, and pleasure in learning. Strong emphasis was placed on reading. Reading was the first concern in the primary grades.[8]

Implications for the principalship were also obvious in The New York Study, which reported factors associated with high achieving schools:

1. Positive principal/teacher interaction

2. Frequent informal classroom observations by the principal

3. A set of schoolwide practices for reading instruction

4. Attention to atmosphere conducive to learning

5. Open communication with parents and the rest of the community[9]

Principals have traditionally viewed themselves as caught in the middle of conflicting expectations of the central office on one hand and teachers on the other. Recent research conducted at Iowa State University substantiates the fact that indeed the principal's superiors and subordinates do have different views about what makes a principal effective.

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[8]George Webber, Inner-City Children Can Be Taught to Read: Four Successful Schools (Washington, D.C., Council for Basic Education, 1971), p. 1.

[9]New York State Office of Evaluation Performance Review, "School Traits Influencing Reading Achievement: A Case Study of Two Inner-City Schools," in The New York Study (Albany, March 1974), p. 121.

The principal's six key functions were identified in the Iowa study:

1. Human resource management

2. Instructional Leadership

3. Noninstructional functions

4. Pupil personnel

5. School-community relations

6. Student behavior (control)

Human resource management and instructional leadership topped the priority list for principals, central staff and teachers. Central office administrators and principals agreed that about 30 percent of the principal's time should be spent on the instructional leadership function while teachers indicated that 20 percent was adequate.[10]

An instructional leadership model for principals based on research on organization and management theory and on work with thousands of principals across the United States suggests that the school year should be divided into three parts or phases with a major instructional leadership function for each:

1. _Planning_ - September and October

2. _Developing_ program and staff - November through April

3. _Evaluating_ - April and May

The model shown in Figure 1 outlines the principal's tasks. Success, said Snyder, depends first of all on a vision of what is possible;

[10.] ASCD, _Update_, No. 25, January 1983.

second, on collective reflection and action; and last, on the ability

of those involved to work together productively.[11]
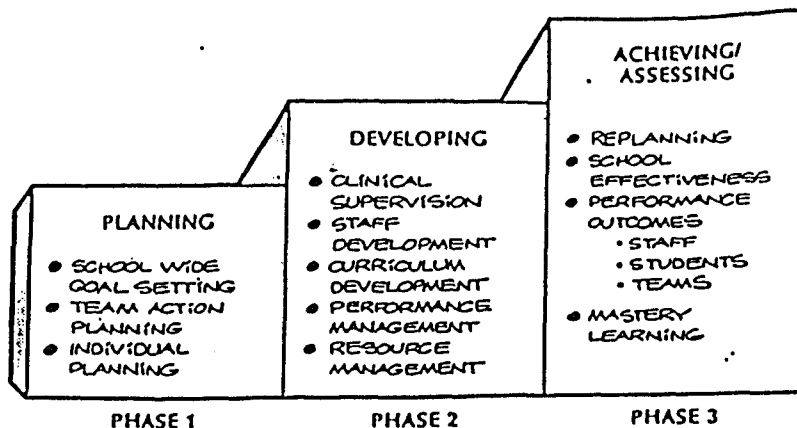
Figure 1. An Instructional Leadersip Model That Builds
           School Success.

As summarized in recent research, principals of effective schools

1. Take strong initiative in identifying and articulating
    goals and priorities for their schools. They run their
    schools rather than allow them to operate by force of
    habit.

2. Hold themselves and their staffs personally accountable
    for student achievement in basic skills.

3. Understand educational programs inside and out. They are
    instructional leaders rather than administrative leaders.
    Their first priority is instruction and they communicate
    this to staff.

4. Are highly visible in the classrooms and hallways of the
    schools.

5. Care more about their schools' academic progress than
    human relations or informal, collegial relationships with
    their staff members.

6. Attempt to handpick their staff members. They put pressure
    on incompetent teachers to leave and find ways to reward
    excellent teachers.

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[11]Karolyn Snyder, "Instruction Leadership for Productive Schools,"
Education Leadership, February 1983, pp. 32-37.

7. Set a tone of high expectations for their staff and students.[12]

A useful model for promoting the role of the principal as first an instructional leader and second a managerial functionary was developed by Jones. This analytic and programmatic model was presented with three interrelated stages based on a creation-of-settings model. In actuation of the setting, eight key goals were identified accompanied by proficiencies illustrative of the behavior needed to accomplish the goals. Administrative manifestations of the model refocus the role of the elementary principal on "initiating and leading a strong, vibrant educational program rather than on a trivialized managerial functionary role".[13] The eight creation-of-settings goals for the principal as instructional leader with accompanying proficiencies and administrative manifestations were outlined in the Jones study.[14]

Clearly, the role of the principal is changing dramatically. These new demands, education-centered legislation, and models of effective school leadership suggest that the principal of the future will not be managing a set program, but rather will be working with the community, staff, and students in identifying needs, establishing high expectations, and developing, executing, and evaluating programs. The

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[12] James Hager and L. E. Scarr, "Effective Schools-Effective Principals: How to Develop Both," Educational Leadership, February 1983, pp. 38-40.

[13] Frances Faircloth Jones. "The Elementary School Principal as Leader: An Analytic and Programmatic Model" (Ed.D. dissertation, University of North Carolina at Greensboro, Greensboro, N.C., 1978)

[14] Jones, pp. 83-91.

research on effective schools clearly documents the important role the principal must play. To provide needed leadership to improve what takes place in classrooms and the growth and development of those who direct these activities, principals need a basic understanding of the latest findings regarding effective teaching and classroom management.

Effective Teaching Research

Ingredients of effective teaching resulting in increased student learning have been identified in many research studies and validated in classrooms across the United States. These studies have focused on what it is that effective teachers do to increase student learning and achievement. Among the topics included in the studies are school climate, time on task, student opportunity to learn, mastery learning, classroom management, teacher expectations, and student achievement and direct instruction. These are areas that teachers can control to improve the teaching and learning process.

Central to an understanding of effective teaching is a definition of teaching and learning. Eisner defined teaching as that array of activities that the teacher employs to transform intentions and curricular materials into conditions that promote learning. Learning, on the other hand, is what occurs when a person makes sense out of what is encountered or experienced when one interacts with self, others, and the environment.[15]

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[15] Elliot Eisner, The Education Imagination (New York: Macmillan, 1979), p. 164.

Effective teaching is not simply a matter of implementing a small number of basic teaching skills. Instead effective teaching requires the ability to implement a very large number of diagnostic, instructional, managerial, and therapeutic skills, tailoring behavior in specific contexts and situations to the specific needs of the moment. Effective teaching involves orchestration of a large number of factors, continually shifting teaching behavior to respond to continually shifting needs.[16]

Instructional improvement can only be productive if teaching and learning are both emphasized, and that instructional improvement depends upon what teachers do, rather than its being a function of their personal traits or characteristics.[17]

Meaningful and lasting improvements require adequate time and systematic planning due to the highly complex and ever-changing nature of the teaching and learning process. The many aspects of instruction are not discrete entities that can be conveniently separated. However, major aspects of effective teaching identified by research as having significant positive impact on student learning can provide valuable direction for educators when incorporated into a meaningful and manageable framework for instructional improvement.

For many years, process/product researchers have studied the relationship between teacher behaviors (process) and student achievement

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[16] Jere E. Brophy and Carolyn Evertson, Learning From Teaching: A Developmental Approach (Boston: Allyn and Bacon, 1976), p. 139.

[17] Jerry Bellon, Elmer C. Bellon, and Janet R. Handler, Instruction Improvement: Principles and Processes (Dubuque, Iowa: Kendall/Hunt, 1977), pp. 1-2.

(product) with the hope of determining which teacher behaviors will lead to increased student achievement. Such process/product studies usually involve two major steps: (1) the description of selected teaching/instructional activities and (2) the correlation of this description with some measure of pupil outcome.[18]

Research was conducted to determine whether teachers could be taught to use direct instruction and if this process would lead to increased student achievement. Remarkable increases in achievement were found in classrooms where teachers were characterized as businesslike, task-oriented, and concerned about academic learning time.[19] More effective teachers, in contrast to less effective teachers, taught the class basically as a whole, presented information more clearly, were task-oriented, created relaxed learning environments, had higher achievement expectations, and had fewer discipline problems.[20]

A review of recent process-product studies indicates that teacher effectiveness is dependent upon the level at which one chooses to integrate extent data. If reviews are organized at the level of individual behaviors, the results of teaching effectiveness are somewhat pessimistic. However, if findings are organized at a broader level, it is possible to be quite optimistic about the usefulness of the findings from process-product research.

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[18]O. L. Silvernail, Teaching Styles As Related To Student Achievement (Washington D.C.: National Education Association, 1979), p. 16.

[19]S. B. Stow, "Using Effective Teaching Research in Teacher Evaluation," Educational Leadership, October 1979, pp. 55-58.

[20]Thomas L. Good and D. A. Grouws, "Teaching and Mathematics Learning," Educational Leadership, p. 64.

Three conclusions were drawn from the process-product research:

1. Elementary school teachers do exert differential effects upon student achievement

2. Classroom management skills are exceedingly important

3. A pattern of teaching behavior called "direct instruction" seems to be a useful heuristic for describing effective elementary classroom teachers [21]

Direct instruction refers to academically focused, teacher-directed classrooms using sequenced and structured materials. It refers to teaching activities where goals are clear to students, time allocated for instruction is sufficient and continuous, coverage of content is extensive, the performance of students is monitored, questions are at a low cognitive level so that students can produce many correct responses, and feedback to students is immediate and academically oriented. In direct instruction, the teacher controls instructional goals and chooses materials appropriate for the student's ability.

When more than 50 studies were reviewed in which naturally occurring behaviors were related to measures of student growth, nine variables appeared to yield the most consistent results: (1) clarity; (2) variability; (3) enthusiasm; (4) task-oriented behavior; (5) criticism; (6) teacher indirectness; (7) student opportunity to learn

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[21]Thomas L. Good, "Teacher Effectiveness in the Elementary School," *Journal of Teacher Education*, March-April 1979, pp. 52-64.

criterion material; (8) use of structuring comments; and (9) multiple levels of questions.[22] This research was refuted for lack of conceptual design, and methodology pointing out that the idea of effective teacher behavior might be different for various age groups was never considered.[23]

Recent large-scale field correlational studies reported, however, that significant overlap and replication exist to provide dependable knowledge about relationships between teacher behavior and student learning of basic skills in the elementary school.[24]

Anderson, Evertson and Brophy developed 22 principles of small-group instruction and organized them into a treatment designed for first-grade teachers to use with their reading groups. Principles of small-group instruction were identified that contributed significantly to learning gains.[25]

On the other hand, studies in fourth-grade mathematics instruction reported among other things, that large-group or whole-class instruction was superior to small-group instruction. Whole-class, direct instruction is often criticized by those who favor individualized and

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[22]Barak Rosenshine and N. Furst, "Content, Time, and Direct Instruction," in Research on Teaching, Findings and Implications, ed. Peterson and H. Walberg, (Berkeley: McCutchan, 1979), p. 108.

[23]R. Heath and M. Neilson, "The Research Basis for Teacher Evaluation," Review of Educational Research, October 1974, pp. 463-484.

[24]Jere E. Brophy, "Teacher Behavior & Student Learning," Educational Leadership, October 1979, pp. 33-38.

[25]H. H. Anderson, L. C. Everston, and J. Brophy, "An Experimental Study of Effective Teaching in First-Grade Reading Group," Elementary School Journal, October 1979, pp. 222-223.

self-paced instruction, but like recitation, it survives. It survives

and is effective because it has important advantages. It is easier to

plan and manage, provides more modeling of correct thinking and re-

sponses for slower students, and avoids the elitism and labeling prob-

lems that can crop up with ability grouping.[26]

Brophy summarized current research activities in the field of ef-

fective teaching as featuring two major trends:

1. Integrating existing correlational findings and probing
   the limits of their generalization to contexts beyond
   basic skills instruction in the elementary grades,

2. Experimental studies in which clusters of correlational
   findings are brought together into treatment packages
   and assessed for degree of implementation by teachers and
   for success in producing more learning than what is ob-
   served in control groups.[27]

Research indicates that direct instruction seems clearly superior

to open education for producing mastery of basic skills. It may not be

the best approach for curricular areas that do not involve skill mastery,

but instead seek to promote appreciation, general familiarity, enrich-

ment, or student personal development. Open education is reported not

to be necessarily effective here, either. Open education advocates are

reported to have put too much stress on things like free choice of

tasks or free movement around the room, which are less vital to real-

life application than things like developing skills for problem solving

and self-evaluation. In any case, some structure is needed for most

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[26]Thomas Good and D. Grouws, "Teaching Effects in Fourth Grade
Mathematics Classrooms," Journal of Teacher Education, May–June, 1977,
pp. 49–54.

[27]Brophy, p. 38.

educational activities, and relatively more is needed in the early
grades, for low ability students, and for anxious or dependent students.[28]

Critical aspects of direct instruction were reported as effective
for producing student learning of basic skills:

1. Focus on academic goals

2. Promote extensive content coverage and high levels of
   student involvement

3. Select instructional goals and materials and actively
   monitor student progress

4. Structure learning activities and include immediate,
   academically oriented feedback

5. Create an environment that is task oriented but relaxed

Classroom Management and Instructional Organization

Since 1974 the Research and Development Center for Teacher Educa-
tion at the University of Texas at Austin has conducted a series of
studies designed to identify effective practices in classroom manage-
ment and instructional organization. Those classroom organization and
management skills intimately related to effective elementary and
junior high teachers were related to:

1. Readying the classroom

2. Dealing with consequences

3. Monitoring

4. Organizing instruction

5. Student accountability

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[28]Good, p. 64.

6. Instructional clarity

7. Strategies for potential problems

8. Planning rules and procedures

9. Teaching rules and procedures

10. Stopping inappropriate behavior

11. Beginnings of school activities

Successful classroom managers spend a great deal of time early in the year conducting semi-formal lessons to familiarize students with rules and procedures.[29]

Research conducted in seventh- and eighth-grade mathematics classrooms revealed correlates of learning math to include considerable class time being spent in discussion, lecture, and drill, and not just individualized instruction or individual seatwork; task oriented, businesslike instruction; much teacher time spent actively instructing and interacting with students; greater praise of good contributions (although praise was not frequent in an absolute sense); good classroom management; asking process (thought or explanation) questions as well as product (fact or memory) questions.

However, strikingly different results were obtained in seventh- and eighth-grade English classes. Significant relationships between classroom process variables and student learning in these English classes were infrequent, and there was little support for the direct instruction model. Several factors probably explain this finding,

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[29]Carolyn Evertson, Edmund T. Emmer, and Barbara Clements, Organizing and Managing the Elementary School Classroom, The Research and Development Center for Teacher Education (Austin: The University of Texas, 1981), p. 7.

but the major one seems to be that basic skill mastery is not a pri-
mary goal of seventh- and eighth-grade English classes. The instruc-
tional objectives pursued in these classes are more numerous and
variable than in math classes. Many such as poetry composition, oral
dramatization, or literature appreciation, are not easily or even ap-
propriately pursued with the direct instruction approach.

One implication of recent work is that the findings concerning
direct instruction do generalize to higher grade levels and different
kinds of students, but only to the extent that basic skill mastery is
the primary goal.[30]

The ability to organize and manage the classroom as an effective
learning environment in which students spend most of their time pro-
ductively engaged in academic tasks is prerequisite to effectiveness
as a teacher. However, few teachers have been exposed to systematic,
data-based principles for classroom management, and most continue to
rely solely on intuition or techniques observed when they were students.
This is an inefficient and often frustrating way to learn, especially
in a profession like teaching where practitioners mostly work in
isolation and seldom have opportunities to observe one another in
the classroom.

In recent years, however, research or teaching has produced
fundamental changes in this situation. After decades of frustration,
classroom researchers have developed concepts and methods that have

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[30] C. J. Evertson, L. Anderson, and J. Brophy, "Texas Junior High
School Study: Final Report of Process-Outcome Relationships." Research
Report No. 4064. Austin: The University of Texas, 1978.

identified systematic linkages between teacher behaviors and their ef-
fects on students.

One of the most basic findings concerns the conceptualization of
classroom management. Traditionally, the emphasis has been on
"discipline" and involved giving tips to teachers on how to "control"
students. Classroom management was treated as a matter of enticing,
cajoling, pressuring, or forcing students into doing what they were
supposed to do. Recent research has shown convincingly that this con-
ceptualization misses the mark, and that effective managers are success-
ful not so much because they are more effective in responding to prob-
lems of inattention or disruption, but because they are more effective
in preventing such problems from arising in the first place. They
approach classroom management more as a matter of preparation, organiza-
tion, and instruction than as a matter of control or discipline. The
emphasis is on helping students to know what to do and how to do it
rather than on overcoming presumed student apathy or resistance and on
eliciting students' active engagement in academic activities rather
than merely minimizing their disruptive behavior. Thus, although one
can separate the topic of effective classroom management from the topic
of effective instruction in the curriculum for purposes of analysis,
these key teacher functions are intimately related in practice, and it
is virtually impossible to be effective in one without being effective
in the other.[31]

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[31]Jere Brophy, "Effective Classroom Management," The School
Administrator, July/August 1983. Pp. 34-36.

Prevention was found to be the key to effective classroom management in a videotape study of effective and ineffective managers. The classrooms of the effective managers ran smoothly, almost automatically. Students were mostly attentive and responsive to the teacher during lessons, and when released to work on their own, they typically knew what to do and settled quickly into doing it. Usually, they completed assignments without difficulty, but if they needed help they knew where and how to get it. When they finished an assignment, they knew what to do next, and started doing it. To an untrained observer, such classrooms seemed to work almost automatically, in that the teachers did not appear to need to devote much effort to classroom management.

In contrast, the classrooms of the ineffective managers always seemed to be on the edge of chaos. These teachers had to fight for attention during lessons and their students were off task much of the time when they were supposed to be working individually. Transitions between activities were lengthy and often chaotic, the activities themselves were difficult to organize and sustain, and disruptions were frequent. The teachers were continually fighting to keep control.[32]

Studies such as The Beginning Teachers Evaluation Study, The Texas Junior High Study and Classroom Organization Study, Study of Basic Reading Skills in Secondary Schools, and the Study of Classroom Structure, were conducted to determine how teachers who were effective managers communicated their expectations and the relationship between academic learning time and student learning in basic skills. (Academic

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[32]Jacob Kounin, Discipline and Group Management in Classrooms. (New York: Holt, Rinehart, and Winston, 1970).

learning time refers to time available for learning and involves several interdependent variables including the amount of time allocated to instruction, the portion of allocated time during which students are engaged in an academic task and the amount of success they experience while engaged in the task.)

It was concluded that in classrooms where teachers exercised extensive control over activities, students accomplished more work and demonstrated a minimum number of acts of deviant behavior as opposed to students in classes where teachers exercised limited control over the activities. It was also noted that teachers who introduced their students to rules and procedures in precise detail and provided opportunities for students to accept responsibilities were far more effective. The teacher's personality was also found to be a prime factor in facilitating productive learning in the classroom. Students excel in classrooms where they feel respected by the teacher and by fellow students. The message of mutual respect can be communicated when teachers conscientiously work at establishing good rapport at the beginning of the school year. It was also reported that (1) students achieve greater gains in classrooms where teachers allocate more time for instruction than they do in classrooms where teachers allocate less time; (2) students achieve greater gains as they increase the amount of time they are actively engaged in their tasks; and (3) students achieve greater gains as their rate of success in accomplishing a task increases.[33]

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[33]Mabel Lee and David Holdzkom. <u>Keys to Helping Students Learn</u> (Charleston, West Virginia: Appalachian Educational Laboratory, 1981), pp. 1-11.

In summary, research studies support that if children are to gain mastery of basic skills, teachers must devote time to the direct instruction of these skills. If the classroom is teacher-directed, the teacher can monitor participation and insure that students are "on task" more effectively than can a teacher who uses a great deal of time for seatwork, silent-reading, and/or individualized instruction.

Furthermore, teachers who give direct instruction can more readily use higher cognitive level questioning strategies than is possible in environments emphasizing individual seatwork. By using questioning tactics for both evaluation and feedback/reinforcement, the effective teacher can adjust teaching to both group and individual needs and can influence students' success rates.

Finally, more effective teachers are able to organize their classes so that students are taught to follow procedures which reduce time needed for management of learning, so more time is available for instruction. More effective teachers provide a structure which is emotionally supportive of all learners and which, at the same time, encourages the learning of basic skills.

The history of research into teacher effectiveness reflects a gradual evolution in the researcher's conception of the nature of that effectiveness, which has largely determined the nature of the research as well as the nature and usefulness of the findings. Initially, effectiveness was perceived as the consequence of certain personality traits or characteristics possessed by the teacher. Later, effectiveness was seen not so much as a function of characteristics of the teacher but of the methods of teaching used. Then effectiveness was

seen as mainly dependent on the climate created by the teacher. More recently, effectiveness has been viewed as mastery of a repertoire of competencies and the ability to display the competencies appropriately. It is difficult to draw conclusions or infer the direction in which research on teacher effectiveness will move in future years. Historically, observation and evaluation of effective teacher has proceeded from a process carried out by laymen to a much more scientific, albeit not perfect, process employed by educators to encourage and promote professional growth.[34]

For evaluation and accountability programs to be credible, educators must address the assessment of teaching effectiveness.[35] The entire field of teacher evaluation has suffered long enough from a surplus of opinion and a shortage of evidence.[36]

Supervision

Supervision is a field broadly conceived and as such encompasses a number of school roles and includes virtually all the activities of administrators and supervisors involved in the improvement of instruction. The issue of evaluating and understanding teaching depends largely on one's view or perspective of the world of teaching and the

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[34]D. M. Medley, "The Effectiveness of Teachers," in Research on Teaching: Concepts, Findings and Implications, ed. P. L. Peterson and H. J. Walberg (Berkeley: McCutchan, 1979).

[35]D. C. Berliner, "Impediments to the Study of Teacher Evaluation," Journal of Teacher Education, November 1976, pp. 5-13.

[36]Benji Levin, "Teacher Evaluation: A Review of Research," Educational Leadership, December 1979, pp. 240-245.

supervisory process. Thus, values and assumptions related to teaching
and supervision provide persons viewing the same teaching with totally
different realities of that teaching.

Although supervision as well as teaching can legitimately be
viewed as scientific, artistic, or clinical endeavors, a more useful ap-
proach is obtained when viewing them alternately or integratively. Al-
though currently supervisory strategies based on technical rationality
are dominant, these views do coexist with aesthetic and humanistic
views.[37]

Cften teaching is spoken of as both a science and an art. If
one accepts that supervision is teaching, then consideration of super-
vision as both science and art is comfortable. The characteristics of
both include planning of instruction, self-actualization, quality
performance, facilitation of learning, and evaluation.[38]

Many people dread, fear, and loathe supervision. Altogether too
often only lip service is given to the importance of supervision; the
most widespread attitude toward it is suspicion that at best it is
ineffectual and at worst a harmful form of interference or "snooper-
vision". In Supervision: The Reluctant Profession, many of the prob-
lems facing supervisors are identified, and alternatives are posed for

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[37]Thomas J. Sergiovanni, ed., Supervision of Teaching
(Alexandria, Virginia: Association for Supervision and Curriculum
Development, 1982), pp. vi-viii.

[38]Lucille G. Jordan, "Introduction," in Supervision of Teaching,
ed. T. J. Sergiovanni (Alexandria, Virginia: Association for
Supervision and Curriculum Development, 1982), p. v.

examining supervisory practices to avoid such reluctance. The evalua-
tion/assisting paradox can be resolved. It can be viewed positively as
creative tension rather than as a disabling force. Supervisors and
teachers can do this by actively engaging in open, honest, vigorous
dialogue to improve education as they jointly search for meaning in an
atmosphere of colleagueship. The foci of such efforts must be on what
is being taught as well as how it is being taught. This joint effort
can be meaningful to both teachers and supervisors. Such professional
colleagueship is focused on curriculum leadership and improved instruc-
tion and contributes to the professional and personal growth of both
the teacher and supervisor. Such a process promotes the teacher's
self-respect and personal integrity and also protects the client or
student.[39]

In 1981 an award for excellence from the Association of Supervi-
sion and Curriculum Development of the National Curriculum Study Insti-
tutes on teacher evaluation was given to Richard Manatt for developing
a concept called Teacher Performance Evaluation (TPE). This process,
which rates or judges the goodness of teaching, is a tough-minded
quality assurance mechanism performed by principals that compares
teachers to one another and to the school organization's standards.
TPE measures or assesses progress toward predetermined objectives and
the teacher performance criteria set as performance standards by the
school district or by the school.

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[39] Ralph L. Mosher and David E. Purpel, Supervision: The
Reluctant Profession (Boston: Houghton Mifflin, 1972), p. 18.

To be successful TPE requires the following:

1. Rating scales with criteria based on effective dealing research

2. Lesson analysis in conjunction with skillful classroom observation

3. Coaching and counseling techniques which motivate teachers to change

4. Provision for procedural and substantive due process of law to provide protection for both teachers and evaluators.

The TPE Cycle consists of nine steps:

1. Establish Rules of the Game

2. Orient Teachers

3. Analyze Lesson Plan

4. Conduct Preobservation Conference

5. Conduct Classroom Observation(s)

6. Conduct Postobservation Conference

7. Synthesize the Data

8. Write Evaluation Report

9. Set Job Improvement Targets
   (Sequence repeats)

TPE is reported to stress the here and now while clinical supervision puts great stress on teacher behavior in the future.

Administrators, it is reported, perform TPE; supervisors do clinical supervision. While clinical supervision has an important role to play in TPE, the major difference between clinical supervision and TPE is that the appraiser in the TPE process must make performance comparisons, asking and answering questions such as, "Is this teacher's performance meeting the standards of the school organization?";

"What can be done jointly to assure even better teaching and learning?" To do less, suggested Manatt, would not meet the principal's responsibility for quality assurance in that school or school community.

Teacher Performance Evaluation is similar to clinical supervision in that it strives to improve instruction, but it goes beyond clinical supervision in that it provides a record of accomplishment, serves as a quality control mechanism, and examines how teachers are delivering instruction. Furthermore, it calls to a teacher's attention the school's mission and student achievement data, while stressing the functional classroom curriculum (which should approximate the state-prescribed and district curricula) and compares one teacher's performance to that of others. School systems must develop plans and make decisions regarding what the criteria for effective teacher performance will be, how high district or school level standards must be set, how the teacher's performance must be monitored, how progress reports shall be made, and how to help teachers improve performance after identifying their strengths and weaknesses.[40]

The objective-centered performance appraisal approach is a "results" approach as opposed to a "trait" approach. Through this method a teacher's performance is evaluated in terms of objectives which he has set for himself. Coaching and counseling are integral parts of the "results" approach. It is emphasized that criticism does little to improve performance; in fact, in some instances it may actually result in retrogression in performance. The objective-centered performance

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[40]Richard P. Manatt, Evaluating Teacher Performance (Alexandria, Virginia: Association for Supervision and Curriculum Development, 1982).

appraisal approach is based on the rationale that a teacher is supposed to achieve certain performance objectives. All efforts should be directed toward getting specific results that are consistent with the school district's philosophy, policies, procedures, broad educational goals; and long-range goals and short-range objectives.[41]

The National Schools Public Relations Association describes performance by objectives as a method that encourages evaluator and evaluatee to operate as a team and to concentrate on improvement. In such an approach evaluator and evaluatee can focus on the procedures they are using, how they are functioning in leadership roles, and how they can concomitantly meet their goals and the goals of the school system.[42] There is less tendency for the personality of the teacher to become an issue in this approach. A teacher involved in this process is more apt to realize he or she is the principal participant in his or her own development and is responsible for it.[43]

The basic components of this approach for improvement of teaching performance include the following:

1. Performance Criteria—a list of the specific duties and responsibilities required in the performance of an assignment, e.g., preparational competence, performance skills, professional abilities, working relationships, personal competencies

[41] James Lewis, Jr., Appraising Teacher Performance (West Nyack, New York: Parker, 1973).

[42] John J. Keegan, "Performance-Based Staff Evaluation: A Reality We Must Face," Educational Technology 15 (November 1975): 35.

[43] L. W. Anderson, "More About Teacher Evaluation," OCLEA 5 (September 1975): 5.

2. <u>Performance Objectives</u>--job targets directed toward the achievement of skills in cognitive, affective, and/or psychomotor domains

3. <u>Performance Activities</u>--actions and efforts which will help to attain the objectives

4. <u>Monitoring Performance</u>--procedures and means (such as data-gathering forms, classroom visits, conferences, video-audio taping devices) for gathering data on performance outputs

5. <u>Assessing Monitored Data</u>--includes input from the teacher (self-assessment) and from all evaluators involved

6. <u>Conference and Follow-up</u>--allows involvement of the evaluatee to discuss the outcome of efforts to achieve the stated objectives.

Nothwithstanding the advantages of the performance-by-objectives approach, several problems associated with this approach have been identified such as the relatively long span of time to determine the gains students have made. Clearly, long time spans are not suitable for effective feedback. Moreover, translation of outcomes into behavioral terms can simplify outcomes in such a way that learning may be weakened. Added to these concerns is the problem that factors such as socio-cultural and school environments, administrative leadership, and budget constraints are neglected when teaching is assessed by student gains.

In such an approach administrators must maintain adequate records and also complete evaluation forms if the final evaluative judgements

are to be properly recorded and made a part of the teachers' personnel record.[44]

Central to the evaluation is the process of supervision. If principals are expected to evaluate teacher effectiveness, the must then have knowledge of the process. Clinical supervision is often cited as the method that meets the criterion of "best existing practice". This method was originally developed at Harvard University by Morris Cogan. The purpose of the clinical supervisory process is to improve teaching performance, not to change personality. Supervisory efforts are to focus on teaching behavior, not on the teachers. The major goal of the process is to provide constructive assistance rather than criticism. In this method of supervision, teachers are involved in the analysis of their own instruction.[45]

Clinical supervision is reported by some to be synonomous with the improvement of instruction. It is called clinical because it is based on direct trained observation of classroom behaviors. Instead of focusing on generalities, it is concerned with the examination and analysis of specific behaviors or practices that take place in the classroom. An important distinction is the supervisor as analyst as opposed to inspector or "snoopervisor". Clinical supervision is rigorous, systematic, and ongoing. It requires that more than one or two visits be made to a classroom.

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[44] George B. Redfern, How to Evaluate Teaching: A Performance Objectives Approach (Worthington, Ohio: School Management Institute, 1972), p. 112.

[45] Mosher and Purpel, p. 77.

The five stages associated with this process whether carried out individually or in a group include the preconference, classroom observation, analysis and strategy, supervisory conferences, and postconference analysis. Those who view the process in stages refer to the ongoing cycle as systematic planning (the plan or prior statement of objectives, content, and pedogogy), instruction, and analysis of the effect of the teaching.

One of the major weaknesses reported of the clinical supervisory method is that while it stresses the improvement of instruction, there are no agreed-upon criteria for what constitutes good teaching. Also noted is the fact that some teachers are not aware that they need help and those that are, are often hesitant to seek assistance.[46]

A supervisory program, patterned after the work done by Cogan in clinical supervision, was developed by Jerry and Elmer Bellon. The process, called synergetic supervision, evolved as they worked with educators in school districts throughout the United States.

The synergetic supervisory process entails a cooperative working relationship between teachers and supervisors and is supported by the following assumptions derived from supervisory theory and practice.

> Assumption 1: Teaching is a set of identifiable patterns of behavior. We believe that human behavior can be categorized, and that teaching behavior, in particular, can be observed, categorized, analyzed, and changed.
>
> Assumption 2: When selected patterns of teaching behavior are changed, improvement of instruction can be achieved. Any significant change in the complex of teaching behaviors will be more likely to occur if specific behaviors are isolated for study. These behaviors are referred to as patterns.

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[46]Cheryl Sullivan, *Clinical Supervision: The State of the Art Review* (Alexandria, Virginia: Association of Supervision and Curriculum Development, 1980), p. 66.

> When patterns are identified which do not support the
> teacher's objectives, it is possible to change or eliminate
> them. This process will help to improve instruction.
>
> Assumption 3: The supervisor-teacher relationship must be
> based on mutual trust if change is to occur. If a teacher
> is to make particular behavior changes, an awareness of the
> need for change must be developed. It is axiomatic that
> threat tends to decrease awareness, while trust tends to in-
> crease it. Thus, a positive relationship between the teacher
> and supervisor is a prerequisite to change.
>
> Assumption 4: The improvement of instruction is the primary
> goal of supervision. The supervisory process should be de-
> signed to provide a vehicle for instructional improvement,
> with evaluation as a secondary goal.[47]

The synergetic process includes a preobservation conference where

the planned lesson is discussed, careful observation by a skilled and

trained supervisor, and a postobservation conference where the teacher

and supervisor jointly analyze the data collected during the observa-

tion phase. One very important element of the synergetic process is

the statement of learning objectives as a part of the teacher's plan.

These objectives are shared with the supervisor in the preobservation

conference. During the observation phase the supervisor concentrates

on recording objective data and refrains from making subjective or

personal judgements. The recorded data serve as a basis for joint an-

alysis by the teacher and supervisor. The analysis takes place during

the postobservation conference when the teacher and supervisor work

cooperatively to identify patterns that have emerged during the teaching

process. The patterns identified are then evaluated in relation to the

objectives to see if they enhanced, did not effect, or hampered the

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[47]Bellon, Bellon, and Handler, p. 3.

achievement of the stated objectives of the teacher. Future planning of instruction is based on the analysis and evaluation of the lesson.

The synergetic supervisory process emphasizes positive human relations. Working relationships are reportedly enhanced when everyone clearly understands the process and the rationale for using this form of supervision. Involving representative teachers in the staff development program for supervisors is one means of ensuring that this information is clearly communicated. A valuable result of the synergetic program is that teachers begin to analyze their own instruction. As supervisors gain information about effective instruction, they are able to translate the results of relevant research and communicate this information to teachers as they plan future instruction.

In summary, synergetic supervision has as its major purpose the development and renewal of teachers and administration so that the instructional program can be improved. It is an in-class approach to supervision and as such gives supervisors an additional opportunity to monitor the curriculum in action. The opportunity to observe, analyze, and discuss instruction with teachers provides supervisors with the practical information necessary for developing organizational patterns, learning materials, and staff development activities.[48]

In another approach, the Teacher Appraisal Instrument (TAI) was developed at UCLA to assist principals in evaluating the professional competence of teachers. This model, based on research related to successful teaching, identifies five critical attributes of successful

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[48]Bellon and Bellon, pp. 5-6.

teaching. Ways were identified to bring predictable learning success

under the span of instructional control. The TAI was developed to

identify successful learning practices that made successful teaching

explainable.[49]

Two basic generalizations, free from informed contradiction,

guided the search; these constitute invariant principles which are ap-

plicable to all learning situations regardless of content, the learner's

age, previous experience, and ethnic or socioeconomic derivation.

The first generalization related to the incremental nature of

learning. Learnings are built one on the other with basic learnings

supporting and making possible more complex learnings. It is impossible

for a learner to achieve a higher order of learning, without also having

achieved the subordinate learnings which support it.

The second generalization related to the factors affecting learn-

ing, which are accepted and validated as basic principles by all learn-

ing theorists regardless of their particular conceptual orientation.

These factors respond to instructional manipulation and affect a stu-

dent's motivation to learn, the rate and degree of his learning, his

retention of that learning, and his ability to transfer that learning to

new situations where it is applicable. While these factors may take

different form with individual learners, as principles they are in-

variant to all learners.

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[49] Madeline Hunter, "Appraising the Instructional Process," notes and handouts from Clinical Supervision Seminar, Association for Supervision and Curriculum Development, January 8, 9; February 16, 17; March 29, 30, 1976.

Once these two basic generalizations to the appraisal of the in-
structional process were applied, a third encompassing insight into the
teaching-learning process emerged as critical. Researchers learned that
time is the coin of teaching. It can be expanded wisely or frittered
away with nothing to show for its use. Wise investment of instructional
time to produce efficient and effective learning is determined by the
valid implementation of the two basic generalizations. Wasteful squand-
ering of instructional time is the result of actions which are in viola-
tion of these two generalizations. Consequently, any evaluation of the
instructional process should be based on the investment of the learner's
time to determine whether such investment is consonant or dissonant
with current knowledge related to human learning, in terms of the follow-
ing questions:

1. Is the instructional process proceeding toward a perceivable
    objective, or is it a meandering path where time is dis-
    sipated without appropriate learning gain? Additional
    learnings which are complementary to the target learning
    are encompassed in the term "appropriate," but learnings
    that are interfering, tangential, or antithetical to the
    objective are deemed "inappropriate." In this way,
    learning time is focused and effectively used rather than
    being happenstance, random, or diffused with little or
    no desirable learning return for the time and effort of
    student and teacher.

    A positive answer to this question in no way eliminates
    creativity or imposes rigidity. If a tangential or non-

related learning objective emerges from the student, the original objective may be altered to accommodate it or the tangential learning may be referred to a future instructional episode.

2. Is the instructional objective at the right level of difficulty for the learners who are investing time? This implies that the particular learning step being taken toward the objective is an achievable one by these learners—not an objective that is so difficult its achievement is impossible or one so easy it requires no learning effort or it has already been achieved.

3. Is there constant monitoring of the degree of achievement of the objective so redundance or acceleration can be built into the instructional process if either is indicated? "Dip sticking" is the term which indicates that "surroundings" are taken at frequent intervals to validate learning achievement before moving ahead as well as to avoid time on a learning that already has been accomplished.

These first three questions are related to content—the "what" of learning.

The next two questions used to appraise the instructional process involve the "how" of learning, or the congruence of the learner's activity and effort to principles which research has demonstrated to be facilitating or accelerating to learning. For convenience, these principles have been categorized into four groups: (1) those principles that affect the learner's motivation; (2) those that affect his rate and

degree of learning; (3) those that influence his retention of what he has

learned; and (4) those that contribute to his ability to transfer the

learning he has achieved to new situations where that learning is ap-

plicable.

Based on these categories of learning principles, the fourth and

fifth appraisal questions are asked:

4. In which ways are the time and energy expended by learner
   and teacher consonant with principles of efficient and
   effective learning?

5. Is there dissonance between time and energy expended and
   principles of learning? If so, which principles are being
   violated?

The TAI Appraisal Form is provided in Appendix C.[50]

For those charged with the responsibility of improving classroom

life there are no quick answers or sure-cures, but a strong grounding

in supervisory practice and theory can make their role more effective.

An integrative framework for viewing the process that utilizes both the

scientific and the artistic and is sensitive to the human issues can

provide supervisors and principals with more intellectually reasonsed

and more sensitive means of improving the teaching-learning process.

It is unlikely that educators will be able to develop a theory of super-

visory practice unless the tide on the science-art debate (in which

teaching is considered a science or art) gives way to consideration of

both the science and the art of teaching. A theory of practice in the

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[50]Hunter, seminar notes.

supervision and evaluation of teaching should be concerned initially

with three questions, said Sergiovanni. What _is_ going on in the class-

room? What _ought_ to be going on? And, what do these events, activities,

and aspirations _mean_? Establishing meaning requires that supervisors

cultivate the art of interpretation.[51]

Eisner advocated "educational connoisseurship" by which he meant

"knowing how to look, see and appreciate what is educationally sig-

nificant."[52] Such ability is greatly needed by those responsible for

providing leadership for improvement of teaching and learning.

Leadership and Evaluation

Effective teacher evaluation comprises an integral part of an ed-

ucational system's efforts to be accountable. As research indicates,

teacher evaluation is primarily the responsibility of the principal.

Since meaningful evaluation of personnel is both complicated and time-

consuming, principals should be trained for this important responsibility.

Indeed, evaluator competence may perhaps be the most important condi-

tion for a mutually beneficial appraisal process to occur. It is often

erroneously assumed that evaluators are gifted in assessing the teach-

ing process and conducting effective conferences.

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[51]Thomas J. Sergiovanni, "Toward a Theory of Supervisory
Practice: Integrating Scientific, Clinical, and Artistic Views,"
in _Supervision of Teaching_, ASCD 1982 Yearbook,
Virginia: Association of Supervision and Curriculum Development,
1982), pp. 68-78.

[52]Eisner, p. 193.

Leadership and evaluation are closely related. Bellon, when asked to list leading books on leadership, reported that leadership is the crucial factor in the successful implementation of a supervisory evaluation and instructional improvement program. Knowledge of leadership theories and concepts provide a necessary frame of reference for those interested in developing healthy, productive schools. While numerous studies and research activities have attempted to identify the most important characteristics or traits of effective leaders, it has been concluded that individuals do not become leaders by virtue of the possession of certain traits or the highest intelligence in the organization.[53]

Leadership is defined as a process by which a person influences the action of others to behave in what the leader considers a desirable direction. Leadership is an inevitable process whenever two or more people get together. Numerous opportunities exist in school settings for the release of leadership and creative capabilities.[54]

Leadership may also be viewed as influencing or helping others get the job done while using the fewest resources and generating the least negative impact on future working relationships. Leadership then uses influence selectively. However, a leadership style may influence some but will not influence others. Leadership then is situational. It is contingent upon selecting the influence strategy appropriate to

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[53] Jerry Bellon, "Workshop on Evaluation of Personnel" (Boone, N.C.: Continuing Education Center, 1982), pp. 13-14.

[54] Dale Brubaker, Creative Leadership in Elementary Schools (Kendall/Hunt Company, Dubuque, Iowa, 1976), p.

the person, place, and task. One can have the potential for leadership and never lead anyone, anywhere, at anytime.[55]

Burns defined leadership as being transactional, moral, and transformational. Transactional leadership is described as occurring when there is an <u>exchange</u> of valued things among leaders and followers. Transforming leadership occurs when discussion and activities increase motivation and commitment and becomes moral as behavior and ethical aspirations are raised.[56] Such underlying assumptions of leadership as human interests, and open two-way communication with leaders and fol-lowers working together clearly deemphasize controlled leadership in favor of leadership as understanding and liberation as outlined by Macdonald and his associates.[57]

Stogdill reviewed the research on leadership and classified its definitions into the following scheme:

- Leadership as a focus of group processes
- Leadership as personality and its effects
- Leadership as the art of inducing compliance
- Leadership as the exercise of influence
- Leadership as (an) act or behavior
- Leadership as a form of persuasion
- Leadership as a power relation
- Leadership as an instrument of goal achievement
- Leadership as an effect of interaction
- Leadership as a differentiated role, and
- Leadership as the initiation of structure

[55]Roland Nelson and Karen Pettit, "Leadership and the Supervisor: Some Implications for School System Planning," University of North Carolina at Greensboro, May 1982.

[56]James MacGregor Burns, "Two Excerpts From <u>Leadership</u>," <u>Educational Leadership</u>, March 1979, pp. 380-383.

[57]James Macdonald, Bernice Wolfson, and Esther Zaret, <u>Reschooling Society: A Conceptual Model</u> (Washington, D.C.: Association of Supervision and Curriculum Development, 1973), pp. 27-32.

Organizations must be led not merely managed. Although many institutions are organized to deal with daily routine quite well, frequently poor decisions are made or no decision as to which routines should be done at all. All too often principals are rewarded more for handling routine managerial tasks rather than functions associated with leadership. Regardless of the cause, the issue of managerial functionary versus instructional leader is of concern to educators as well as critics of education.[58]

Leadership development for aspiring administrators and ongoing self-renewal for practicing administrators are more important than ever. The curriculum for school administrators must be examined and pedagogy identified that will best prepare administrators to cope and to lead effectively. As a result of outside pressures for efficiency and effectiveness, educational leaders including principals have resorted to a management approach or "systems" thinking for running schools. Precise goals in both short- and long-range planning, closer teacher supervision, criterion-referenced testing, and tougher performance evaluation are realities in many schools, even though principals reported not to understand the "management" concept and have rarely been trained to plan, organize, direct, and control. A set of skills similar to those in the following list are suggested for the contemporary school administrator.

1. Skill at building consensus among diverse viewponts

2. Skill in flexible programming to accommodate a variety of student needs

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[58]Ralph Stogdill, Handbook of Leadership: A Survey of Theory and Research (New York: Free Press, 1974), pp. 7-27.

3. Confidence in instructional improvement strategies that offer hope in getting results

4. Organizational development skills—relieving the pathology almost all organizations have

5. Improved management skills [59]

However, the following leadership problems are listed by principals as those of most concern.

1. Motivating teachers to accept new ideas

2. Time management

3. Communication

4. Getting things accomplished without authority to do so

5. Being too directive

6. Involving others in decisions

7. Central office paperwork

8. Discipline[60]

In a typical group of principals, about ninety percent of the topics reported as problems were people-related. Rarely is there mention of improving productivity, improving achievement, reducing dropouts, improving school climate, or related topics.

A four pronged training program requiring considerable time and sustained effort was proposed by Cawelti.

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[59]Gordon Cawelti, "Training for Effective School Administrators," Educational Leadership, February 1982, p. 325.

[60]Cawelti, p. 325.

1. <u>Training in Leader Behavior</u>. Leaders are expected to lead, provide a sense of direction, motivate others toward achieving goals, and build consensus. An awareness of and sensitivity to style flexibility, alternative models of leader behavior are important. Conceptualizations of leader behavior models such as those of Fiedler, Likert, Blake and Mouton, Hersey and Blanchard, McGregors Theory X and Theory Y, Quality Circles, Ouchi's Theory Z have meaning for educational leaders who are concerned with both relationships and productivity.

2. <u>Training in Instructional Leadership</u>. An effective instructional leaders should be knowledgeable in the skills and processes to improve instruction. Four major instructional processes identified as priority to help teachers are: curriculum development, clinical supervision, staff development, and teacher evaluation. Curriculum work involves assessing needs, selecting goals and objectives, and evaluating the curriculum. Clinical supervision is a skill needed by principals to assist teachers in their professional growth and can reduce considerably teacher dissatisfaction with required evaluation activities. Staff development training includes principles of adult learning, resources and alternatives for staff development, at the school level or for individuals.

3. <u>Training in Management Skills</u>. The management approach to leadership provides a disciplined way of looking at one's job and helps put leader behavior knowledge into perspective. The classic management functions include planning, organizing, directing, and controlling. <u>Planning</u> requires training in formalized systems such as Gantt chart and the Program Evaluation and Review Technique. Improving skills in establishing long and short range goals, budgeting and policy development are also included in this area. <u>Organizing</u> refers to the grouping of activities or functions necessary to accomplish goals and assignment of authority and coordination. <u>Directing</u> or motivating refers to the managers responsibility to operate, coordinate and motivate employees to achieve the goals of the organization. While leaders spend most of their time here and all too often are least effective in this function. Topics included in training in this area include communication techniques, how to motivate teachers, conflict resolution techniques, and job enrichment approaches. <u>Controlling</u> refers to establishing standards, measuring against these standards, and reallocating resources to correct deviations from standards or plans. Teacher performance evaluation,

developing systems for obtaining periodic data on achievement, and obtaining feedback on teacher morale belong in this function.

4. Traditional (Generic) Administration Course Topics. Topics in this area include school finance, theory, law, personnel, collective bargaining, educational technology, public relations.[61]

In the search on effective schools a positive relationship exists between the leadership ability of principals and student growth in basic skills. (See figures 2 and 3.)

General Leader Behavior Skills	Specific Instructional Improvement Process Skills	Research-Based Teacher Effectiveness/ School Effectiveness Characteristics
Task Behaviors (Goals)	• Curriculum Planning	1. High expectations for students
	• Clinical Supervision	2. Frequent monitoring of student progress
	focusing on:	3. Favorable climate for learning
	• Staff Development	4. Appropriate level of difficulty in materials
Relationship Behaviors (People)	• Teacher Evaluation	5. Routinized classroom management tasks
		6. Opportunity to learn criterion materials
		7. Adequate time on task
		8. Leadership

Figure 2. Research-Based Focus for Instructional Leadership

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[61]Cawelti, p. 326.

Management Functions Plan-Organize-Direct-Control	**Instructional Leadership Skills** Curriculum Development Clinical Supervision Staff Development Teacher Evaluation
Leader Behavior Skills Task Behaviors Relationship Behaviors Leadership Style	**Standard Topics** Law-Finance-Theory- Policy Analysis

Figure 3. Components of Training for Effective Leaders
Source

The role leadership can play in times of austerity is addressed

by Parks who suggested that currently, leaders must focus on intangible

rewards to improve teacher performance since morale is low in the

teaching profession.[62]

As a result of inadequate books and supplies, large classes, dis-

ruptive students, public criticism, limited assistance, increased

duties, and the lowest salaries paid to educated personnel in the nation,

as many as fifty-seven percent of the teachers are planning to leave or

will leave the profession if something better comes along.

A leadership role proposed for times of austerity, firmly grounded

in motivational psychology, rests on five assumptions about professionals

and how they relate to their work.

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[62]David J. Parks, "Leadership in Times of Austerity,"
Educational Leadership, February 1983, pp. 11-13.

First, people want certain things from life. Among these are (1) to have self-esteem, (2) to live relatively free from economic worry, (3) to live and work in an environment free from hazards to physical and mental health, (4) to be free to create and exhibit one's creations, and (5) to have opportunities to love and be loved.

Second, most of what people desire from life is achieved through work, either directly or indirectly. About a third of every day, Monday through Friday, is spent at places of work, and tasks not completed during normal working hours are often taken home. For most people, work is the most important part of their lives.

How hard one works to complete work tasks and achieve work goals depends, in part, on how one feels about both. Tasks must be closely related to the achievement of important goals. People feel better about their work if it has meaning and purpose.

Lastly, the achievement of work goals must be closely related to the fulfillment of personal wants. Those who produce more should receive a greater share of the rewards than those who produce less. An equal distribution of rewards among people performing at different levels does nothing to encourage the high producers to maintain their levels of effort or the low producers to bring their levels more in line with what is expected. Rewarded behavior tends to be repeated; therefore, achievement of work goals should be related to personal return.

Educators, both teachers and administrators, have for too long avoided differential reward systems. The principle of equal treatment of unequals has discouraged excellence and rewarded mediocrity; it is

a prime contributor to the decreasing status of public education and educators in our society.

Since systems of merit pay appear unrealistic in the present political climate of education, other means of differentially rewarding excellence in achieving goals must be applied.

Parks argued that until the practice of rewarding teachers for getting one more degree and living one more year is stopped, teachers will have no reason to improve their effectiveness. Leaders must be prepared to reward teachers instead on the basis of results achieved.[63]

Motivation

Research indicates that administrators play a crucial role in motivating staff and in long-term improvement of student learning. Next to beliefs individuals hold about themselves, perhaps no other beliefs are more important than those they hold about what people are like and why they behave as they do. These beliefs about others provide the basis for every human interaction. Involvement with other persons is such an important aspect that one's beliefs about the nature of people and what they are seeking determine to a great extent one's successes or failures in life.

Individuals' concepts of the nature of man have strong implications for those in leadership positions, especially in the helping professions. If the fundamental drive of the individual is for self-fulfillment, leaders need not know precisely and in advance the

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[63]Parks, pp. 11-13.

specific goals to be achieved by those they seek to assist. But those
in the helping professions must direct their attention to the processes
of helping rather than the ends of the process. The process orientation
does not seek to direct or control individuals but seeks to serve and
create the conditions to free the person. It is facilitating, en-
couraging, and assisting as opposed to coercing, forcing, cajoling,
bribing, or exhorting persons to do better.

According to Maslow, much of man's behavior can be explained in
terms of the needs he experiences. That is, when a particular need is
active, it may be both a goal for action and a director of activities
for an individual. It determines what is important and shapes one's
behavior, accordingly. Need systems serve as a source of motivation.
Motivated behavior is seen as the activity a person engages in because
of the tension, either pleasant or unpleasant, experienced when a need
is operating, and it is purposeful or goal-directed because of the
guidance or channeling function which the need provides. Behavior in
general occurs in response to some tension or discomfort which, in
turn, is the state created by the existence of an active or unsatisfied
need; the behavior will have as a goal the reduction of the tension or
discomfort, and will be of a type designed to satisfy the relevant
need. A need which has been satisfied is no longer a source of tension
or discomfort; therefore, according to Maslow, only unsatisfied needs
are prime sources of motivation.[64]

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[64]Abraham Maslow, _Motivation and Personality_ (New York:
Harper, 1954).

In order to understand the motivational significance of behaviors and the goals toward which they are directed, one must have some insight into the needs which are currently unsatisfied. Maslow suggested that there are five basic need systems which can account for most of man's behavior. These needs are arranged in a hierarchy ranging from the most primitive and immature to the most civilized and mature. Maslow says that there is a natural growth trend which allows individuals to experience awareness of, and therefore to be motivated by, each of the need systems in ascending order. The progression from need to need is thought to occur only to the extent that each lower need has in turn received adequate satisfaction. Should satisfaction for a given need be blocked or unduly delayed, the individual will not develop awareness of any higher need in the hierarchy. In this model, the strength of a given need is directly proportionate to its lack of satisfaction. Unsatisfied needs are strong sources of motivation, and satisfied needs yield little motivation.[65]

A somewhat different approach to motivation was developed by Herzberg. Although proceeding from a different frame of reference, Herzberg found in his investigations of motivation that needs very similar to those observed by Maslow were operating on the job. While Maslow was concerned with the sources of motivated behavior in its general sense, Herzberg focused his attention on those sources of motivation pertinent to the accomplishment of work. He found that only those need systems which correspond to Maslow's Ego-Status and Self-

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[65]Abraham Maslow, "Motivation," notes and handouts from AH 505 Leadership. Appalachian State University, Boone, North Carolina, Spring Semester, 1977.

Actualization levels could actually serve as direct sources of motiva-
tion to work effectively. The upper-level needs of Maslow's hierarchy,
Herzberg labeled as motivators and the factors underlying job satisfac-
tion. The lower-level need systems, especially Basic and Safety need
systems with Belongingness as a secondary overlap system, were identi-
fied by Herzberg as hygiene factors and potential dissatisfiers rather
than as sources of work-oriented motivation. Upper-level motivators
were felt to lead to behaviors which were directly relevant to the
work to be accomplished, while lower-level dissatisfiers were found to
promote behaviors focused on issues peripheral to the work itself.
Herzberg found that even when lower-level needs were satisfied, there
was still no reason to expect that individuals would perform any more
effectively in their work. This, he said, was because lower-level dis-
satisfiers served primarily as maintenance factors. In other words,
satisfaction of low-level potential dissatisfiers simply affords the
minimal environmental conditions of support required for the individual
to function in the job setting. It does not insure that he will exper-
ience motivation to work well, since his attention is diverted from the
job to peripheral maintenance issues.[66]

One of the most influential theories relevant to work design and
one that provides an explicit framework for understanding what factors
influence motivation is Herzberg's two-factor theory which purports that
the major determinants of employee satisfaction are (1) factors intrinsic
in the work that is done—the task itself, and (2) conditions surround-

[66]Frederick Herzberg, "One More Time: How Do You Motivate Em-
ployees?" Harvard Business Review, January-February, 1968, pp. 53-62.

ing the job or hygiene factors. This framework has merit in that it
not only specifies the needs which can be satisfied by high job per-
formance, but it also generates an application model of job enrichment,
which is of value to those desiring to apply motivational theory.
Generally speaking, Herzberg's hygiene factors consist of the lower
levels of Maslow's needs hierarchy—physiological, safety, and social.
The needs concerning motivation factors consist of the higher levels
of esteem and self-actualization.[67]

A study based on Herzberg's theory, utilized a questionnaire con-
structed in an attempt to duplicate the model. It was found that those
factors that most often contribute to the satisfaction of teachers are
also, if absent, most often the cause for teacher dissatisfaction.
Those factors are identified by Herzberg as "motivators" and are as-
sociated with the higher-level needs of recognition and self-actualiza-
tion identified by Maslow. Moreover, it seems that education as a
profession can provide much satisfaction to those individuals employed
within the profession because of the intrinsic nature of the work it-
self and the sense of accomplishment derived from it. However, the
teachers responding to the study did not seem to feel their work was
being recognized or appreciated enough by those with and for whom they
worked.[68]

It was also found that within each group of teachers responding,
there were subgroups that seemed to have more specific needs. Young

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[67]Herzberg, pp. 53-62.

[68]James A. Medved, "The Applicability of Herzberg's Motivation-
Hygiene Theory," Educational Leadership, April 1982, p. 555.

men midway in their teaching careers needed more opportunities to advance within the profession and gain status from teaching as a career. Women teachers needed to have strong, positive leadership and needed to perceive teaching as being economically on a par with other professions.

Apparently, the longer teachers are in the profession, the more they become concerned with the work environment. Older teachers often are at a stage in their lives when they and their families need greater stability with regard to job security and pay; possibly, they have reached a time in their careers when the drudgery of teaching or teacher burnout has begun to take control over their lives. Thus, these individuals may derive less satisfaction from the work itself and more from those aspects identified as hygiene factors.

In general, teachers in the study seemed to be motivated by those factors that most often have drawn people into the profession in the past--the sense of accomplishment and responsibility that the work itself gives to those involved with it. However, teachers are increasingly concerned with or dissatisfied with the lack of recognition of their worth in society and are expressing a need to have their work reinforced through better pay and other forms of tangible recognition.[69]

Understanding the dynamics of motivation is important; however, knowledge and understanding are more prevalent than application. Successful implementation of these motivational concepts requires that individuals in leadership roles focus on the nature of rewards and their relationship to goals, the importance of performance evaluation and feedback, and enrichment of job content. In organizations or

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[69]Medved, p. 555.

offices where supervisors or employers fail to apply the messages of

Maslow and Herzberg, they report that rewards continue to focus on

lower-level needs, that is, on hygiene factors, rather than providing

employees with opportunities to satisfy higher-level needs or what

Herzberg calls motivators.[70]

One of the more recent systems for understanding basic human needs

is E-R-G or Existence Needs, Relatedness Needs, and Growth Needs. Ex-

amples of specific outcomes in each of the three needs categories are

as follows:

Existence Needs

Salary level
Fringe benefits
Fairness in pay
Physical safety at work and in daily life
Physical aspects of working and living conditions

Relatedness Needs

Friendly people at work
Respect from others (customers, friends, co-workers)
Support from other people
Open communications with others
Feeling of prestige from others

Growth Needs

Degree of challenge at work or at leisure
Independent activities
Personal involvement at work
Feeling of esteem

A comparison of Maslow and E-R-G needs categories is shown in figure 4.

The advantage in using E-R-G is that each of the three categories

refers to a different focus or orientation of the individual. Exis-

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[70]Joel Leidecker and James Hall, "Motivation: Good Theory –
Poor Application," Training and Development Journal, June 1974, pp. 3-7.

tence needs refer to one's desire for material things— a very tangible need. Relatedness needs refer to one's orientation toward other people and include the whole host of interpersonal relationships. Growth needs refer to an inward orientation toward oneself.[71]

E-R-G   Maslow

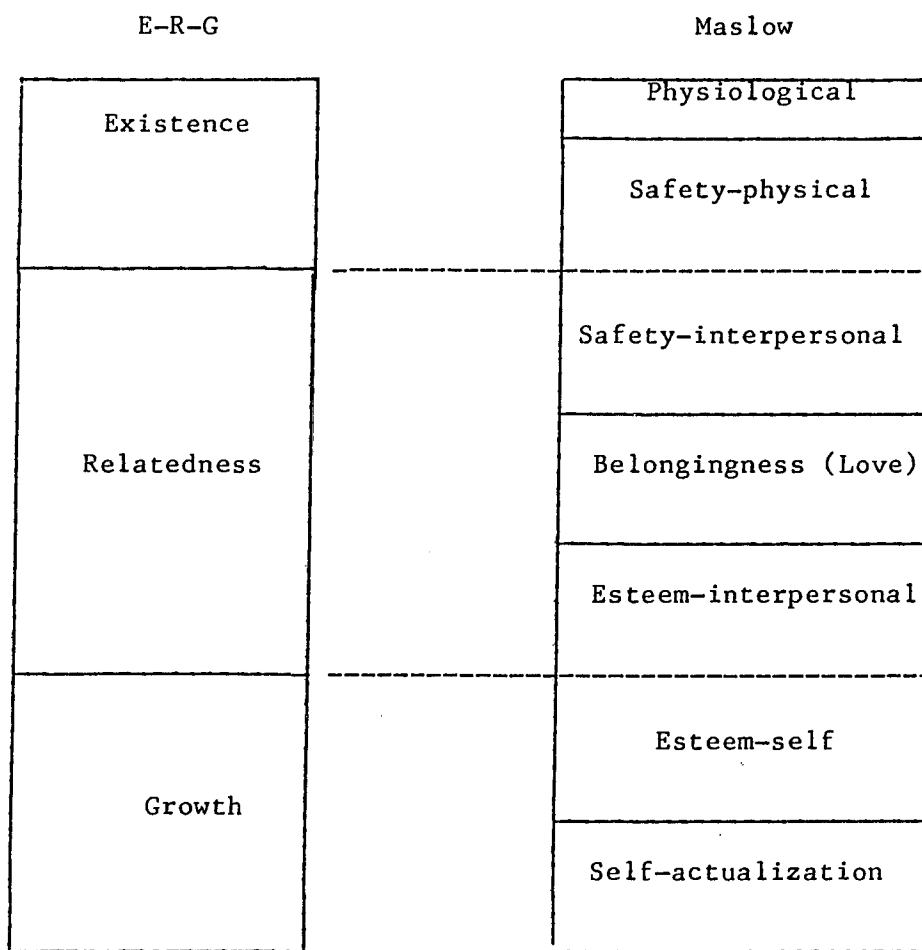| E-R-G	Maslow
Existence	Physiological
	Safety-physical
Relatedness	Safety-interpersonal
	Belongingness (Love)
	Esteem-interpersonal
Growth	Esteem-self
	Self-actualization

Figure 4. Comparison of Maslow and E-R-G Needs Categories.

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[71] John P. Wannous, *Organizational Entry: Recruitment, Selection, and Socialization of Newcomers* (Reading, Massachusetts: Addison-Wesley, 1980), pp. 12-13.

Effective training which contributes to the decreased need for the use
of organizational power is based on principles of learning which ad-
dress individual motivational needs. These principles include in-
volvement of the learner in the learning process, provision for adequate
time and materials, and providing learner satisfaction and rewards for
appropriate learning behavior. Individuals are unique, and control
cannot be gained without recognizing individual perceptions, learning
potentials, and personality.

To create a motivating climate, the following recommendations are
provided for administrators:

> Anticipate the factors that are most likely to have a motivational
> effect on the work of the individual.

> Have a clear view of your own motives, strengths, and weaknesses
> and how they are perceived by others.

> Understand that abilities, attitudes, and motives differ in
> individuals.

> Let employees know what is expected of them and place employees
> in positions that will satisfy their needs.

> Use atittude surveys more frequently to assess work attitudes
> and take steps to improve the less desirable attitudes.

> Invite employee participation.

> Foster a climate in which periodic re-training is expected
> and welcomed.[72]

The basic structure of an organization often predetermines the
type of motivational approaches that may be effective within it. The
technological structure of work environments can create conditions
ranging from those that are highly prescribed to those where technology

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[72]William Gluck, Management (Hinsdale, Illinois: The Dryden
Press, 1977).

is only a minimal consideration. Efforts to increase performance by stimulating individuals to do better and work harder are constrained in the bureaucratic organization by the routineness of the work.[73]

Research revealed that school administrators can have significant impact on teachers' levels of motivation. Job factors research indicated that the presence of factors intrinsic to the work (achievement, recognition, interesting tasks) result in satisfaction and a desire to invest further effort.

School administrators can increase the perceived attractiveness of excellent teaching by rewarding good performance. Administrators can also increase teachers' expectancies by providing opportunities to learn the requisite skills and by providing positive feedback when the teaching and its results are good and merit commendation. School leaders can ensure that excellence in teaching is the most direct path to desired outcomes. Changing teachers' levels of motivation cannot be accomplished overnight but requires thoughtful strategy, insight, and persistence over time. Just as students sometimes mask their inadequacy by a show of indifference, some teachers conceal their feelings of ineptness behind a façade of hostility or indifference.

The critical issue for leaders attempting to motivate others is to be sensitive to and emphasize those needs which the employee is actually experiencing. Depending on the employees' needs, congruence between experienced and emphasized needs may promote both job satisfaction and productivity. A discrepancy between experienced and

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[73]Elmer Burack, Organization Analysis: Theory and Application (Hinsdale, Illinois: The Dryden Press, 1975).

emphasized needs, however, may leave the leaders' attempts to motivate
irrelevant. In effect, questions may be answered that no one asked.[74]

Change

A time of crisis can be both bane and blessing; a time of great
danger may be an opportunity for great progress. Education is in such
a period. As institutions have grown and changed, public demands and
expectations have also changed. Educators have felt increasing pres-
sure to be more knowledgeable regarding the process of change--not
change for the sake of change, but meaningful, purposeful change that
occurs in a rational and planned fashion. Change is an ever-present
force in society and its organizations, including schools. Two major
rituals of our professional life are the acknowledgement of change
and inquiry about it.

Three things known about the future are that it will be radically
different than from the past; it will be somewhat different from the
present; and it will be rather different than we expect. No improve-
ment within an individual or an organization can occur without some
change.

The following list of guidelines to assist school leaders to
effectuate change was developed by Cribbin.

1. Build as much as possible on already existing strengths
   and work within the system.

2. Determine precisely how far you must go in order to achieve
   intended results and make only necessary changes.

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[74]Paula F. Silver, "Synthesis of Research on Teacher Motivation,"
Educational Leadership, April 1972, pp. 551-554.

3. Unless change is of an emergency nature, do not rush or push people into acceptance. Give people lead time so they can mull over the proposed changes.

4. Get a solid front of support for the proposed change. Neutralize power figures by getting them involved... Conviction cannot be coerced.

5. Plan the phasing of the implementation with utmost care. All details for beneficial or disruptive potential should be considered carefully, and provision for feedback should be made.

6. Strategies should be chosen in advance for dealing with rational and irrational resistance.

7. Stay loose... Have alternative strategies for adapting the change to organizational realities and developments in the light of feedback. If there is valid evidence that it should be changed or modified, don't be bullheaded.

8. The change should be monitored closely until it proves itself. The manager, himself, should make spot checks and hold progress reviews.

9. Avoid imposing the proposed change. Seek in every way possible to have people internalize change. Changes can be imposed; pressing persuasiveness can be used to bring about change; the manager can lead people to identify with change; but until people internalize the change, nothing of lasting worth will take place.

Risk-taking can be lessened if the changes are made in a rational and planned manner. Since people are different, it is natural that a difference of opinion exists regarding educational innovations. Indeed, some want change for the sake of change; some fight it because they fear it; and some let change control them.[75]

Change, to be effective, must have force and direction. Those responsible for leadership must determine when change is justifiable and to what degree it is synonymous with improvement. As society's

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[75]James Cribbin, Effective Managerial Leadership (New York: American Management Association, 1972), pp. 238-248.

store of skills, information, and knowledge increases, change is reported to accelerate also. As stress appears in society's organizations and institutions, and as different demands are placed on them, they change, adapt, or perish.

Five basic assumptions related to a conceptualization of change are as follows: First, change is inevitable. As people interact with each other and the environment, they constantly seek the most satisfying patterns of interaction or maintain those that have been satisfying in the face of a changing environment. Second, stress is a necessary component of change. Third, change takes place within a context which gives it meaning. This assumption is related to the first two and focuses on the fact that change is not a free-floating abstraction. Change is contained or bounded by some recognizable context--organizational, individual, or institutional.

Fourth, organizational behavior is social in nature and is characterized by patterns and regularities. Biological or psychological factors may be involved in organizational behavior; however, when an organization is used as the basic unit of analysis, the social aspect is central.

Finally, conceptual frameworks are useful for understanding occurrences within organizations of a highly complex nature-- such as change. The basic assumptions just listed were developed by Haworth as part of a framework for change, a framework of interactions which are not only interdependent but also patterned. Expected behaviors associated with status and role and guided by norms and values provide reliable patterns for interactions, said Haworth. This phenomenon

indicates that change will move in various directons with varying intensities. Three supporting concepts are membership, which aids in defining and understanding inter- and intra-organization interactions; means of interaction, which deals with ways of maintaining status role within the system; and the concept of setting,which provides for examination of interaction between the organization and factors external to it.[76]

Change and the resistance of schools to change has been analyzed by many individuals. One such person was John Goodlad, an internationally known educator himself, knowledgeable in many areas of education and closely identified with educational change and improvement. Research conducted by Goodlad and his associates in classrooms across the country documented the amazing resistance of the schools to change. Observation of teachers in the classroom and interviews with teachers and administrators formed the basis for the research reported. Goodlad formulated what he called a series of reasonable expectations based on what educators professed to be doing as a result of extensive staff development and self-assessment.

Among the practices he expected to find were (1) a great deal of attention given to students' individual differences in terms of varying materials and methods; (2) alternatives to the lecture approach; (3) principles of learning being applied such as motivation and reinforcement theory, and transfer of learning being practiced; and (4)

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[76]Shirley Haworth, A Sociological Framework for Analyzing Change in Organizations and Application of the Frameworth To An Educational Setting (University of North Carolina at Greensboro, 1978).

grouping for instruction. Instead, he concluded that there was very little evidence of grouping for instruction. Seventy to eighty percent of the teachers continued to lecture. There were few instances found when educational psychology was being used, and seldom were students involved in small groups in problem-solving situations.

After careful analysis of the anecdotal accounts of the observations and interviews conducted by Goodlad and his staff, clues as to why there was so much resistance to change were identified. In only four of the schools studied was there a critical mass of people working to solve the problems that they had identified as theirs. These four schools were noticeably better schools. In addition, it was found that the time, type and calibre of inservice education that teachers were involved in was less than appropriate. Fifty percent of the teachers were involved in various staff development activities after school, away from the school, and many times in areas not directly related to their teaching assignments. For instance, the vast majority of those working toward advanced degrees were studying administration.

After analyzing the resistance of the schools to change, Goodlad developed a theoretical model to effectuate more meaningful change. The responsive model that he proposed was a model whereby "the gravity of what one was trying to change reached out to the process and embraced it and became hospitable to it."[77] The emphasis is on making schools more aware of the process of dialogue, decision making, action, and evaluation. Four assumptions underlie the responsive model:

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[77]John Goodlad, "Speaking of Change," Audio Cassette Series Educational Resource Associates, Inc., 1972, Cassette Number 5.

(1) The ultimate goal is for people to be self-renewing; (2) the local school is the largest unit for change; (3) the learning of adults is as important as the learning of children; and, (4) problems identified by the people in the school should be the focus of inservice activity.

The responsive model proposed is not just another warning that "change-agents" need feedback from their client schools, but it strikes at the very notion of a client relationship. In the responsive model agents and resources that come from outside the school are viewed as facilitators or catalysts. Most of the change process is directed by personnel within the school. Showcase schools will not be produced overnight. Meaningful change takes time.[78]

Change agents must possess a broad conceptualization of the change process. They must be aware of the complexity of each individual's role, the built-in conflicts, demands, and relationships. Sarason stated that an understanding of the culture of the school and of the change process are crucial. He reported that a major barrier to our understanding of the school culture is the lack of systematic, comprehensive, and objective description of the natural history of the change process. Those introducing change in the school culture have an organized set of principles that take into account the complexity of the setting in its social, psychological, and sociological aspects, along with its verbalized and unverbalized traditions and values. The first step in describing or conceptualizing the school culture is the clear recognition that any view of change is based on the significance of existing

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[78]Goodlad, Cassette No. 2.

regularities. Goals of change cannot be accomplished independently of change in existing regularities.

Sarason later outlined criteria for creating a new and lasting setting for change with six steps in the process:

A perceived or realistic need for change

A leader who is committed to developing and maintaining a new setting

A core group of dedicated and committed followers

Knowledge of historical perspective

Continued availability of adequate resources

Commitment to continuous self-renewal and reform[79]

Brubaker proposed the following issues for exploring the personal, organizational, and cultural dimensions of change:

Alternative views of time and space

Values and valuing

Language surrounding change

Role definitions of participants

Conflict as an essential part of the change process

A view of change theory and implementation as necessary related parts of a larger entity known as praxis

Environments which encourage some kinds of leadership activities and styles and discourage others

The importance of relationships between persons and institutions

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[79]Seymour Sarason, The Culture of the School and the Problem of Change (Boston: Allyn and Bacon, 1971), Chapter 6.

Acknowledgement of research findings of the past, as well
as constant probing into the future

Recognition that the growth of adults in an educational
setting is as essential as the growth and development of
children[80]

If one views leadership as the process by which a person in-
fluences the action of others to behave in what one considers to be
a desirable direction, then it is important to be aware of the cov-
enants or relationships that exist or can be formed in the change
process. Resources available can be utilized to create learning en-
vironments that will release the leadership and creative capabilities
of all those involved in change efforts.

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[80]Dale L. Brubaker, _Creative Leadership in Elementary Schools_ (Dubuque, Iowa: Kendall/Hunt, 1976), pp. 179–181.

CHAPTER IV

THE DEVELOPMENT OF A CONCEPTUAL FRAMEWORK

Evaluation usually focuses on the teachers and their performances. The focus of this study, however, is on the principals and their role as evaluators of teachers. A serious attempt has been made to identify the knowledge, skills, and attitudes a principal must possess in order to perform the evaluation function in a highly competent and effective manner. Although many people evaluate teachers--peers, administrators, central office personnel, students, and parents, research clearly indicates that the function of evaluating teachers is primarily that of the principal.

Not only are legislators, state and local boards of education, and the public in general demanding a more rigorous and systematic approach to the process of teacher evaluation, but teachers also want excellence acknowledged and rewarded and poor performance eliminated. Teachers have the right to know who is evaluating them and what qualifications the evaluator possesses. If evaluation is to be perceived by teachers as a positive aspect of their professional growth and development, confidence in the evaluators as competent and well trained for the job is a must.[1]

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[1]Willard Duckett, Deborah Strother, and William Gephart, Practical Applications of Research (Bloomington, Indiana: Phi Delta Kappan, 1983), p. 1.

Restatement of Purpose

The purpose of this study was to build a conceptual framework focusing on the principals' role in the evaluation of classroom teachers in kindergarten through grade twelve. Such a framework will help to define and clarify the principals' involvement in the evaluation process. It will also provide a means for systematically analyzing and viewing the training or retraining of principals in the area of teacher evaluation.

Conceptual Framework Building

As used in this study, a conceptual framework is defined as a system or structure that serves as a means of identifying and analyzing information related to a given subject.

As a result of extensive review of the literature related to conceptual model building as well as various models and processes of teacher evaluation, it became apparent that what was needed was not another model of teacher evaluation, but a framework for viewing and understanding the involvement of the principal in the evaluation process. Therefore, the methodology utilized in this study, that of conceptual framework building as opposed to developing a finite model, is important to note. While the term "model" includes the concept of one-to-one correspondence of components, the term "framework" as referred to in this study is less finite and less limiting or restricting in nature, design, or elements. Viewed heuristically, a conceptual framework is one that serves as a means of finding out or discovering, and as such,

encouraging further thought through ongoing refinement and analysis as compared to a finished product transportable to any setting or situation.

A conceptual framework is one that draws together various elements into a supporting structure to aid in better understanding a given topic. Conceptualization of elements crucial to effective teacher evaluation and systematic attention to these elements by a competent principal will contribute to improved understanding, and hence, the likelihood of providing more effective teacher evaluation. Careful analysis of the process of evaluation should lead to the construction of a framework that identifies and defines key organizing concepts that aid both in clarifying or defining the principal's role in the evaluation of teachers and in identifying training needs principals must have.

Basic Assumptions Underlying the Framework Development

Before presenting this writer's conceptualization of a framework for principals' involvement in the evaluation of teachers, it is important to examine the assumptions underlying the framework. Six assumptions are basic to the writer's perspective. First, the study is worth doing. Few issues in education are more explosive than the evaluation of teachers. Although research indicates the major purpose of teacher evaluation is to improve the quality of instruction, it continues to be an emotional, controversial, and disruptive issue. In North Carolina, as well as nationwide, a more rigorous, systematic approach to the process is being demanded. Due to decreasing enrollments and budgets, the public is demanding that teaching staffs be reduced and that instruction and student achievement be improved. Strengthen-

ing the teacher evaluation process is commonly viewed as the best means of dealing with these concerns.

Second, administrators, both principals and other leadership personnel, can benefit from approaching the training of evalutors in a systematic way. Teachers are not the only ones who have much to gain in improving the quality of the evaluation process. Administrators can be confident of teaching personnel only to the extent that the evaluation process on which they base their decisions is effective. Systematic training of evaluators is a prerequisite for effective evaluation. Training for principals as evaluators must focus on knowledge, skills, and attitudes identified as criteria for competent evaluators. The spotlight is not only on teachers and what they do, but also on principals as evaluators and how well they do their job.

Third, effective evaluation can be a positive force that aids educators and contributes to better instruction. Increased student learning can result from such a process as well as the retention of the most effective and qualified personnel. Systematic attention to the evaluation process also contributes to increased credibility and support of the public for education. This assumption also speaks to the feelings of pride, as well as personal and professional gratification one feels when a job is done well. Excellent performance should be recognized and rewarded. Poor performance must also be addressed.

Fourth, formative and summative evaluation can be mutually supportive. Research indicates that the main objective in evaluation should be to help the teacher be effective and this objective should be changed only when a teacher is unable or unwilling to change. If

one believes that teachers indeed are concerned about their performance and desires that excellence in teaching be acknowledged and rewarded, and failure and mediocrity be helped or eliminated, then formative evaluation and summative evaluation are both valid. Each requires different kinds of skill and knowledge. It is imperative that the purpose of evaluation be established at the beginning of the process. For example, dismissal or tenure may be involved; if so, this needs to be known at the onset of the evaluation. If improved performance is the goal, then teachers and evaluators should agree on or be told what is expected and what they in turn can depend on in the way of training if deficiencies are identified. It is possible, even likely, that a dual evaluation system is needed if both formative and summative evaluation are to be accommodated. Such a system might apply both the formative and summative functions to new and beginning teachers, and then, once tenure has been obtained, use the formative evaluation.

Fifth, leadership and effective evaluation are inseparable. Research indicates that the quality of the educational program of a school depends on the leadership ability of the principal. While other administrators, central office or otherwise, may perform important leadership functions, in the end, it is the principal who must exhibit leadership behavior which is positive and focused on student learning and teacher effectiveness. When leadership is in evidence, the overall school climate is improved as well as learning and achievement.

School districts must provide comprehensive evaluation programs to meet the needs of principals as well as teachers. If principals are to serve as appropriate models for other personnel, they too must

be involved in evaluation programs that help identify their strengths

and areas that need development. Thus, personalized professional growth

and renewal programs are provided for principals. Principals need

adequate grounding in leadership processes and theories as a pre-

requisite for providing effective leadership practice. Leaders must

first understand themselves, and how they are perceived by others.

Only then can they model behaviors of professional development or renew-

al and lead others to improve their attitudes and skills. Difficulties

regarding teacher evaluation are related more to the leadership ability

of those who carry out the process than to the concept of evaluation

itself.

Sixth, sufficient research regarding effective teaching exists

to merit its inclusion in a conceptual framework. Regardless of the

evaluation system employed, agreement must be reached on what constitutes

effective teaching. In other words, evaluation systems that have been

effective have a perspective on teaching which is agreed upon and com-

municated to all personnel. Staff development then is provided so

that there exists a common understanding about what constitutes effective

teaching. One of the best approaches to this is the combination of ef-

fective teaching research conducted during the last ten to fifteen

years and the pioneer research conducted by Madeline Hunter at the

University of California at Los Angeles. Attention to current teacher

effectiveness research and a focus on teaching as it relates to school

climate and classroom management are considered to be among the most

important criteria for building a successful evaluation system.

Finally, no one system for teacher evaluation exists that is effective for all individuals in all situations. At the very heart of an effective evaluation system is agreement on the philosophy and purpose of evaluation. Just as these vary from school to school and district to district, so must the system of evaluation vary. Attention must also be given to the type of system to be employed to carry out the process of evaluation.

Characteristics of Open and Closed Systems
of Evaluation

The basic assumptions evaluators have about themselves, others, and organizations of which they are a part are evidenced by their actions or behaviors. Such is the case with principals and others as they outline a system of teacher evaluation. The process of evaluation may focus on control, understanding, or liberation of those being evaluated. Evaluators who are primarily interested in control emphasize efficient evaluation systems based on technical, rational, measurable means. Such a process is linear and sequential and provides for many a feeling of comfort, security, and sense of control. An evaluation process based on control is described as a closed system.

On the other hand, an open system of evaluation is professional as opposed to technical or bureaucratic and incorporates long-term planning and futuristic orientation. Such a system facilitates decision-making based on understanding and knowing as opposed to compliance and adherence to bureaucratic control. As new information or insights are obtained, there is continuous revision of the evaluation process. Involvement in, ownership of, and commitment to the process are valued

and built into the system. Persons have more authority and responsi-
bility related to their personal and professional growth and develop-
ment. A comparison of open and closed systems of evaluation is shown
below.

CLOSED SYSTEM	OPEN SYSTEM
primarily a short-term orientation	primarily a long-term orientation
fixed time frame	tentative (more open) time frame
linear, sequential (fixed sequences)	simultaneous, ongoing (continuous)
designed to eliminate ambiguity	ambiguity entertained (revision is accepted, in fact, encouraged)
usually top down with expertise clearly located at the top (those below involved to assure feeling of ownership by participants but decisions clearly not made by those who feel ownership)	decentralization, bottom up direct ownership and participation (alternatives clearly emphasized with little emphasis on a right way
goal is to strive toward future that is "present without its problems" (reform)	goal is to strive toward future that has its own unique shape (transformation)
statistical analysis and projections used	qualitative, rational discourse used with play also given to what emerges having a life of its own

Regardless of whether a closed or open system of evaluation is
selected, the importance of informed choice and agreement on the degree
to which the evaluator and evaluatee can function initially with ade-
quate security and knowledge are crucial considerations. Principals
and teachers who have functioned in highly bureaucratic organizations
with a command-compliance _modus operandi_ cannot shift automatically to

a liberation and emancipation orientation. Neither can bureaucratic structures in society accommodate or tolerate change of such a nature without adequate knowledge, insight, and time to internalize all that is involved. Pressure groups, accrediting agencies, and superiors as well as colleagues exert profound influence on how the evaluation process is to be carried out.

Construction of the Framework

The development of a conceptual framework for the principals' involvement in evaluating teachers is constructed for use by professional educators who are seeking a framework for viewing the evaluation process or examining their current evaluation system. It can be useful in rethinking or determining alterations in ongoing systems or as a framework for initiating and developing a new system. No intent or desire to sell any model or approach to evaluation is made; rather, the framework is a heuristic device intended to provide insight or perspective on characteristics or common elements that merit consideration in developing or revising a new or existing system of evaluation.

The framework constructed for the principal's involvement in teacher evaluation (see figure 5) consists of an inner circle and three concentric circles representing conceptual arenas that significantly impact on the principal and his or her involvement in the process of teacher evaluation. The arenas and accompanying elements closest to the center of the figure are those over which the principal has greatest influence, beginning with consideration of basic values, attitudes,

State Government - Statewide Initiatives

Federal Government - National Initiatives

Superintendent and Central Office

Other Principals

Principals' Attitudes

Principals' Involvement In Teacher Evaluation

Principals' Skills and Knowledge

Teachers

Students

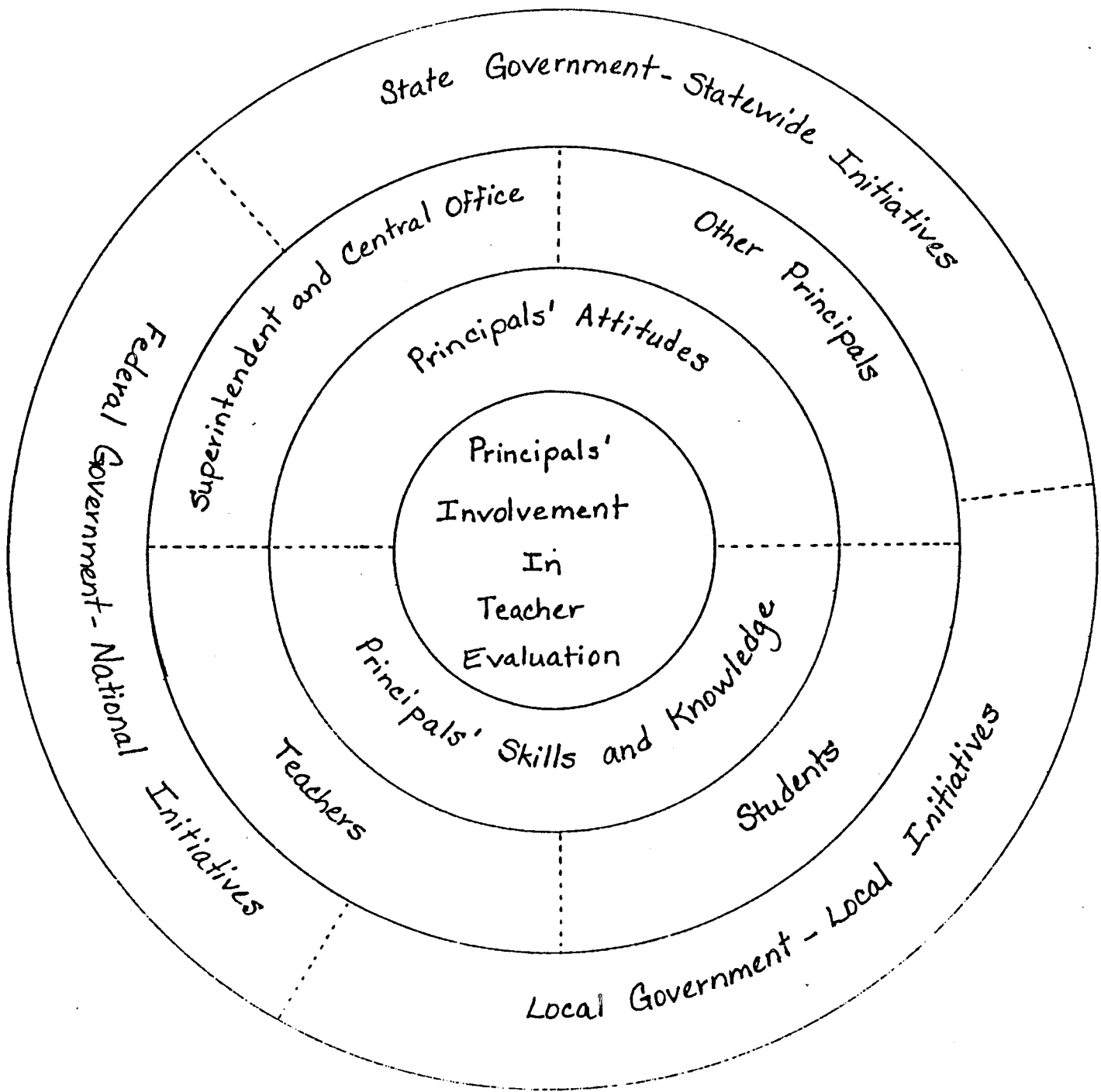Local Government - Local Initiatives

Figure 5

A CONCEPTUAL FRAMEWORK FOR THE

PRINCIPAL'S INVOLVEMENT IN

TEACHER INVOLVEMENT

knowledge and skills. Moving outward to the next circle and representing the second area to be considered are those internal influences exerted by internal forces such as the superintendent, other principals, teachers, and students. These individuals and groups exert influence in the form of policies, guidelines, and tacit and implicit expectations.

The third concentric circle represents those forces or initiatives farthest removed from the principal's immediate setting but that can have profound influence on how the evaluation process is structured. The climate or tone in which teacher evaluation is implemented may be set or influenced considerably by these forces.

The Framework and Its Elements

The first conceptual arena for the principals' involvement in teacher evaluation consists of the principals' attitudes, knowledge and skills, subdivided into attitudes and skills and knowledge. Six related elements that support and give meaning to the conceptualization of principals' attitudes are identified as follows:

1. Attitude toward the process of teacher evaluation: positive, growth producing as opposed to punitive

2. Attitude toward evaluatee: desires to contribute to individual improvement as opposed to proving or documenting inadequacies; values relationships; strives for balance

3. Attitude toward self in the evaluation process: views self as capable and willing to learn; possesses a sense of efficacy

4. Commitment to persons and the evaluation process: supportive attitude toward the process as evidenced by word and deed.

5. Commitment to improving instruction: time, energy and resources to support this commitment are given priority

6. Identification and analysis of one's value system including basic beliefs about persons and conditions that promote professional human growth and development: implications of motivation theory, Maslow's hierarchy, being professionally inviting, involvement of persons in process of self-improvement and change, Theory X and Theory Y

The following elements of the framework are related to the principals' knowledge and skills:

1. Preassessment: Assessment of teachers, the school setting, and the evaluation process by both formal and informal means

2. Planning and goal setting: internalization of the purpose and need to plan; choosing from alternative strategies; importance of intentionality and direction

3. Supervision: means of assisting teachers and improving instruction by skillfully orchestrating the integration of both the science and art of supervision

4. Leadership, Change and Motivation: Knowledge, and grounding in these areas are synonomous with effective teacher evaluation

5. Research on Effective Teaching and Effective Schools: Ongoing efforts for school-wide improvements emphasize awareness of and thought given to research on topics such as school climate, student expectations and student learning, classroom management, and time on task

6. Human Relations: Effective interpersonal and communications skills contribute to good will, trust and openness so that honest, open dialogue and constructive feedback are possible

7. Assessing and Evaluating: Skills in obtaining data for improved programs including teacher evaluation contributes to effective decision making and goal setting, and provides for planning that is responsive to data gathered as well as new knowledge and information.

8. Staff development: Needs identified must be provided, either personally or indirectly, and focused on in the evaluation process, including orientation and training, and agreed-upon components and procedures in the evaluation process.

Referring again to figure 5, the next circle represents those internal influences or forces that bear on the principals' involvement in teacher evaluation:

1. Superintendent and central office staff: Personnel policies submitted to the board; evaluation philosophy determined by bureaucratic hierarchy; expectations of principals as conveyed by the superintendent and staff; degree of

appropriate or inappropriate modeling by superiors in

the organization

2. Other principals: Peer support and pressure by other

principals; issue of uniformity of procedures and need

for conformity by some; knowledge and skill in evaluation

process

3. Teachers: Pressure by teacher organizations and unions;

comparison of evaluation procedures within a school and

within the school system; political clout; improvement of

skills enhances principals' self-image

4. Students: Attitude toward school and members of the profes-

sion; atmosphere of professionalism, that is, a place to

work and learn; increased credibility of educators as

caring and capable professionals; enhancement of profes-

sional gratification of educators as students learn and

achieve

The outermost circle of the framework represents those influences

external to or fartherest removed from the principal in the school

setting:

1. The Federal Government and National Initiatives:

Accountability movements; guidelines and requirements for

federal grants and programs in personnel evaluation; merit

pay, commission reports, and national efforts to reform

education

2. State Government and Statewide Initiatives: Competency

testing, legislative performance appraisal, standardiza-

tion of evaluation instruments, quality assurance pro-

grams, state board of education directives, and pilot

programs in evaluation

3. <u>Local Government and Local Initiatives</u>: County commis-

sioners, boards of education, pressure and special inter-

est groups, teacher organizations and unions, parental

and community concerns

Such a conceptual framework and accompanying elements provide a

useful device for systematically analyzing and viewing the principal's

involvement in teacher evaluation. Utilization of the framework by ad-

ministrators will contribute to improved understanding, thus increasing

the potential for more effective teacher evaluation.

Guidelines For Implementing the Framework

In the previous sections the writer identified and discussed vari-

ous elements of a framework for the principal's evaluation of teachers.

The reader is now advised to refer to figure 5 again   as guidelines

for the implementation of this framework are cited and briefly discussed.

Moving from the inner circle outward, these guidelines are out-

lined to aid those endeavoring to implement new or revised programs of

teacher evaluation, and to provoke dialogue regarding the process. This

format is consistent with the writer's advocacy of open-system strategic

planning and evaluation.

Guideline Number 1:   <u>Adequate time must exist to define clearly the</u>

<u>outcomes of the evaluation process</u>. Articulation

between purpose and evaluation activities is time

consuming. Person-centered evaluation involves

the establishment of clear lines of communication

between evaluator (principal) and teachers.

Guideline Number 2:   <u>Planning is a key process in effective teacher</u>

<u>evaluation</u>. High but achievable expectations

must be cooperatively established. Short-range

strategies such as what will be expected during a .

formal observation and long-range strategies such

as the integration of formative and summative

processes must be articulated. The principal must

be primarily committed to long-term strategic

planning.

Guideline Number 3:   <u>Commitment by principals and teachers is necessary</u>

<u>to ensure the success of any system of evaluation</u>.

Principals and teachers must be supportive of the

agreed-upon direction and process of evaluation.

Commitment must be evidenced in deed as well as

word.

Guideline Number 4:   <u>Teacher evaluation should focus on current teach-</u>

<u>ing and learning research</u>. Defining the teaching-

learning process facilitates improved instructional

interaction between the principal and teacher. Such grounding in current research should strengthen the process for both teachers and principals and significantly impact on improved evaluation as well as improved student learning.

Guideline Number 5: Principals must make every effort to establish a climate of trust and respect. They must also possess and convey belief in the potential for others to grow rather than always looking for deficiencies.

Guideline Number 6: Procedures for evaluating tenured and nontenured teachers must be articulated. Evaluation systems must address the issue of how both tenured and non-tenured teachers are to be evaluated. Evaluation of nontenured teachers has two distinct purposes: providing data to be utilized in making decisions regarding retention of a teacher and providing beginning teachers professional support. Congruence between what the system of evaluation purports to accomplish for both these groups and the procedures to implement the process must be articulated and consistent with stated purposes.

Guideline Number 7: Staff development or staff renewal for principals and teachers is a critical dimension of an ef-

<u>fective evaluation system</u>. Staff development should focus on helping educational personnel increase their performance effectiveness. Participants in the staff development should be provided an opportunity for input into the planning of both long- and short-range activities. The principal must entertain ambiguity, for teacher ownership will encourage revisions in the staff development process.

CHAPTER V

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS
FOR FURTHER STUDY

Evaluation is an ever-present reality. In the context of teach-
ing, the question is not whether to evaluate, but who should evaluate,
for what purpose, on what basis, and using what means? In addition to
these important questions, consideration must also be given to the
moral and ethical dimensions of evaluation and whether the system is
to be process or product oriented.

While these questions and many others are answered differently by
each state, school, or school system, the point made is that the phil-
osophy and purpose(s) of evaluation must be clearly identified and
understood by all involved. Before an evaluation plan can be enumer-
ated, consideration must be given to existing laws and mandates, cur-
rent research related to the topic, and the current sentiment toward
evaluation expressed by the public and by those in the education
profession.

The individual identified as having primary responsibility for
formally evaluating teachers and dealing with the many complexities of
the teacher evaluation process at the grass roots level was the prin-
cipal. Reporting of teaching performance was clearly identified as
the responsibility of the principal in most school districts across the
country. Principals were also responsible by law and by tradition not

only for evaluating teachers, but also for selecting, training, and guiding them.

With mandated teacher evaluation a reality in North Carolina as well as in numerous other states and school districts across the country, and with responsibility for conducting such evaluations resting squarely on the shoulders of the principal, a systematic means of planning, implementing, and evaluating a program of teacher evaluation merited considerable attention and further study.

In response to that need, the major purpose of this study was to build a conceptual framework focusing on the principals' role in the teacher evaluation process. Such a framework should help to define and clarify the principal's involvement in the evaluation process. It should also provide a means for systematically viewing the training or retraining of building principals in the area of teacher evaluation.

The selection of conceptual framework development as the methodology for this study was a critical one. Instead of a fixed theory or closed model of evaluation focusing on restriction or control of the process of evaluation, what was needed was a heuristic process for discovering and encouraging ongoing thought, dialogue, and action, and for reinterpretation and greater grounding in understanding the principal's role in teacher evaluation. This became increasingly apparent as the writer attended related workshops and conferences, interacted with acknowledged experts in the field of evaluation as well as with practitioners in the public schools and universities, and reviewed literature on the subject.

The issue of teacher evaluation must be viewed from an educational and professional perspective as opposed to strictly a technical and bureaucratic one. Teacher evaluation cannot and must not be carried out in an intellectual, moral, and educational vacuum.[1]

Developing rating scales, checklists, a system for classroom visitation and observation, and a bureaucratic process for decision making does not constitute an adequate or comprehensive system of teacher evaluation.

Put another way, the writer described the process of framework development for teacher evaluation as a dynamic one in which theory and practice are not only integrated through action and reflection, but are viewed as part of a larger interpretive endeavor which includes intention and direction toward the discovery of meaning and the development of understanding. Theory and practice should contribute to the search for greater understanding and as such be viewed in terms of what it reveals that creates new meaning. The field test of a good theory in practice is not only that it works, but that as a result of the marriage of theory and practice, persons are emancipated from previous misunderstandings and are free to reinterpret situations and obtain greater understanding.[2]

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[1] David E. Purpel, "A Framework for Teacher Evaluation," paper presented at the Southeastern Invitational Conference on Measurement in Education, February 1980.

[2] James B. Macdonald, "How Literal is Curriculum Theory?" Theory into Practice (Winter 1982): 55-61.

Basic assumptions which guided the writer and upon which the methodology was based included the following: First, the present study was worth doing as attested to by the considerable interest and concern for effective teacher evaluation expressed by citizens, politicians, and educators themselves. It was also obvious that major decisions in the area are either being made or have been made by state legislatures, local boards of education, and school systems across the nation.

The second assumption on the part of the writer is that administrators, both principals and other educational leaders, could benefit from approaching the training of evaluators in a systematic way. Many school districts provide no formal training or orientation program for evaluators. Those skills, attitudes, and knowledge needed by evaluators must be identified and appropriate staff development be provided. Teachers need to possess a feeling of confidence in their evaluators as competent and well trained for the job. Those evaluating teachers must possess a sense of confidence in their ability and a sense of efficacy.

Assumption three was that evaluation can be a positive force that aids educators by putting into place a process that provides them a sense of direction and accountability. An effective evaluation process can also contribute to improve staff morale. As teachers strive to improve themselves and their profession, acknowledgement of progress toward agreed-upon goals and various incentives associated with such growth and improvement often contribute to improved motivation and perseverance. Teachers and the public at large want excellence in teaching rewarded and poor performance either improved or eliminated.

The fourth assumption, that formative and summative evaluation can be mutually supportive, is somewhat related to the previous one. The primary objective in an evaluation system should be to help the teacher become more successful, and that objective should be changed only when a teacher is unable or unwilling to teach effectively. In a climate of respect and mutual trust, evaluation can accommodate both functions. It is most important that the principal and teacher know the purpose prior to starting an evaluation. If an administrative or managerial decision is to be made with respect to dismissal or retention, then teachers should know that in advance of the evaluation. If improved performance is the objective, then teachers should be informed of and involved in determining the way training or assistance will be provided for any deficiencies that are identified.

The fifth assumption, that leadership and evaluation are inseparable, is at the very heart of the evaluation process. The quality of the system of evaluation is dependent on the leadership effectiveness of the principal. When the leadership behavior is positive, and focused on improving performance and improving student learning, the principal sets the tone for and models this behavior to teachers, students, and others. Leadership at its best emphasizes the exchange of valued things among principals and teachers, and leads to increased motivation and commitment on their part. Such leadership is based on human interests and open two-way communication. Grounding in leadership theory, motivation theory, and the process of facilitating or increasing the likelihood of change contributes to the leadership potential of the principal.

And finally, sufficient research regarding effective teaching exists to merit its inclusion in a conceptual framework. This does not suggest that simplistic principles of teaching are advocated. However, ingredients of effective teaching resulting in increased student learning have been identified in many good research studies and validated in classrooms across the country. Consideration should be given to this research by those developing effective systems of evaluation. As additional insight is obtained, evaluation systems and teacher practice should be responsive to such new information.

The writer identified teacher evaluation and the role of the principal in that process as a critical issue worthy of intensive study and reflection. The related literature was extensively reviewed. Areas studied included the role of the principal as instruction leader, effective teaching and effective schools, supervision, leadership, motivation, and change.

As a result of this study over a three-year period, a conceptual framework for the principals' involvement in teacher evaluation was developed. The three conceptual arenas and supporting elements of the framework were outlined and discussed in Chapter IV. Seven guidelines to aid those endeavoring to implement new or revised programs of teacher evaluation were also identified and discussed in Chapter IV.

Recommendations for Further Study

1. The study is heuristic and exploratory, and therefore should be complemented by studies that utilize more tightly defined research methodologies such as experimental investigation or application of the model.

2. The articulation of the formative (coaching) and summative (judging) aspects of teacher evaluation should be further studied and refined in light of legislation related to merit pay or other differentiated reward proposals.

3. A case study approach using the conceptual framework should be employed in a school or school system setting.

4. The study is culture bound and as such should be conducted in other areas of the United States, even in countries outside the United States.

5. The conceptual framework developed and its supporting elements should be studied when used by educators other than principals; for example, central office staff and university leaders.

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REQUIRED TEACHER EVALUATION/TEACHER COMPETENCY LAW

States	1982 Evaluation Survey	Competency Law
Alabama		Yes
Alaska		
Arizona	x	Yes
Arkansas	x	Yes
California	x	Yes
Colorado		Yes
Connecticut	x	Yes
Delaware		**
Florida	x	Yes
Georgia	*	Yes
Hawaii	x	
Idaho		
Illinois		
Indiana		
Iowa	x	
Kansas	x	
Kentucky	x	
Louisiana	x	Yes
Maine		
Maryland		
Massachusetts		
Michigan		
Minnesota		
Mississippi		Yes
Missouri		
Montana		
Nebraska		
Nevada	x	
New Hampshire		
New Jersey	x	
New Mexico	x	Yes
New York		Yes
North Carolina	x	Yes
North Dakota		
Ohio	x	
Oklahoma	x	Yes
Oregon	x	
Pennsylvania	x	
Rhode Island		
South Carolina	x	Yes
South Dakota	x	
Tennessee	x	Yes
Texas	x	Yes
Utah		
Vermont	x	
Virginia	x	Yes
Washington	x	
West Virginia	x	Yes
Wisconsin		
Wyoming		

*Georgia requires that teacher evaluation be performed only on probationary teachers.

**Proposed legislation

Appendix B

NORTH CAROLINA ADMINISTRATIVE CODE

.0601 GENERAL PROVISIONS

(a) Every local board of education shall provide for the annual evaluation of all professional employees. This evaluation shall be based upon performance standards and criteria as specified in this section. A local board of education may adopt additional performance standards and criteria which are not in conflict with this section.

(b) The primary purpose of the employee performance appraisal system is to assist employees to improve the instructional program for students. The appraisal system encourages job-performance improvment and professional growth, which contribute to the effectiveness with which employees carry out their work. A second purpose of the performance appraisal system is to assist management and leadership personnel in making personnel decisions.

(c) Teachers shall be evaluated by the principal or the superintendent's designee.

(d) The principal shall be evaluated by the superintendent or the superintendent's designee.

(e) Teachers and principals shall be informed of their job descriptions and the performance standards and criteria by which they will be appraised.

(f) All teachers and principals shall be provided an orientation on the performance appraisal system by the local school administrative unit.

ADMINISTRATIVE CODE (continued)

.0601 GENERAL PROVISIONS

(g) Information obtained through performance appraisal shall provide:

(1) a basis for self-improvement on the part of the professional personnel, and

(2) data to be used in planning staff development activities for individuals and groups of individuals at the school, administrative unit, regional and State levels.

(h) Teachers and principals shall have the right to record written comments or to register dissent on their performance appraisal instruments.

(i) A rating scale shall be adopted by each local board of education for use on the teacher and principal performance appraisal instruments to include the following categories: Exceeds Performance Expectations; Meets Performance Expectations; Needs Improvement In Performance; and Not Applicable. In Addition, a local board may adopt a four-point scale to include the category of Performs Unsatisfactorily or a five-point scale to include the categories of Superior Performance and Performs Unsatisfactorily.

APPENDIX B

LEGISLATION

Section 35. The State Board of Education, in consultation with local
boards of education, shall develop uniform performance standards and
criteria to be used in evaluating professional public school em-
ployees. It shall develop rules and regulations to insure the use
of these standards and criteria in the employee evaluation process.
The performance standards and criteria shall be adopted by the
Board by July 1, 1981, and may be modified in the discretion of the
Board.

Local boards of education shall adopt rules and regulations by
July 1, 1981, to provide for annual evaluation of all professional
employees defined as teachers by G. S. 115-142 (a) (9). Local
boards may also adopt rules and regulations requiring annual evalua-
tion of other school employees not specifically covered in this
section. All such rules and regulations adopted by local boards shall
utilize performance standards and criteria adopted by the State Board
of Education pursuant to the first paragraph of this section; however,
the standards and criteria used by local boards are not to be limited
to those adopted by the State Board of Education.

Section 35, Appropriations Act
1979 General Assembly
Second Session, 1980

LEGISLATION (continued)

-----TEACHER PERFORMANCE STANDARDS

Sec. 29.12. G. S. 115C-326 as it appears in Chapter 423 of the

1981 Session Laws is amended by deleting the year "1981" wherever it

appears and by substituting in lieu thereof the year "1982".

By allowing for the delay in implementation of this section, the

General Assembly intends to allow time for testing the standards and

criteria in up to 24 local school administrative units and for proper

and necessary training of personnel involved in the implementation.

It is also thelegislative intent that standards and criteria utilized

in the initial programs include the use of test scores, as one of

many possible measures of performance.

Sec. 29.13. Of the funds appropriated to the Department of Public

Education in Section 2 of this act, the State Board of Education may

spent up to twenty-five thousand dollars ($25,000) for the implementa-

tion of performance standards and criteria as provided in G. S.

115C-326 and Section 29.12 of this act.

Special Provision of the Appropriations Act
1981 General Assembly

Sec. 41. Effective July 1, 1981, Section 29.12 of Chapter 859

of the 1981 Session Laws is amended by inserting after the words "test

scores" the words "of teachers".

Special Provision of the Appropriations Act
1981 General Assembly
October 10, 1981

APPENDIX C

APPRAISAL FORM

Date_____

Name_____ Episode #_____

1. Teaching to an Objective_____

Egg on the Wall   Buck Shot   Meandering Path   Few Detours   String of
                                                                  Pearls

Evidence:

2. Correct Level of Difficulty_____

Too Easy/Hard   Not Right For   Right For Some,   Right For   Just Right For
For Almost All   Majority   Not For Others   Majority   Almost All

Evidence:

3. Monitoring and Adjusting_____

No Adjust-   Very Little   Some Adjustment   Achievement w/   Much Achieve,
ment   Adjustment   Adjustment   w/Appropriate
                                                When Necessary   Adjustment

Evidence:

4. Facilitating Use of Principles of Learning_____

Almost no use   Little Use of   Some use of   Frequent use   Constant use
of Principles   Principles   Principles   of Principles   of Principles

Evidence:

5. Interfering Abuse of Principles of Learning_____

Constant Abuse   Frequent Abuse   Some Abuse   Almost No   No Abuse
                                                  Abuse

Evidence:

6. General Impression_____

Inadequate   Below Average   Average   Better Than Average   Excellent

Evidence: