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BEHAVIORALLY ANCHORED RATING SCALES FOR PRINCIPALS: A  
DEVELOPMENTAL APPROACH TO EVALUATION

*The University of North Carolina at Greensboro*

ED.D.

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BEHAVIORALLY ANCHORED RATING SCALES FOR PRINCIPALS:  
A DEVELOPMENTAL APPROACH TO EVALUATION

by

Brenda Kimble Moon

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Approved by



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APPROVAL PAGE

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

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MOON, BRENDA KIMBLE. Behaviorally Anchored Rating Scales for Principals: A Developmental Approach to Evaluation. (1980) Directed by: Dr. Roland H. Nelson, Jr. Pp. 266

This study investigated the applicability of Behaviorally Anchored Rating Scales to the evaluation of performance of public school principals. An instrument for use in evaluating principals in varied school settings in North Carolina was constructed. This Behaviorally Anchored Rating Scale was field-tested three times in different school settings.

The study contains a review of the literature of performance appraisal in general and Behaviorally Anchored Rating Scales in particular. The implications for a valid developmental approach to evaluation were also reviewed. Antecedents and precedents for current performance appraisal practices in industry, business, and education were reviewed and applied to the construction and validation of an evaluation instrument for school principals.

The basic concepts of BARS instruments were described in detail. The format for the development of the instrument was modeled after Smith and Kendall (1963), and results obtained were analyzed.

The presentation throughout the study was supplemented by figures, models, and tables designed to clarify the exposition of the text.

To assist a supporter of a developmental approach to evaluation, a step-by-step presentation was offered as a guide to a thorough understanding of the concept.

A number of federal guidelines and test cases were included in the appendices. The preliminary instruments which developed into the refined product, and the final instrument itself, were included in the appendices.

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## CHAPTER I

### INTRODUCTION

The field of education is giving increasing attention recently to a concept of evaluation based on actual behaviors demonstrated while performing specified job functions, as opposed to evaluation based on personality traits, job experience, or degrees earned. This study evolved from an interest in this concept, especially for the evaluation of educational administrators. It was assumed that a behavior-based instrument could be devised which could appraise performance more effectively. A particular concern was evaluation of middle management or, in education, school principals.

The use of an instrument called Behaviorally Anchored Rating Scales (BARS), which is composed of the job functions of the person to be evaluated and a collection of behaviors observed while performing these functions, appeared to be a valid approach to evaluation. Even though BARS is a concept borrowed from industry, it seemed reasonable to expect its adaptability to education.

Confirmation of that adaptability would prove valuable to education as a more accurate means of obtaining a true picture of the level of productivity and success of the administrator. In addition, since this instrument deals

with specific behaviors while performing various job functions, strengths and weaknesses of each individual can be pinpointed.

Teachers and professors have been engaging in performance appraisal of their students by means of some type of grading system for years. Grading has evoked considerable thought, study, and research. It appears, however, that far less attention has been given to performance appraisal of the educators themselves, even though such attention might result in important outcomes. Gage (1973) points out that appraisals may serve as bases for decisions on academic rank, tenure, and salary, as well as bases for self-improvement and being used as criteria for research or teaching.

As education becomes increasingly large and complex, school administrators of necessity must become more knowledgeable about and skilled in management. They must devise or adopt a system for evaluating their middle management or, in this case, principals. School districts must have the capacity for answering some basic questions:

- (1) What should principals do and why? (job description)
- (2) What measure (instrument) can be used to evaluate principals' behavior?
- (3) What level of performance is considered necessary in order for a principal to be considered effective?

- (4) What is to be done with evaluation information once obtained?
- (5) Can principals' behavior be altered in order to allow them to become effective?
- (6) Are we willing to spend the resources necessary to accomplish this task?

With answers to these questions an evaluation system should be able to judge a principal's effectiveness, which can be used to give an account to different publics concerning school objectives and results.

#### Statement of the Problem

A critical problem facing school systems is management development and the need for effective evaluation of administrators in education. To meet that need, this study investigated whether a behaviorally anchored rating scale could be applied to appraising the performance of public school principals.

#### Significance of the Problem

With the ever-pressing concern over accountability in education as elsewhere, management has tended to value objectives more than behavior. Both personnel specialists and line managers have enthusiastically placed emphasis on their subordinates' results and accountability rather than on their personal qualities. Despite its popularity and usefulness, however, many managers have found that this

system of management by objectives (MBO) also has its limitations. In fact, according to studies by Beer and Ruh (1976), its major strength is its major weakness. MBO focuses the attention exclusively on task results, instead of behavior. For a number of years, managers have been searching for a system that would combine the strengths of MBO with a better way of evaluating and thus improving the performance of subordinates.

Performance-based evaluation is seen as a better way to observe, evaluate and improve performance, and even allow for feedback.

#### Statement of Purpose

The purposes of this study were: (1) to render an account of the concept of performance appraisal or performance-based evaluation, (2) to render an account of the method known as Behaviorally Anchored Rating Scales (BARS), (3) to construct and to field-test a BARS instrument which can be used to evaluate principals, and (4) to ascertain as far as possible the content and predictive validity of a BARS instrument for principals.

#### Plan of Study

As a basis for the investigation, it was assumed that it was possible to take a process developed for industry/business and from its philosophy and basic design construct an instrument for education. In the research study of a

BARS instrument for education, the writer proposed to define the position of public school principal and break it down into dimensions or functions, thus allowing it to be analyzed. Using two sample groups, the product of the first part of the study would be administered in a second educational setting.

In order to gain a more complete picture of a principal's job performance the investigator would allow four separate sets of raters (superordinates, peers, self, and subordinates) to take part in the performance appraisal. It was hoped that one instrument for use in evaluating public school principals in grades K-12 could be constructed.

#### Definition of Terms

Behaviorally Anchored Rating Scales (BARS)--an instrument for evaluating performance based on behavior, not objectives.

global evaluation--an evaluation based on one's overall impression of an individual rather than an examination of his performance of independent job functions.

halo--the inability of raters to discriminate between performance in various behavior areas and the extent to which their bias enters into the measurement.

leniency error--the tendency of raters to be unrealistically generous in the evaluation of their subordinates.



management development--a system through which employees can be evaluated as to their level of effectiveness on the job. If deficiencies are identified, corrective measures can be provided and if other potentialities are identified, future training and opportunities can be developed.

management by objectives (MBO)--a system which places emphasis on employees' task results and accountability, not on their personal qualities.

performance appraisal--a performance evaluation concept which provides for management development.

performance evaluation--a formal means of analyzing a person, a job, or a situation in order to measure effort expended for expected rewards.

critical incidents--specific occurrences in which behaviors are most often demonstrated, identified by those who help develop the evaluation instrument.

forced-choice evaluation--a series of groups or clusters of statements about job behavior, containing two, three, or four items. The evaluator is asked to choose the item which is most descriptive of the appraisee.

Leadership Behavior Description Questionnaire (LBDQ-Form XII)--a questionnaire designed to measure subordinate perceptions of administrative behavior. It was developed by Stogdill (1963).

alternative ranking--an evaluator is given an alphabetical list of all employees to be ranked and asked to think

of the very best employee in the group on the dimension of interest. Following this, he is asked to think of the very poorest employee. Each time a person is identified as best or poorest, his name is removed from the alphabetical list and recorded on a separate ranking.

forced distribution--a comparative technique that generally overcomes one major limitation of ranking. Specifically, forced distribution methods usually include comparisons on several performance factors rather than on one global dimension. It is used to describe a method that forces the evaluator to assign a certain portion of his evaluatees to each of several categories on each factor. A typical classification scheme requires the evaluator to rate 10% of the appraisees highest on a factor, 20% above average, 40% average, 20% below average, and 10% lowest. The only probable drawback is the chance that some employees do not conform to the distribution that is established.

paired comparison--a variance of straight ranking. The evaluator compares each employee to be ranked with every other employee, one at a time. An employee's standing in the final ranking is determined by how many times he is chosen over the other employees.

straight ranking--the evaluator considers all employees to be appraised and identifies the very best performer, the second best, and so on, through all employees to the poorest.

rating scales--scales developed for the purpose of evaluation. The stimulus is a word or phrase followed by a rating scale.

reliability--the extent to which an instrument or measuring procedure yields the same results on repeated trials.

retranslation--the use of a second group to validate or check the language, placement under dimensions, scaling of incidents, critical incidents, written by the first group.

variability--although measures of work performance indicate a wide range of productivity, raters tend to employ only a portion and to avoid the use of extreme categories.

## CHAPTER II

### REVIEW OF THE LITERATURE

The literature on the concept of performance appraisal, performance-based evaluation, performance review, etc., is vast, repetitious, contradictory, and largely lacks an empirical research foundation. But the research which is relevant to performance appraisal can be presented as two major divisions--one focusing on performance appraisal in general, and the other more specifically on behaviorally anchored rating scales, the technique with seemingly the most promise for getting at the real problems of evaluation and adaptability to existing management systems.

#### Performance-Based Evaluation

##### Need for Evaluation

The realization of the need to appraise managers formally came to the United States with Frederick Taylor and his followers before World War I. Their system was related to numerical efficiency factors developed from work simplification and time-and-motion studies. Frederick Taylor's ideas about "scientific management" influenced educational administrators from about 1910-1935.

With the emergence of widespread awareness of human relations factors in managing in the early 1930's and 1940's,

it was understandable that behavioral traits, such as "ability to get along with others," would become dominant in appraisal systems.

Most early systems were for hourly workers instead of managers. Managerial appraisal systems introduced during World War II and shortly thereafter had their foundations in hourly labor performance appraisals. They were basically subjective in nature and included such traditional traits as the quality of work, adaptability, job knowledge, dependability, safety, housekeeping, and cooperative attitude.

McGregor (1957), in an article entitled "An Uneasy Look at Performance Appraisals," which first appeared in Harvard Business Review over two decades ago, stated his thoughts as follows:

The conventional approach to performance appraisal, unless handled with consummate skill and delicacy, constitutes something dangerously close to a violation of the integrity of the personality. Managers are uncomfortable when they are put in the position of "playing God." (p. 89)

For most people, management appraisal is extraordinarily difficult. It is hard to pass judgment on a fellow man, especially if that judgment will become a permanent part of his company record, affecting his future. Yet the attainment of any organization's goals requires that the performance of managers be measured, compared, and recorded. Growth requires that potential be evaluated. Therefore, there should be no reluctance in measuring managerial performance as effectively as we can (Beer & Ruh, 1976). We live in a

culture where performance has been rated at least from the time a person enters kindergarten and in almost every form of group enterprise, whether work or play. Moreover, most people want to know how well they are doing (Redfern, 1970).

But controversy, misgivings, and disillusionment with respect to managerial performance appraisal are plentiful. Borman (1975) and Cummings (1973) agree that evaluation is not the matter in question, only what is to be measured, the standards being used, the way and frequency with which it is done, and the training or lack of it that exists.

Adequate performance appraisal, then, is based upon actual behavior relevant to the responsibilities and functions of the man being rated. Before making an appraisal of any subordinate, an executive should have clearly in mind the kind of behavior required by the job. . . . (Cummings, 1973, p. 490)

A common mistake is to put a man in a program of development without assessing what his strengths and weaknesses are. A second and more serious error is made when compensation and other inducements as well as evaluation are based on subjective judgment. Many mistakes would be avoidable with a strong system of evaluation. Along with the use of evaluation for the above purposes a system is needed in the area of selection and promotion. The element of risk still persists even with the use of the best possible criteria for selection and promotion (Koontz, 1971).

McGregor advocated, as an alternative to conventional subjective appraisal, Peter Drucker's concept of "management

by objectives." This system, called MBO, appears to be more human than the unilateral rating of a subordinate by his superior. Although better than some existing systems, MBO has certain recognizable weaknesses. Therefore, an additional technique is needed which can build in remedying provisions.

Close to our own time, President Nixon said in a 1970 address on the topic of evaluation in education, "To achieve this . . . reform it will be necessary to develop broader or more sensitive measurements of educational output" (Hughes & Watkins, 1972). From these considerations, we derive the concept of accountability and thus a stronger need for better performance evaluation instruments.

The scientific bases of education, management, and leadership are insufficient to ensure infallible evaluative judgments about principal effectiveness. Acknowledging this fact, where does education turn for an effective evaluation instrument?

One possible answer lies in Behaviorally Anchored Rating Scales. These scales are a popular type of scaling format designed to measure job performance. Introduced by Smith and Kendall (1963), such scales have been developed by and for a variety of professions (Bernardin, Alvares, & Cranny, 1976). They have been proclaimed to make a major contribution toward improving rating scales.

According to Cummings (1973), the literature on performance appraisal might be characterized as falling within the following six classifications:

1. Argumentative, frequently philosophical, pieces which focus on the general theory of the appraisal process as a manpower development technique.
2. Opinion pieces, some with empirical data (e.g., the General Electric studies by Meyer et al., 1965) which argue for the separation of time and method of actual processes.
3. Studies which report the effects of leadership style, organizational climate, and feedback or the performance-interview process on employee reactions to the performance-appraisal process.
4. Counting studies which report the frequency with which different varieties of appraisal systems are used by industrial organizations.
5. Case studies which describe the effects of specific appraisal systems in specific organizations.
6. Studies which focus on the psychometric evaluation of various systems as applied to performance appraisal.

Regardless of the position taken in the past, today 75 to 94% of the business and governmental organizations in the United States have a formal system for evaluating the performance of at least one group of their employees.



Miner (1974) found that approximately 80% of all United States companies have a formal management appraisal system. The shift is away from appraisal of the "rank and file." Appraisals of managerial personnel continue to grow in number, as controls are needed on executive performance.

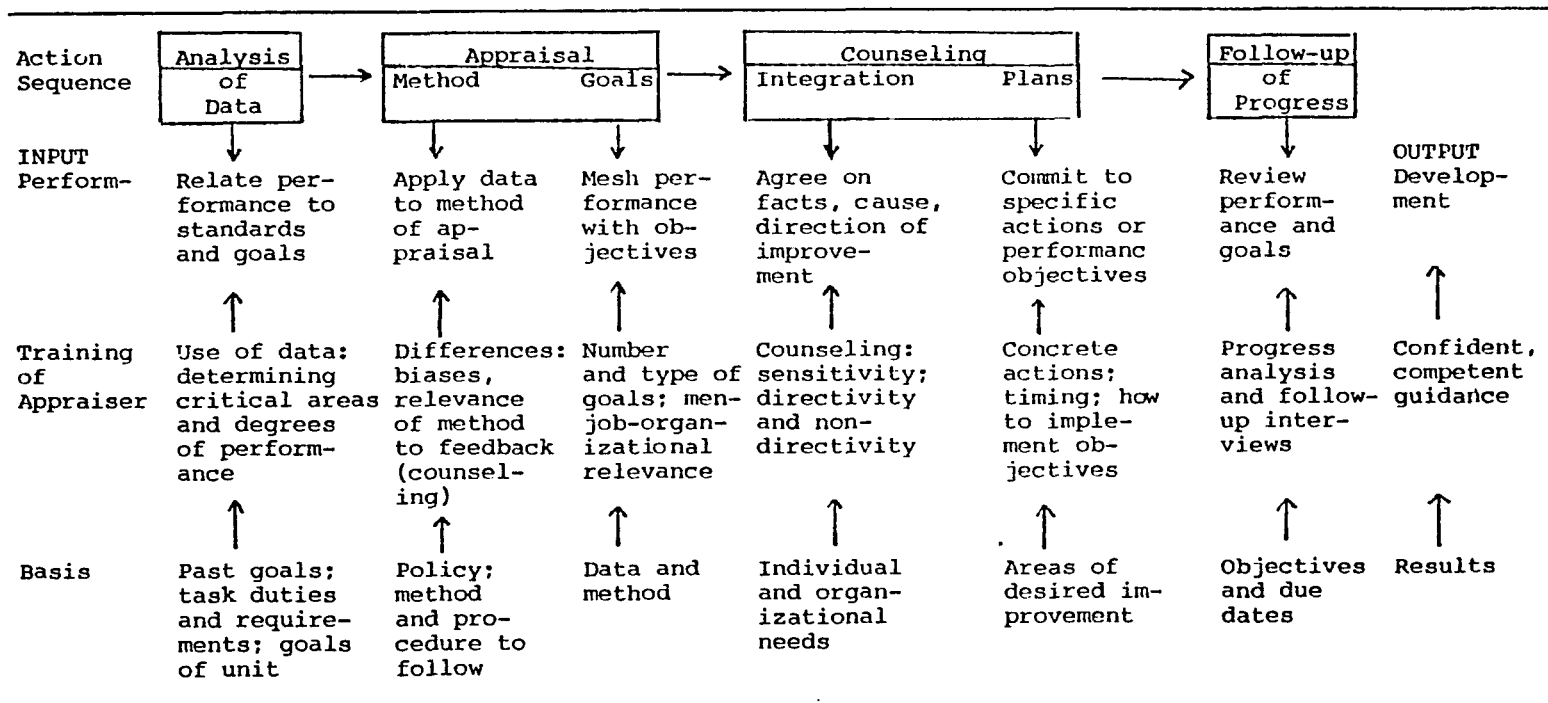
Following the input of a man's performance, each step in the sequence helps to determine the output which in this case, one hopes, is improved performance. The contention is that all phases of the appraisal system are essential in order to achieve optimal results for executive appraisal. A lapse of any single step in the sequence can cause the appraisal to be lost. The problem then becomes one of how one develops an effective appraisal system and what should be its components.

Calhoon (1969) developed a model which he based on a survey he conducted among industry personnel administrators and academic personnel, all of whom either possessed expertise in the area of executive appraisal or worked for a company with an executive appraisal system (see Table 1 for Calhoon's Model, 1969).

This model presents many of the main areas which are both controversial and tend to cause the most problems. Calhoon considers that, to be effective, an appraisal system should have simplicity of form and procedure and should be reviewed frequently for updating and revision. It should provide for self-appraisal, allow for the organization to

Table 1

Components of Executive Appraisal System  
Role of the Appraiser



Source: R. P. Calhoun, "Components of an Effective Executive Appraisal System," Personnel Journal, 1969, p. 618.

identify areas needing improvement, and include counseling and follow-up. It should allow for the development of instruments for the different levels of the organizational hierarchy, determine whether the instrument should be developmental or judgmental, and determine whether the function of evaluating performance should be participative and integrative as advocated by McGregor. Furthermore, a system must decide whether to train appraisers and educate appraisees, and determine whether firm commitment to the appraisal program by top executives is necessary.

In addition to the areas of controversy and potential problems presented by Calhoun in his model, there are other problems that have been researched and on which decisions must be made when developing an evaluation instrument.

If an organization really wants motivated, fully qualified men and women who perform their jobs efficiently, it makes sense to establish a description of the fully qualified worker for each job. This allows the employer to establish standards of job performance.

McCormick et al. (1972) found that "The study of human performance per se has been a sadly neglected area of research." If any significant changes are to occur, there must be a shift in emphasis from the individual to the criterion problem as an evaluative index of performance behavior.

In the development of criteria there are four basic steps: define the activity, analyze the activity, define the

elements of success, and develop the criteria to measure these elements. Research can be no better than the criteria used and neither can the effectiveness of the instrument chosen for evaluating employees of an organization.

Training. Another issue that must be dealt with when instituting an evaluation system is whether the organization desires to spend the time and money necessary to train both the raters in how to carry out their responsibility and those on whom the tools will be used.

The research in this area also is lacking; but from that which is available (Latham et al., 1975), one can surmise that although errors do occur in the use of any rating scale, there is a significant drop in the number of errors when a short training session is held.

Although there are fewer overall errors following training of the raters, there is still the possibility of "halo error." Often raters succumb to halo error by what Borman (1975) referred to as

attending to a global impression of each rater rather than by carefully distinguishing among levels of performance that individual raters exhibit on different performance dimensions. These raters may justify their overall evaluations of each individual by providing consistently high (or low or average) ratings across all performance dimensions, when in fact, many raters exhibit significant relative strengths and weaknesses on different performance dimensions.

Attempts to reduce halo through rater training have met with some success. One way this can be accomplished is by making greater distinctions between different performance dimensions.

As a result of this and similar studies, it appears that it is worth the time and money necessary to conduct training sessions for both raters and ratees.

Sex and race. One issue of recent origin that now must be considered in performance evaluation is the effect of the applicant's sex and race on performance ratings. One could turn to studies conducted by Hall and Hall (1976) and Bigoness (1976):

Although continued research is essential to identify and control the above-mentioned sources of error in performance ratings, recent legislative enactments, Equal Employment Opportunity Commission rulings and court decisions have encouraged researchers to direct their attention to a recently prominent issue: Do performance ratings exhibit sex and race bias? (Bigoness, 1976, p. 80)

The study conducted by Bigoness used a controlled laboratory setting to examine the effect of ratee sex and race on rater evaluation when objective standards were established.

Deaux and Taylor (1973) found that highly competent males were rated more positively than highly competent females and that males of low competence were rated lower than similar females, regardless of the rater's sex. Rosen and Jerdee (1973) found that male administrators discriminated against women in personnel decisions involving promotion, development and supervision. (Bigoness, 1976, p. 80)

The lowest acceptance rates and the poorest evaluations were given to female applicants for "demanding" managerial positions. One interesting exception to sex bias in ratings of performance was found. Pheterson et al. (1971) found that when clearly objective criteria were specified and the performances of males and females were identified, the ratings displayed no differences.

Evidence of race discrimination in performance ratings has also been documented. Cox and Krumbolt (1958) and deJung and Kaplan (1962) found that raters gave significantly higher ratings to ratees of their own race than to those of the other race and that the effect was more marked for black than white raters. (Bigoness, 1976, p. 80)

Rotter and Rotter (1969) found that blacks received distinctly higher ratings on evaluation scales from supervisors of their own ethnic group than from white supervisors. Hamner, Kim, Baird, and Bigoness (1974) sought to investigate the effect of the sex and race of the rater and the sex and race of the ratee upon the assessment of ratee performance. Their results indicated that sex-race stereotypes did influence performance ratings, even when objective measures were defined.

However, Bigoness found, contrary to other subsequent studies, that females were not found to be rated less favorably than males (pp. 80-84).

Evidence of race bias in this study supports earlier findings by Rotter and Rotter (1969) that raters tended to grant higher ratings to black than to white ratees when performance was poor, while evaluating high-performing blacks and whites similarly.

Therefore, there is strong support for the establishment of clearly objective indices to enhance the accuracy of performance ratings and that training could result in even more equitable ratings.

Based on the findings of a study on "Effects of Job Incumbent's Race and Sex on Evaluations of Managerial Performance," Hall and Hall (1976) recommended that behavioral data should be used as a basis for performance appraisal and selection in order to reduce the effects of personal bias in the rater.

Raters. Another major consideration in instituting performance-based evaluation is determining how many people should be involved in the actual rating process. Moreover, in developing an instrument for the evaluation of a group of employees, who should rate whom? Basically there are at least four choices (Lawler, 1967). The superordinate or supervisor of any group usually evaluates those under him. This perhaps should also be true of administrators. Second, subordinates should be considered. In the case of educators such as principals, this might be particularly useful. Third, peers are a group often used. In the case of principals, however, these may not be appropriate, since they lack sufficient opportunities to observe the administrator's behavior. Fourth, self-evaluation is an area that appears to be of prime importance, either formally or informally. All people need to take time out to evaluate themselves, whether they share the results with others or not. For administrators, this may be even more important. There may be others who should be considered, but generally speaking, these are

the ones to which research most often refers. There has been a multitude of studies on each of these groups and none has been significantly conclusive. It appears to be up to the author of the instrument and the organization, because one can easily find research to support or refute his position.

However, Lawler (1967) found that more valid ratings can be obtained through multiple use of raters. Value can be obtained even from disagreements among raters.

Although rating by the superior has probably enjoyed greatest popularity at the management level, an individual's peers and subordinates are often in a better position to judge his performance and potential for other jobs than his superior (Schmidt, Berner, & Hunter, 1973).

For any employee, including management, rating should be done by ratees who are unfamiliar with the aspects of the individual's performance that they rate. Otherwise the ratings tend to be affected by the halo effect and tend to be unreliable. (Lawler, 1967, p. 370)

The question remains as to the number and kinds of traits upon which ratings should be obtained. One rating that unquestionably should be included is a global one on quality of job performance. Global ratings may also reduce the halo effect that often comes from overall performance when other ratings are given. While one problem eliminates another, neither is the desired end.

Other traits that are included should be clearly defined and carefully distinguished from the global-performance



measure and from each other. Their selection depends on the particular purpose of the study and on the particular kinds of behavior that characterize the important functions of the job. Barrett, Taylor, Martens, and Parker (1958) have found that formats incorporating behavioral description of scale steps were of superior reliability to numerically anchored scales. Smith and Kendall (1963) have used behavioral descriptions provided by employees and anchors for rating scales. They report that excellent discrimination and high scale reliability were obtained. Further evidence in support of adding verbal descriptions to scale points comes from a study by Peters and McCormick (1966) which showed that job-task anchored rating scales are more reliable than numerically anchored scales.

Feedback. One of the main components of an effective appraisal system is the appraisal interview or feedback session. This is where many systems totally fail. Basically, the manager may discuss the appraisal indirectly or directly. In the indirect approach, the superordinate encourages the employee to appraise his own performance. This is usually considered the most difficult to use. The direct approach is one in which the appraiser leads the discussion supported by documented data he has compiled on specific job experiences, situations, and criticisms.

In recent years, a number of researchers including Kim and Hamner (1976) have been interested in the motivational

impact of goal-setting, feedback, knowledge of results, and/or praise on task performance and satisfaction. Each of these three task cues has been found to have positive effects on performance.

The facilitative effect of knowledge of results upon performance is one of the best established findings in the research on performance appraisal. Providing employees with feedback on performance can serve as a directive to keep goal-directed behavior on course and it can act as an incentive to stimulate greater effort.

It was also found (Kim & Hamner, 1976) that maximal performance could be achieved when employees were provided with accurate feedback on performance-based published standards.

In a study conducted at General Electric by Herbert H. Meyer and William B. Walker (1961), it was found that the skill with which an appraiser handles the appraisal feedback discussion with the subordinate is a key factor in determining whether or not the performance appraisal program is effective in motivating behavioral changes.

There are studies to support any point that can be made in regard to the interview or feedback session. Kay, Meyer, and French (1965) state that negative feedback reduced motivation. Kavanagh (1971), on the other hand, found that allowing the employee to participate in the interview adds a

positive note to the interview. Wexley, Sanders, and Yukl (1973) concluded that interviews can be successful only if the interviewer is trained and the employee understands the system.

Corning Glass has developed a system that incorporates major components that are lacking in many performance appraisal systems:

1. The formal recognition of the manager's triple role in dealing with subordinates.
2. The emphasis on both development and evaluation.
3. The use of a profile displaying the individual's strengths and developmental needs relative to himself rather than to others. (Beer & Ruh, 1976, p. 60)

#### Legal Requirements for Appraisal Systems

Since performance appraisal is an accepted fact in an organization, the public employer must select a formal system which will meet the legal requirements set up by the regulatory agencies and the courts. In fact, performance systems are accepted as an integral part of the public personnel management process which provides data about past, present, and anticipated behaviors of employees.

Recent federal legislation and judicial decisions (Griggs vs. Duke Power Company, March 1971) have influenced and complicated the construction of a valid instrument. In both the private and public sectors (See Tables 2,3, Feild & Holley, 1975) the factors commonly used to appraise employees entail subjective judgments of personal traits. Since

Table 2

Percentage of Employers Using Selected Factors  
in Appraising Employee Performance

|  | Private Industry |         | State<br>Government |
|--|------------------|---------|---------------------|
|  | Mfg.             | Nonmfg. |                     |
| Managerial skills (knowledge, experience, ability to organize, etc.)   | 80               | 87      | 74                  |
| Achievement of goals (completion of programs, costs, production, etc.) | 81               | 87      | 26                  |
| Job behaviors (as related to job duties)                               | 64               | 65      | 80                  |
| Personal traits (attitudes, intelligence, dependability, etc.)         | 61               | 65      | 80                  |
| Potential (capacity to develop and advance, etc.)                      | 58               | 61      | 8                   |

Source: Feild & Holley, 1975.

Table 3

Percentage of Employers Using Performance Appraisal  
Systems for Selected Purposes

| Factor                            | Private<br>Industry | State<br>Government |
|-----------------------------------|---------------------|---------------------|
| Promotion                         | 73                  | } 58 <sup>d</sup>   |
| Layoffs                           | 27                  |                     |
| Discharge                         | 46                  |                     |
| Wage and salary decisions         | 69                  | 39                  |
| Training and development          | 61                  | 38                  |
| Manpower planning and utilization | e                   | 46                  |

<sup>d</sup>The categories of promotion, layoffs, and discharge were combined in the survey of state governments.

<sup>e</sup>Not reported.

Source: Feild & Holley, 1975.

performance ratings serve as a basis for making such personnel decisions as layoffs and promotions, they must comply with legal requirements.

The legal aspects of performance appraisal systems are reflected in the Guidelines on Employee Selection Procedures. Public Law 92-261, the Equal Employment Opportunity Act of 1972, states in part:

Every employer, employment agency, and labor organization subject to this title shall (1) make and keep such records relevant to the determinations of whether unlawful employment practices have been or are being committed, (2) preserve such records for such periods, and (3) make such reports therefrom as the Commission shall prescribe by regulation or order, after public hearing, as reasonable, necessary or appropriate for the enforcement of this title . . . thereunder.

Several sections of this law have direct bearing on the use of performance ratings. In particular, these sections include the (1) definition of a "test," (2) minimum standards for validation. Although by title the Guidelines sound as if they apply only to tests commonly used in employee selection, they apply to any formal or informal device used to evaluate employees.

For the purpose of EEOC and the OFCC a "test" is defined as

. . . any pencil or paper or performance measure used as a basis for any employment decision [which] . . . included all formal, scored, quantified or standardized techniques of assessing job suitability including . . . specific or disqualifying personal history or background requirements, specific educational or work history requirements, scored interviews, biographical information blanks, interviewer's rating scales, scored application forms, etc. (Labor Law Journal, 1975, pp. 425)

In this sense, the definition of a test as used in the Guidelines is not limited solely to the measurement of cognitive areas such as abilities, aptitudes, and intelligence, but is extended to include the noncognitive domains such as interests, attitudes, personality and biographical data.

In extending the jurisdictional purview of the EEOC and the OFCC to cover personnel devices other than tests to assure compliance with the Equal Employment Act and Executive Orders 11246 and 11375, "The requirements for such techniques other than tests . . . may be improperly used so as to have the effect of discriminating against minority groups" (Labor Law Journal, 1975, p. 425).

Where there are data suggesting employment discrimination, the person may be called upon to present evidence concerning the validity of his unscored procedures as well as any tests which may be used. (Labor Law Journal, 1975, p. 425)

The requirements for establishing a prima facie case and shifting the burden of proof are critical elements to understanding the legal processes in equal opportunity cases. For a better interpretation one need only examine a few landmark cases.

In Griggs v. Duke Power Company (March 1971), the issue involved the use of broad and general testing devices (intelligence tests) as well as the use of diplomas or degrees as fixed measures of capability. The EEOC Guidelines permits only the use of job-related tests. Related cases are Albemarle

Paper Company et al., Joseph P. Moody et al., and Washington, Mayor of Washington, D.C., et al. v. Davis et al.  
(see Appendix A).

For years the courts obviously considered performance rating systems as serving an accepted and legitimate function within the overall personnel management system. In fact, it was not until the 1970's that performance-rating systems along with other standards and instruments began to be questioned in the courts.

According to McGregor, in 1957, a large number of organizations had simply thrown out all attempts to use instruments in employment procedures to avoid suspicion of impropriety. However, just as many organizations were trying to keep their testing programs up-to-date and lawful.

Feild and Holley (1975a, p. 428) found that inappropriate use of evaluations has occurred for any one or more of the following reasons:

1. The system was not job related or valid.
2. The content or method was not developed through job analyses.
3. The raters have not been able to consistently observe the ratees performing their work.
4. The ratings have been based on raters' evaluations of subjective or vague factors.
5. Racial, sexual, etc. biases of raters may have influenced ratings.



6. Ratings have not been collected and scored under standardized conditions.

Although much research remains to be undertaken on the applicability of performance evaluation, clearly the first step must be in terms of the validation of the methods used in performance evaluation. Establishing empirical validity of ratings is likely to be difficult, if not impossible, but an instrument containing a representative sampling of tasks which closely approximate the tasks to be performed on the job would provide reasonable content validity.

#### Evaluation Developments in Educational Administration

A formal system of performance evaluation of administrative personnel in school systems is not an established practice as it is in business and industry. Historically, school systems have had smaller and less complex organizational structures. In such circumstances, the top school administrator has known his subordinates intimately and has not needed a formal procedure for evaluating their performance. The accelerated growth of most school systems within the past three decades, however, has produced organizations of greater size and complexity, and formal procedures for evaluating school administrators have become a necessity.

Recently, a widespread movement toward accountability in education has come into focus due to loss of faith by the

clients of the public schools (Redfern, 1973). Indicative of this development is the mandating of administrative evaluation in seven states since 1970. Educational Research Service (ERS) surveys indicate that the percentage of large school districts (enrolling 25,000 or more) conducting formal evaluations of school administrators has increased from less than 40% in 1968 to more than 54% in 1971.

Traditionally, business and industry have led in the development and implementation of comprehensive management appraisal programs. Education, by contrast, has had relatively little experience with formal administrative evaluation--especially with the integration of evaluation and other organizational processes. Administrative evaluation in the past has been largely supervisory and consisting of a superior's assessment of the personnel characteristics or performance of the administrator. Usually the assessment focused on such nebulous administrative qualities as "integrity" and "leadership abilities" (ERS, 1974).

Recently, however, educators have incorporated the knowledge derived from research and from business experience to develop new evaluation programs for educational administrators. Procedures such as evaluation-by-objectives, assessment by subordinates, and team accountability have been introduced. Proponents of such innovative procedures in

education are optimistic about the effects that evaluation can have upon both administrative and organizational performance. Others have doubts about the appropriateness of applying such procedures in the area of education.

Research has shown that some evaluation procedures can actually be harmful to performance and morale (Brown, 1977; Schrader, 1969; Thompson, 1971). Therefore, the choice, development, and execution of any evaluation system must be carefully determined. It is best to create a match between the system and the organization.

Administrative evaluation systems are based upon the assumptions that there are standards of administrative effectiveness, and that administrative performance can be measured in terms of these standards. The design and implementation of an evaluation process also rests upon a third assumption, that the process will accomplish some stated objectives. (ERS Report, 1974, p. 84)

These assumptions form the basis for the three components of evaluation: (1) development of standards of administrative effectiveness, (2) assessment of administrative effectiveness, and (3) accomplishment of the purposes of administrative evaluation.

Dean Speicher (1971), in Personnel News, identifies three approaches to defining the administrative role or standard of effectiveness:

1. Characteristics of Traits (Input) Approach, which defines administrative effectiveness in terms of personal attributes (knowledge, personality factors,

appearance, etc.) considered desirable in the accomplishment of administrative or educational objectives.

2. The Process-Behavior Approach, which defines administrative effectiveness in terms of specific functions (allocation of resources, supervision of staff, communication with parents and community, etc.) considered essential to the accomplishment of educational and administrative outcomes.
3. The Administrative Outcomes (Output) Approach, which defines administrative effectiveness in terms of the relative accomplishment of educational or administrative objectives. The output model requires the development of objectives which incorporate measurable or observable criteria.

Defining the functions. Numerous attempts have been made to define the functions of the school administrator. A clear specification of administrative responsibilities is important not only in the process of evaluation, but also in the general management functions. Most local school districts develop some kind of job description that outlines administrative responsibilities. Engleman (1974) supports the utilization of all staff members in identification of roles and responsibilities of all involved. Robert Melcher (1974) designed an instrument to assist in this process of role identification. It was first piloted in the Anaheim,

California, Union High School District and currently is being used with reported success in 25 of the district's 26 schools. The "Management Responsibility Guide" analyzes the administrative process, develops an organizational structure, and defines individual administrative responsibilities and relationships within the structure.

Aside from defining the general administrative functions, it is necessary to determine what specific activities and behaviors best perform these functions. Demonstrable relationships between specific behaviors and results should be the rational justification for standards of desirable behavior used in administrative evaluation.

Citing research conducted in business organizations, Fiedler (1972) supports the proposition that there is a significant relationship between leader behavior and organizational productivity. His theory is based on Likert's (1967) research which indicated that in organizations which are highly productive, leader behavior is a causal variable for both high productivity and patterns of organizational behavior.

Similar research in education (Doll, 1969) indicates a positive relationship between principal behaviors and school or teacher performance. Still other educational research has shown that there is a significant correlation between leader behavior of principals and the type of school organization (Fiedler, 1972). With the use of the Management

Guidance Scale, Utz (1972) found that there is a positive linear relationship between teacher rankings of principals and scores given principals on "Production" and "Continuum." Further, he found a positive relationship between teacher ratings of principals and principal behaviors as described by teachers. Moeller and Mahan (1971) established a significant relationship between teacher perceptions of supervisory behaviors and productivity. Chung (1970) found there was a significant correlation between administrative style and teacher satisfaction.

The means of evaluating an administrator are necessarily dependent upon the particular personal characteristics, behaviors and outcomes that are defined, expected, or seen as desirable for his role. If the administrative role is defined in terms of specific personal attributes or behaviors, evidence must be collected that measures the degree to which these attributes and behaviors are demonstrated. Evaluation information can be obtained through observations or visitations by supervisors, self-evaluation, and surveys of staff, community, or student opinions. In specific reference to principal evaluation, Redfern in an unpublished mimeographed statement (1970), warns that inputs from each source should pertain only to areas in which the source has had direct contact with the principal; e.g., teachers should evaluate the principal on the basis of teacher-principal interaction.

## Evaluating Techniques

Many school districts utilize such data collection techniques in the evaluation of administrators. In doing so, they should also give consideration to factors that affect the administrator's ability or motivation to perform.

There are at least five general types of techniques for recording evaluation data on administrative attributes and behaviors in the field of education. These techniques include, briefly:

1. Graphic rating scales. The administrator is evaluated according to how frequently a specific quality or behavior is observed, or by how accurately a statement describes him or her. The scale is usually a continuum of numbers (such as one through five) or terms of frequency (such as never, sometimes, usually). Instruments of this type include:
  - the Washington Principal Evaluation Inventory (Andrews, 1970);
  - the Managerial Grid Scale adapted for educational use by Utz (1972);
  - the Leader Behavior Description Questionnaire-- Form XII, developed by Stogdill (1963);
  - the Executive Professional Leadership Questionnaire.

The graphic rating scale technique has been criticized because an evaluator tends to either rate a

person favorably on all items ("halo effect") or unfavorably ("horns effect"), according to a study conducted by Pharis (1973).

2. Essay appraisals. The evaluator writes a narrative description of the administrator, discussing strengths, weaknesses, potential, and other observations. Evaluations of this type do not compare favorably in terms of content or depth.
3. Field review. When reliable or comparable evaluations are desired, essay and graphic ratings by several educators can be combined through a systematic review process. Ratings are reviewed, areas of interrater disagreement are identified, and group consensus is sought. This procedure is designed to control for personal biases.
4. Forced-choice rating. Evaluators must choose from two or more statements the one that best describes the administrator.
5. Critical incident appraisal. Administrative behavior is recorded either at critical periods or when significant incidents, positive or negative, occur. This procedure requires frequent, critical observations and recordings of administrative behavior or decisions.

Administrative evaluation is designed to serve as an end, resulting in a judgment regarding administrator attributes,



behavior or accomplishments. It can also function as a means, or as an integral part of the management system, promoting administrative and organizational effectiveness.

Castetter and Heisler (1971) found the judgmental purposes of evaluation requires only: (1) the establishment of criteria defining administrative effectiveness; and (2) the implementation of valid, reliable means of measuring those criteria and any interval variables. If these two steps are completed successfully, the evaluation process has fulfilled its judgmental purposes.

The evaluation process can also serve nonjudgmental purposes. Increasingly, evaluation is being viewed by educators as a mechanism for administrative and organizational development (Castetter, 1971; Finch, 1974; Knezevich, 1972). The earlier distinctions between organizational planning, monitoring and administrator evaluation are being de-emphasized, according to the American Association of School Administrators.

Several research studies explore the relationships between evaluative procedures and administrative or organizational effectiveness. A comprehensive study of the effects of evaluation was conducted by Meyer et al. (1965) at the General Electric Company. One group of employees was allowed to formulate goals and participate in other ways in the evaluation process; the other group was not allowed to participate. The study found that:

1. Employees involved in the low participation group reacted more defensively and achieved fewer goals than those in the high participation group.
2. The high participation group was associated with better mutual understanding between manager and subordinate, greater acceptance of goals, better attitude toward appraisal, and a feeling of self-realization on the job.
3. Criticism has a negative effect on good achievement.
4. Appreciable improvement was realized when specific goals and deadlines were established and agreed upon.
5. Coaching should be a day-to-day activity.
6. Participation by the employee in the goal-setting fosters favorable results.

Other research substantiates these findings regarding the relationships between evaluation procedures and job satisfaction and performance. Previously cited research by Utz (1972) and Blumberg and Amidon (1965) reinforces the concept that appraisal should encourage improvement for professional growth, provide recognition for good performance and provide an outlet for feelings and frustrations. Iannoe (1973) from a study of elementary and secondary school principals, reports that 85% of events that resulted in positive

job feelings were related to evidence of achievement; 74% were related to receiving recognition.

Andersen (1972), Mosher and Purpel (1972) indicate that evaluation, if it is to result in improved performance, should be supportive and concerned with the professional growth of the administrator. Both refer to a "client-centered counseling approach" through which: (1) the supervisor is a facilitator of self-evaluation, (2) relationships between the administrator's activities and results are explored, (3) consideration is given to obstacles, and (4) the administrator is encouraged to develop revised ways of thinking.

Chung (1970) supports the conclusion of Meyer et al. (1965) that evaluation should be structured as a day-to-day accessible, coaching relationship between administrator and supervisor.

Chung (1970) and Fiedler (1972) conclude that the evaluation process should allow the administrator freedom to initiate and conduct activities for the accomplishment of objectives. The supervisor-administrator relationship should not be restrictive. According to the ERS Report (1974),

An evaluator or evaluation team should be trained and skilled in interpersonal interaction if the evaluation process is to provide support and stimulate self-evaluation in a non-directive manner.

Finally the evaluation process should promote an organizational structure that allows for staff participation and meaningful communication within the organization. (p. 96)

Bridges (1964), Browne (1972), and Chung (1970) found relationships between job satisfaction and participation

in decision making. The evaluation process can facilitate communication and staff participation especially in the identification of needs, establishment of objectives and assessment of organizational as well as individual performance.

In 1968 and 1971, ERS conducted surveys of local school districts to determine the frequency of formal administration evaluation and the types of evaluation procedures utilized.

In the 1968 ERS Survey, 62 school districts, or 39.5% of those responding, reported the use of formal procedures for the periodic evaluation of administrative/supervisory personnel. The 1971 survey identified 84 systems, or 54.5% of those responding, that conducted formal evaluations of administrative/supervisory personnel and eight systems reported plans to implement an evaluation procedure.

Data from the 1971 survey suggest that the larger the school district, the greater the possibility of its having a formal evaluation program. (ERS Report, 1974, p. 125)

In the 1971 survey, the following 12 basic types of evaluation procedures were reported to be in use:

1. Unilateral evaluation by evaluator; no evaluation conference; no notification of evaluation outcome to evaluatee unless unsatisfactory rating is given.
2. Unilateral evaluation by evaluator; no evaluation conference, but evaluatee is either shown or given a copy of completed form.
3. Unilateral evaluation by evaluator based on conference during evaluation period; no postevaluation conference is held, but evaluatee is either shown or given a copy of completed form or letter report.

4. Unilateral evaluation by evaluator; postevaluation conference between evaluator and evaluatee to discuss rating received; evaluatee may also either be shown or be given a copy of completed form.
5. Evaluations are conducted by team of educators; chairman compiles summary evaluation and holds postevaluation conference with evaluatee to discuss the rating.
6. The evaluator and evaluatee agree on major areas of responsibility for evaluatee; evaluator rates evaluatee on his performance in each major area; postevaluation conference is held to discuss the evaluation.
7. The evaluatee rates himself and evaluator rates evaluatee; these evaluations are discussed in a conference, but only the evaluator's rating, which may or may not be modified as a result of the conference, appears on the completed form.
8. The evaluatee rates himself and evaluator rates evaluatee; both evaluations are discussed in conference; both evaluations appear on completed form.
9. The evaluatee completes a self-evaluation form, including establishing goals for next evaluation period; completed form is submitted to evaluator, who adds his comments as to accuracy of evaluatee's evaluation. Postevaluation conference is held to discuss completed form.

10. The evaluator and evaluatee, in conference, establish mutually agreed upon goals for evaluatee, within his major areas of responsibility; evaluator rates evaluatee on his accomplishment of performance goals and performance in areas of responsibility; postevaluation conference is held to discuss the evaluation.
11. Same as #10 above, except that evaluatee completes a self-evaluation prior to conference with this evaluator; evaluator places his evaluation on same form with evaluatee's; both evaluations are discussed in postevaluation conference.
12. Same as #11 above, except that evaluator consults with other individuals, including evaluatee's peers and/or staff, students, and parents, before completing his part of the evaluation form; only evaluator's evaluation appears on completed form.  
(ERS Report, 1974)

#### Increase in Education Evaluation

As indicated (ERS Report, 1974) in Table 4, only 22.6% of the 84 systems having evaluation programs during the 1970-71 school year utilized a performance goal (or objectives) approach. Those school systems with the largest school enrollments had no schools reporting use of performance goals in administrative/supervisory evaluation.

Table 4

## Evaluation Procedures: Frequency of Use According to Stratum,\* 1970-71

| <u>Procedures</u> | <u>Stratum 1</u>   | <u>Stratum 2</u>   | <u>Stratum 3</u>   | <u>Stratums 1-3</u> |
|-------------------|--------------------|--------------------|--------------------|---------------------|
| No. 1             | 2 (11.0%)          | ...                | 1 (2.5%)           | 3 (3.5%)            |
| No. 2             | 1 (5.6%)           | 2 (7.7%)           | 1 (2.5%)           | 4 (4.8%)            |
| No. 3             | 1 (5.6%)           | 1 (3.8%)           | 2 (5.0%)           | 4 (4.8%)            |
| No. 4             | 11 (61.0%)         | 13 (50.0%)         | 14 (35.0%)         | 38 (45.2%)          |
| No. 5             | ...                | 1 (3.8%)           | 3 (7.5%)           | 4 (4.8%)            |
| No. 6             | 1 (5.6%)           | ...                | ...                | 1 (1.2%)            |
| No. 7             | 1 (5.6%)           | 3 (11.6%)          | 3 (7.5%)           | 7 (8.3%)            |
| No. 8             | <u>1 (5.6%)</u>    | <u>1 (3.8%)</u>    | <u>2 (5.0%)</u>    | <u>4 (4.8%)</u>     |
| Subtotals         | 18 (100.0%)        | 21 (80.7%)         | 26 (65.0%)         | 65 (77.4%)          |
| No. 9             | ...                | ...                | 1 (2.5%)           | 1 (1.2%)            |
| No. 10            | ...                | 3 (11.6%)          | 7 (17.5%)          | 10 (11.9%)          |
| No. 11            | ...                | 2 (7.7%)           | 4 (10.0%)          | 6 (7.1%)            |
| No. 12            | ...                | ...                | 2 (5.0%)           | 2 (2.4%)            |
| Subtotal          | ..                 | <u>5 (19.3%)</u>   | <u>14 (35.0%)</u>  | <u>19 (22.6%)</u>   |
| <b>TOTALS</b>     | <b>18 (100.0%)</b> | <b>26 (100.0%)</b> | <b>40 (100.0%)</b> | <b>84 (100.0%)</b>  |

\*Stratum 1--100,000 or more; Stratum 2--50,000 to 99,999; Stratum 3--25,000 to 49,999.

Source:

Results of the 1968 and 1971 ERS surveys suggest a general trend toward greater use of performance objectives, even among largest school districts; however, the percentage is still embarrassingly low.

In 1973, the ERS conducted still another survey. This inquired into the use of MBO by local school systems and particularly administrative evaluation procedures based on performance objectives in systems utilizing MBO. The results of this survey further support the trend toward greater use of performance objectives as a basis for administrative evaluation.

Since the 1973 survey was completed, there has been an increase in state mandates for administrative evaluation, some of which suggest the direct use of performance objectives as an approach at the local district level. Consequently, there is probably even greater use of evaluation by objectives than reported in the earlier surveys. Information received from state departments of education and from a review of the current literature support this observation.

In the spring of 1974, ERS sent an inquiry to the chief school officer in each of the 50 states and the District of Columbia requesting information regarding administrative evaluation policy. Forty-seven states and the District of Columbia responded. Surveys indicated that nine states--California, Connecticut, Florida, Hawaii, Kansas, Nevada, Oregon, Virginia, and Washington--mandate the evaluation of



local school building administrators. At that time three states--New Hampshire, South Dakota, and New Mexico--reported being in the process of developing accountability programs involving administrative evaluation. For a more in-depth examination of the individual states, see Appendix B.

Thus, it may be seen that there is an increasing demand for a more systematic means for evaluating middle management in education, namely the principals.

### Components of Job Descriptions of Principals

With this increased demand for accountability, principals are called upon to account for school results and actions, to account for decisions affecting the role and status of teachers, to answer questions of purpose, policy, and procedure. As principals respond to these demands for accountability, they are inevitably evaluated, at least implicitly by different groups. Thus evaluation systems will need to help individual schools, which have differing objectives, be accountable to their immediate clientele and the specific neighbors served. This means that principals will need to play an important role in developing evaluation systems.

Principals must be able to give effective oral accounts in specific situations concerning accountability. They must be able to speak clearly and with evidence concerning the objectives and underlying rationale of the schools they head

and on the extent to which school objectives are being achieved. Measures of effectiveness in this will relate to the content and quality of the principal's communication. Data for this type of behavior can be obtained from private interviews or from observations of a principal's behavior under conditions where he is expected to give an account, publicly, on school objectives and/or progress.

Another base for evaluating principals is actual performance over a period of time related to specified objectives. Additionally, there are bases for evaluating how principals' behavior is perceived to be related to gains or regression in pupil performance.

As one considers the components of the school principalship, it becomes obvious that the job roles and their functions are as varied as they are complicated.

All textbooks on the principalship basically include lists of what the job entails. Among the tasks most frequently cited are:

1. scheduling;
2. budgeting;
3. working with community groups;
4. motivating the staff;
5. working with students;
6. providing instructional leadership;
7. supervising classrooms;
8. attending meetings;

9. communicating with various publics;
10. developing transportation routes;
11. developing rules and regulations for:
  - attendance
  - health and safety
  - student placement
  - reporting to parents
  - supplies
12. providing a proper image.

Using a different approach, Croft Leadership Action Folio (1971), a program for evaluating school principals, classifies nine areas of performance that can be evaluated. While each of the tasks named above could fall into one of the areas below, Croft wanted to be less specific, and form broader areas to cover more situations. These were:

1. school organization;
2. instruction program;
3. relations with students;
4. relations with staff;
5. relations with community;
6. relations with superiors;
7. plant and facilities;
8. routine administrative chores (scheduling, accounts, etc.);
9. school climate.

In addition to these roles and/or functions, the state of North Carolina has set down the legal and statutory responsibilities of principals. This is not in the form of a job description, for such does not exist at the state level. The development of a specific job description is left as a matter of choice and is up to the individual administrative unit. However, the abovementioned responsibilities are stated in the General Statutes of North Carolina (see Appendix D).

Perhaps the most thorough examination of the principal's position was conducted by the National Association of Secondary School Principals in 1970. In this study, George E. Melton and others found that the principal must perform seven roles with a multitude of job functions related to each. The seven roles are listed below

1. Educational leader;
2. Administrator;
3. Interpreter;
4. Conflict mediator;
5. Educator or educators;
6. Ombudsman;
7. Professional.

Each of these roles is described in depth with specific tasks classified under each role. The study in its entirety may be found in Appendix E. This designation of roles is used by the investigator in the organization and construction

of her instrument, the Behaviorally Anchored Rating Scales for principals.

### Behaviorally Anchored Rating Scales

Castetter and Heisler (1971) first viewed performance appraisal in historical perspective. They contended the process floundered for half a century, but that appraisal of educational personnel is now moving toward management by objectives (MBO). This researcher sees a movement beyond or additional to this system. Recognizing the weaknesses of MBO and the need for a technique to supplement and correct its shortcomings, this author sees the behaviorally anchored rating scale as the next step in the development of performance evaluation systems.

A unique appraisal procedure has recently been developed to attempt to capture performance in multidimensional, behavior-specific terms. The procedure results in an appraisal instrument referred to as Behaviorally Anchored Rating Scales (BARS). "BARS have been hailed as showing substantial promise for improved performance evaluations" (Kearney, 1973). MBO and its focus on results has been a big step forward for employee appraisal. There is little question that in performing a job, results are what count. Yet, in spite of the logic of MBO and its ability to target the proper focus of appraisal, it often does not provide a key ingredient in helping employees improve their ability to

get results. MBO tells us whether or not an employee gets results. It does not tell us much about how the results were achieved, or more important, what behaviors are associated with getting results.

Behaviorally based performance appraisal is designed for that purpose. It is an important supplement to results-oriented appraisal. It recognizes that results are not solely determined by an individual's performance.

Behaviorally based performance appraisal pinpoints the individual's contribution to results since it focuses on specific behaviors that are controllable. Inherent in behaviorally based appraisal is the generation of specific job-centered prescriptions for improving performance. No other appraisal instrument provides developmental data in such a direct and practical manner. (Kearney, 1973, p. 83)

#### Judgmental Versus Developmental Evaluation

A dimension not mentioned and yet the one most often lacking in evaluation systems is managerial development. Behaviorally Anchored Rating Scales are designed with this dimension as their prime objective.

One of the most critical problems facing organizations is management development. While classroom learning has its place, effective management performance is best developed through practical challenges and experiences on the job with guidance and feedback from superiors. Analysis of much current organizational life indicates that the element most frequently missing is accurate and objective performance feedback. (Beer & Ruh, 1976, p. 59)

One of the first items necessary for this system to be successful then is a clear understanding of the task of the manager, that is, his job description. The key role of managers is to assure the success of the organization.

In order to assure effective management, managers must be developed, must be compensated in a way and to an extent to assure their proper motivation and must know what is expected of them and how they are doing. (Koontz, 1971, p. 10)

A key factor in motivation is establishing a close link between performance and reward (Lopez, 1968). Performance appraisal instruments that fail to relate individual contributions to results and differentiate between effective and less effective behavior fail to establish a link between performance and reward. Additionally, they fail to provide important data for managers interested in helping their subordinates improve. The fact that the relationship between individual behavior and results is not a direct, one-to-one relationship needs to be recognized more clearly.

Bishop and McKenna (1976) found that many appraisal instruments do not direct the individual to specific ways of improving performance. The assumption seems to be that if a person knows where he stands, the way to improvement is self-evident and appropriate new behavior is not only clear but will be forthcoming. Yet performance appraisal instruments seldom differentiate between behaviors that lead to results and behaviors that do not. That is, the process or means of achieving results is not identified. If this were so, many of the problems in the aftermath of performance appraisal would be eliminated. It is not a case, usually, of a person knowing how to be more effective and being unwilling, but rather it is a matter of not knowing the more effective behaviors. If

performance appraisal is to improve individual performance, the instrument must show how to get results.

However, employees often need to have behavioral guidelines to improve performance. These guidelines must be specific, goal oriented, job related, and within an individual's control. Appraisal instruments that concentrate on personality traits--such as industriousness and responsibility--and getting results (management by objectives) offer little help in the way of specifying to the individual controllable behavior that improves performance. Appraisal instruments that seek to provide data indicating how performance might be improved, and for which remedial prescriptions are behaviorally based, are developmental. Such performance data facilitate developmental decisions. Judgmental and developmental needs are typically not met equally well by a single appraisal instrument. In the past, judgmental needs have prevailed in the design and use of appraisal instruments, but much effort has been devoted to developing or refining a single appraisal system to serve both judgmental and developmental needs.

Even if we recognize only two categories of appraisal needs, judgmental and developmental, it should be clear that a single instrument cannot satisfy both, if the data requirements are different. Organizations obviously must have some basis on which to make important human resource decisions. For example, suppose there are several candidates eligible



for promotion but a limited number of positions available. Who is to be promoted? Again, assume there are limited funds for raises and there are several people with expectations for more money. Who should receive raises and how much should be given? Or, suppose the staff must be reduced. Who should be released first?

These are important and tough problems which require judgmental decisions, and managers need an appraisal instrument to help make the decisions. The final judgments reflect an evaluation of a person's performance, but typically there is little follow-up of a remedial nature to benefit the individual. Data necessary to help improve performance are often not generated by appraisal instruments which are designed primarily to judge results or achievements. It is up to the worker and the supervisor to identify effective means of getting results. Performance appraisal is not properly concerned with describing the person; rather, its purpose is to describe and evaluate what the person has done. The emphasis in a performance review should be on behavior and its results, not on traits; on past achievements, not on future potential (Cummings, 1973).

#### Composite Versus Multidimensional Approach

Theory and research on the evaluation of performance reflect two major, but related, issues of controversy. The first pertains to whether performance should be viewed and

measured as a single overall composite, or as a multidimensional construct consisting of several independent performance dimensions. The former view emphasizes the use of performance appraisals for making decisions (e.g., merit increases) about employees (Broyden & Taylor, 1950; Nagel, 1953; Toops, 1944). While the latter view according to Schmidt and Kaplan (1971) also acknowledges that it is often desirable to combine performance measures for administrative purposes, it nevertheless recognizes that performance, even for relatively mundane tasks, is psychologically complex. A person's performance on one component and dimension need not be highly related to performance on other dimensions.

A second issue involves the most appropriate means of describing effective-ineffective performance. At one end of the continuum are performance evaluation measures that employ "trait" or "evaluative-general" approaches. The traditional graphic rating scale, with poorly defined dimensions (e.g., quality) and poorly defined scale values (e.g., below average, average, above average) typifies that kind of measure. Though graphic scales usually view performance as multidimensional, their inherent ambiguity tends to dictate that scores be combined into composites for administrative purposes.

At the other end of the continuum are "behavior specific measures which attempt to define performance dimension and scale values in behavioral terms. While they have been employed less frequently in practice, numerous investigators have recommended their use

(e.g., Barrett, 1966; Campbell, Dunnette, Lawler & Weick, 1970). The major advantage of such measures is that the evaluator has to make fewer inferences about the employee. The evaluator is cast more in the role of observer and less in the role of judge. (DeCotiis, Heneman, & Schwab, 1975, p. 550)

Thus one would expect that evaluation from instruments employing specific behaviors would show higher reliability and validity than evaluations from general trait-based measures. Moreover, it would not be necessary or desirable to combine rating into composite scores.

No single system can deal effectively with all of the problems encountered in performance appraisal. Behaviorally based performance appraisal is no exception. However, it deals more adequately with the assignment than most other systems, such as trait rating, ranking, forced distribution, critical incidents and management by objectives. (Kearney, 1973, p. 77)

Borman (1975) held that performance appraisal instruments go to great lengths to eliminate appraiser bias. The development of such instruments seems to follow closely the efforts to eliminate a variety of errors such as halo effect, leniency and central tendency. Indeed, various techniques to guard against these errors were often the precipitating factor in the development of new instruments. Unfortunately, almost lost in this concern is proper attention to two fundamental questions about the purpose of any appraisal instrument:

- (1) Does it generate information that helps in an important judgmental decision?
- (2) Does it generate developmental information that can help an individual change his job behavior to get better results in the future?

Though the concern

over bias is well founded, it should not overshadow these two important questions which are the mainspring of performance appraisal.

### Advantages of BARS Instruments

Several advantages over other appraisal methods are to be found in a behaviorally anchored performance appraisal instrument.

Development. In generating incidents that adequately cover the performance domain, inputs from individuals who probably know the job and its requirements better than anyone else should be of particular value. Appropriate performance dimensions should also be helpful in obtaining a content-valid instrument. The retranslation step in BARS assures that the meaning of both the job dimensions and the behavioral incidents chosen to illustrate them is highly specific and nonambiguous. Indeed, the retranslation step not only results in the elimination of incidents that do not clearly fall on a single dimension, but of unclear or poorly defined dimensions as well. Retranslation thus can aid in the development of independent performance dimensions.

Behavior measured. Appraisals are based on samples of actual observed behavior taken at regular intervals. There is no attempt to focus on personality traits, which are not only hard to define and measure, but which may be rated in different ways by various appraisers. Moreover, traits may

be difficult to change even if carefully identified and their relationship to performance is questionable.

Identification. Behavioral data gathered in the appraisal process indicate what behaviors have led to specific results, and more effective behaviors can be identified for the purpose of helping the manager improve output. This is usually not the case with trait rating, forced distribution, narratives, MBO and most other appraisal systems. While MBO has the distinct advantage of being results-oriented and indicates whether or not a manager has achieved preset goals, decidedly less information is generated concerning which behaviors lead to goal achievement.

Utilization. Participation in the development of BARS by job-knowledgeable employees has several potential advantages when the resultant instrument is used to make evaluations. Utilization of incidents generated by job holders and supervisors is likely to result in terminology that is meaningful and unambiguous to the individuals who will ultimately be using the instrument to assess performance. This, in turn, may have a direct positive impact on the reliability of ratings. Moreover, as Dunnette (1970) points out, greater clarity of scales along with the act of participation in their development may serve to increase the evaluator's motivation to do an effective evaluation job.

When the appraisal instrument is used by those who developed it, the process of concentrating attention in the design

stage on defining effective and ineffective performance encourages precision in definition and care in measurement, as well as more care in later observations of employee performance. Thus, managers become more discriminating in their observations.

The process of generating the behaviorally anchored scale has several important spinoffs. The behavioral statements might be used as criteria to evaluate predictors for selection and promotion decisions. Or, these could serve as the basis for a management training program, with most ineffective behaviors being discouraged and most effective behaviors being reinforced as they occur in the development process.

Clarification. Behaviorally based performance appraisal can provide a check on the understanding of policies at the organizational level to which they are applied. In step five of constructing the scale, the behavioral statements that do not enjoy high agreement among the raters are discarded. Yet these items are an important data source for the organization. If any of them concern policies, it is clear there is confusion over them. Therefore, the policies must be clarified so that the preferred behavior is identified and encouraged.

Communication. We should not overlook the opportunity behaviorally based performance appraisal presents for increased communications with employees at the outset of their employment, or at the beginning of a new position. Such an appraisal

system points out to the person, before work begins, critical areas of performance that will be judged. Observed behavior concerning job performance is then available for use in feedback to the subordinates. Just as important, data are available for developmental purposes which indicate how subordinates can improve their performance, because more effective behaviors in important job performance dimensions are indicated as well as those which are less effective.

Finally, appraisees may be more likely to accept the results of the appraisal when they, or persons similar to them, have participated in the development of the instrument.

#### Limitations of BARS Instruments

Behaviorally based performance appraisal, like every other appraisal system, also has several limitations or drawbacks. The most important center around conditions for its practical use.

Large numbers required. Several managers--in fact, a minimum of 12--must be available to develop the scales, generate sufficient data, sort the behaviors, and then scale them. Also, there must be a large number of subordinates performing the job for which behaviors are to be identified and scales developed. Furthermore, since the scales are tailored to a specific job, large numbers of people should be engaged in a given job so that the costs of design and construction can be spread.

Time required. Managers who use the scales must have the opportunity to observe the behavior of their subordinates on a systematic basis. The cost of developing the instrument is largely in the time managers are away from their other duties during the design and construction phase. Also, during initial adoption, a consultant may be hired to introduce the system, answer questions and provide guidance on the first scales. Two to three days should be allowed for the development of the instrument. While these costs can seem discouragingly high, especially when the returns are not easily quantified, managers must expect to make a reasonable expenditure to generate useful data. Inexpensive systems often generate inaccurate and irrelevant data that can mislead management.

Time and money are needed to construct and administer valid and reliable performance appraisal instruments. When an organization attempts to do an outstanding job and incurs considerable expense, it desires to spread these costs by using the instrument in several jobs and at more than one organization level. Also, a common appraisal instrument is easier for all to use once the mechanics of it are understood. Yet these advantages are offset by sacrificing specificity in isolating important determinants of performance or results for a job or job category. Thus, whatever one gains in generality comes at the cost of precision; whatever one gains in precision comes at the cost of generality. This is a



basic dilemma in performance appraisal systems that must be kept in mind (Zedeck, 1973).

No single appraisal system is equally effective in satisfying all appraisal needs; all have their strong and weak points. Those that require little time and effort, and that are inexpensive, usually offer little help in making important decisions about human resource utilization, or provide little direction in developing human resources.

Organizations much prefer inexpensive performance appraisal instruments to more expensive ones. This is understandable. After all, performance appraisal is a peripheral matter in many organizations, and costs can be reduced there without noticeable effects. Also, just about anyone who has been involved in performance appraisal has some bad feelings about it. But the inexpensive performance appraisal system often leads to the problems and negative feelings that are found in far too many organizations. According to Kearney (1973),

Our myopia on costs hides the fact that a well-designed appraisal system may deliver far more than it costs by improving judgmental and developmental decisions regarding human resources, and may avoid most of the negative after-effects that linger on. Costs must be balanced against returns. (p. 75)

#### Research Conclusions on BARS Instruments

The research on BARS is inconclusive and inadequate at this point. One can find research that supports either side regarding the value of BARS.

Despite BARS' intuitive appeal, findings from research have not been very encouraging. On the three issues that have been investigated most thoroughly to date (leniency, dimension independence, and reliability) there is little reason to believe that BARS are superior to alternative evaluation instruments.

But there are several reasons why these conclusions must be viewed as provisional. First, relatively little research comparing BARS with other procedures has been performed. Second, almost all of the comparative research (Arvey & Hoyle, 1974; Borman & Vallon, 1974; Campbell et al., 1973) involved the evaluation of a BARS with an alternative instrument using the same dimensions as BARS, but with some alternative scaling procedure, typically numerical.

This means that little is known about the relative value of BARS when compared to typical rating procedures where performance dimensions as well as scaling formats tend to be chosen in an ad hoc fashion. Indeed, it may be hypothesized that the major advantage of BARS stems from the dimensions generated rather than from any particular superiority provided by behavioral versus numerical anchors. However, according to a study conducted by Schwab, Heneman, and DeCotiis (1975), it is too early to conclude that BARS cannot eventually demonstrate their theoretical advantages.

A similar argument can be made regarding comparative tests of relative scale independence (Borman & Vallon, 1974;

Campbell et al., 1973). If one begins with the reasonable assumption that performance on various dimensions is inter-related, then comparison of the intercorrelations generated by just two instruments provides little basis for deciding the actual interrelatedness in the group appraised.

The research to date has been aimed primarily at three important psychometric issues: (1) the susceptibility of BARS to leniency effects, (2) whether or not BARS get at independent performance dimensions, and (3) the reliability of BARS.

Leniency effects. These same two studies have attempted to investigate the relative susceptibility of BARS to leniency. Both did so by comparing the average evaluations of a group of appraisees with two evaluation instruments. In one of these, Campbell et al. (1973) concluded that BARS were less subject to leniency effects because the average ratings on their BARS instrument were generally closer to the midpoints of the scales than were the averages on a numerically anchored rating form. Borman and Vallon (1974) alternatively found that a behaviorally anchored scale resulted in significantly higher ratings of a group of employees than a numerically anchored scale. Thus, the evidence to date is ambiguous regarding the leniency hypothesis.

Dimension independence. Since a theoretical advantage of the BARS procedure is its supposed ability to generate a multidimensional measure of performance, such a measure

probably should result in reasonably independent ratings of appraisees across the performance dimensions developed. Since total independence between dimensions is an unrealistic criterion, it is necessary to compare the evaluations generated by BARS with other instruments in order to assess the relative independence of dimensions.

Ten studies were found reporting data on scale inter-relatedness. Only four, however, have compared BARS with other instruments. The most supportive results were obtained by Campbell and others, who found that the dimensions on their behaviorally anchored instrument evidenced somewhat lower intercorrelations than a numerically anchored instrument. In recent studies, Arvey and Hoyle (1973) and Borman and Vallon (1974) alternatively found no differences in the dimension intercorrelations generated by BARS versus alternative measures.

In a study using noncorrelational analysis, Burnaska and Hollman (1974) found that a behaviorally anchored instrument resulted in somewhat less halo than a numerically anchored and a traditional rating scale. However, they concluded that all three procedures showed excessive levels of halo. Indeed, they suggested that the BARS procedures do not result in independent components of performance. While it is probably premature to draw such a negative conclusion, it is clear that research on BARS to date does not support the high promise regarding scale independence.

Reliability. Research has been conducted on the reliability of BARS in both their initial development and their application to groups of appraisees. In terms of initial development, investigators have examined the reliability of scales resulting from the critical incidents and retranslation procedures by correlating average scale values assigned to the anchors by two groups of judges. These studies have yielded very high reliabilities.

From an applied viewpoint, the ability of different evaluators to agree on the appropriate assessment of appraisees (interrater reliability) is more important than scale reliabilities, per se. In the three studies comparing BARS with other rating methods, BARS result in slightly higher interrater reliabilities in two instances and slightly lower reliabilities in the other. We are hesitant to evaluate reliabilities in absolute terms in the four studies that investigated only a BARS. Nevertheless, the data indicate that few of the reliability coefficients exceeded .60, suggesting, at most, only moderate reliability. In short, while BARS may outperform conventional rating techniques, it is clear that they are not a panacea for obtaining high interrater reliability.

CHAPTER III  
PROCEDURE AND METHODOLOGY

Development of a BARS Instrument

Based on research of Schwab, Heneman, and Decottis (1975) the development of a behaviorally based performance appraisal instrument is accomplished in the following steps. While there are minor variations in the procedure employed, development of BARS typically includes five steps:

- (1) Identify performance dimensions: persons with knowledge of the job to be investigated participate in identifying and defining several dimensions of performance;
- (2) Identify critical incidents: participants are asked to describe specific illustrations of effective and ineffective behavior--hereafter called critical incidents--regarding each performance dimension;
- (3) Retranslation: another group of participants is then instructed to retranslate the critical incidents. They are given the dimension definitions and critical incidents and asked to assign each critical incident to the dimension that it best describes. Those incidents that the majority of this group assign to the same dimension as the group in step 2 (i.e., those

that retranslate) are retained for further development;

- (4) Scaling incidents: this second group is generally also asked to rate the behavior described in the incident as to how effectively or ineffectively it represents performance on the appropriate dimension. The average rating assigned the incident identifies the degree to which the incident describes effective performance on a dimension;
- (5) Final instrument: the incidents that retranslate and have high rater agreement on performance effectiveness are retained for use as anchors on the performance dimensions. The final BARS instrument consists of a series of vertical scales (one for each dimension) anchored by the retained incidents. The incident is located along the scale, depending on its rating established in the preceding step (see Appendix G).

#### Construction of Original Instrument and First Field Testing

The development of a BARS instrument for principals of the public schools in North Carolina was modeled after the Smith and Kendall (1963) procedure. Three independent groups performing different functions in the evolution of the final scales were used in the scale development. Group members were predominantly school personnel. The procedure involved the following iterative sequence.

In the fall of 1978, a conference was held with Group I (the Developmental group), consisting of 150 individuals, 130 of whom were graduate students at the University of North Carolina at Greensboro and practitioners in public education. Of the 130 graduate students, there were 3 headmasters of private schools, grades K-12; 45 principals of public schools, K-12; 12 assistant principals of public schools, K-12; 10 supervisors in public schools, K-12; 3 associate superintendents in public schools, K-12; and 57 teachers, grades K-12. In addition to these individuals, the study included 5 public school superintendents, 5 public school associate superintendents, and 10 public school principals' secretaries, none of whom were enrolled in or affiliated with the University. These individuals were interviewed individually and provided the same type of information as the 130 individuals at the University.

The purposes of the conference were:

- (a) to discuss different methods of evaluation and their value;
- (b) to discuss the trend toward mandated evaluation of all school personnel, and North Carolina's position vis-a-vis types of evaluation;
- (c) to introduce the concept of Behaviorally Anchored Rating Scales (definition, philosophy, and purpose);
- (d) to conduct a question-and-answer session to clarify ambiguous points;



- (e) to have the group read and consider a job description for the position of public school principal. (This description was adapted from a study done by George Melton for the National Association of Secondary School Administrators in 1970. See Appendix E.)
- (f) to have each individual provide critical incidents involving principals, as well as certain demographic information: present and past jobs held in education, and present school level (i.e., elementary, junior high, middle school, or secondary)

The author sorted these incidents to remove duplication and to clarify ambiguous statements. Originally the group submitted 450 incidents; after the sort there were 343 incidents.

The author then developed a preliminary instrument for use by the Developmental group for the first item calibration (see Appendix F).

The second session for Group I (the Developmental Group) met two weeks later to sort the 343 incidents into one of the 20 job dimensions that had been part of the original job description. In order to be retained, there had to be 85% agreement by the group. Smith and Kendall had relied on only 75% agreement. The higher level of agreement desired in this study was based on the idea of using it in various settings as opposed to limiting it to a single setting. Each critical incident was to be rated on a scale of 7 to 1 as to whether

this observed behavior would be judged as good, average, or poor performance, when considered within the dimension in which it had been placed. The purpose of this session was to obtain agreement on the job dimension the incidents should fall into, and to eliminate those that were ambiguous or contained more than one behavior.

Subsequently, the data collection was analyzed by means of the SPSS (Statistical Package for Social Science) frequencies routine. To accomplish this, it was necessary to (a) establish the frequency of each dimension; (b) group incidents by subject; (c) calculate the mean and SD for each incident (retaining only those with SD lower than 1.50); (d) place incidents under proper dimension; (e) word statements to read, "typically a principal would. . . ." (The wording of the statements varied from the Smith and Kendall approach in that they worded their statements to read "could be expected to. . . ." Recent research has found that wording statements in the manner of Smith and Kendall creates problems, because raters tend to feel that anyone "could be expected to" behave in a certain way.); and (f) place incidents on the seven-point scale based on their means.

The first evaluation instrument consisted of twenty dimensions with seven behaviors--i.e., critical incidents--under each. Again, it was the researcher's choice based on the logical consideration that for greater reliability a seven-point scale is optimal, rather than the five-point

scale which is believed to increase the loss of powers of discrimination among raters (Conklin, 1923; Symonds, 1924). The nine-point scale grades so finely that it is beyond the rater's power of discrimination (Symonds, 1924).

In the third session, the members of the Developmental Group each rated their own principal or themselves, if they were holding that position at present. The purpose of this field-testing session was twofold: First, it was to see if the instrument was workable, and if individuals could actually work through an evaluation of a principal using the instrument. Secondly, members of the group were to answer the following questions by one of two means: by making a note on the instrument as they spotted a problem, or by writing down any questions and presenting them during a follow-up discussion. The questions to be considered were: (a) Was the language clear? (b) Were the incidents scaled correctly? (c) Were any major job dimensions omitted, duplicated, or unnecessary? (d) What were your overall feelings concerning the instrument?

After this session, the investigator made revisions in the instrument based on data obtained from the first field testing and constructed a second instrument. (See Appendix H.) The new instrument consisted of the original twenty dimensions based on the consensus of the sample group. There was a rearranging of some of the behaviors on the scale and some rewording to do away with as much ambiguity as possible.

### Second Field Testing

The second field testing for the BARS for principals was conducted with Task Group I, which involved a school system in North Carolina.

An orientation session was held with all of the administrators in the school system. The session covered the following: (a) a presentation of the research plan; (b) an explanation of Behaviorally Anchored Rating Scales--its definition, philosophy, and how it actually works; (c) an explanation of the need for the support and cooperation of the administrators; (d) the setting up of a schedule of dates to carry out the evaluation of each principal by his teachers; (e) the conducting of a question-and-answer session.

Prior to this session, the researcher had held several meetings with the superintendent explaining the research project and gaining his permission to work in the school system.

The individuals who took part in the actual rating process were the following: (a) superordinates (administrators in the central office), (b) peers (fellow principals), (c) principals self-rating themselves, and (d) subordinates (teachers in the individual school). While previous studies (Smith & Kendall, Corning Glass) had used only superiors to evaluate, it was believed that these four different groups to rate each principal would provide a view from different organizational levels.

In order to insure consistency in administration of the evaluation, the researcher visited each school individually and met with the faculty for an orientation session and then an evaluation session. This decision was based on research regarding the training of raters prior to using the BARS instrument (Borman, 1975).

It was also decided to meet with teachers on an individual school basis rather than at a mass session on Staff Development Day. It was felt this would allow more personal contact and less confusion, since teachers were asked to rate only their particular superior. No administrators were present during these sessions.

At each school, an orientation session was held for the following purposes: (a) to present the research plan; (b) to explain Behaviorally Anchored Rating Scales; (c) to enlist the support and cooperation of the teachers; (d) to relieve as much tension as possible; (e) to conduct a question-and-answer session; and (f) to train teachers in the use of the evaluation instrument.

Several observations were made during these sessions. Secondary and junior high teachers tended to be suspicious of the use of the information once it had been collected. Some teachers (again secondary) voiced resentment at having been asked to evaluate their principals. Teachers at other levels were divided as to whether they were qualified to evaluate the principal. Faculties asked to be allowed to see the

results of the evaluation. They were informed that this would be strictly up to their respective administrators. Teachers voiced concern over being asked to provide the demographic information requested. They raised questions regarding the numerical scaling of behaviors. For example, some teachers had trouble realizing that if they rated a principal "6", it did not necessarily mean that he or she exhibited all other behaviors below it on the scale.

The actual evaluation session at each school lasted a total of 45 minutes, after which teachers turned in their rating and left. A rating sheet had been designed by the author for ease on the part of both the rater and the researcher. This rating sheet was included with each individual instrument (see Appendix F).

A Staff Development Day was set aside and devoted to the Principal's role in the evaluation process. Since at an earlier meeting principals had received an orientation, this session required only a brief training session prior to the actual evaluation. Upon completion of the training session, each principal was asked to evaluate himself and then each of the other principals in the school system. These were collected and the principals left, having completed their role in the project. Principals were asked to provide the following demographic data: (a) name of principal being rated; (b) age; (c) sex; (d) position of rater; (e) race. Unlike teachers, principals very readily provided this information. A

question-and-answer period concluded the evaluation. The session ended with plans for a follow-up session after an analysis of the data.

A week later, the administrative staff at the central office each rated the individual principals using the BARS instrument. This allowed the researcher to obtain ratings from the superordinates.

### Third Field Testing

The third field testing was done with Task Group II. This group was composed of the teachers from five schools in another school system in North Carolina. A third field testing was necessary due to problems identified in the results gained from use of the second instrument. The main concern was due to the difficulty raters had discriminating among the behaviors comprising specific job functions. There was not a sufficient spread between any two behaviors. A second problem was the indication that what was being obtained in the results was a global evaluation, rather than an individual evaluation. In other words, the evaluation was dealing with the rater's overall impression of the person, rather than an examination of his individual strengths and weaknesses in performing a specific job function.

In order to alleviate these problems, several changes occurred (see Tables 5 and 6).

Table 5  
Construction of Instrument III

| Dimensions | Behaviors    |              |              |              |              |
|------------|--------------|--------------|--------------|--------------|--------------|
|            | 5            | 4            | 3            | 2            | 1            |
| 3.1        | 5.89<br>1.23 | 5.21<br>1.32 | 4.33<br>1.44 | 2.96<br>1.18 | 2.56<br>.59  |
| 3.2        | 5.64<br>1.10 | 4.33<br>.71  | 3.07<br>1.15 | 2.79<br>.91  | 1.57<br>1.10 |
| 3.3        | 6.37<br>.84  | 4.44<br>1.25 | 2.96<br>1.40 | 2.26<br>1.24 | 1.54<br>1.11 |
| 3.4        | 6.50<br>.76  | 5.64<br>1.25 | 3.42<br>.95  | 2.36<br>1.22 | 1.77<br>.95  |
| 3.5        | 6.37<br>1.12 | 5.32<br>.75  | 4.29<br>.44  | 3.81<br>.58  | 1.14<br>.45  |
| 3.6        | 5.71<br>1.49 | 5.29<br>1.28 | 3.41<br>.97  | 2.67<br>1.47 | 1.00<br>0.0  |
| 3.7        | 6.41<br>.75  | 5.19<br>.94  | 2.46<br>.94  | 2.11<br>1.25 | 2.00<br>1.04 |
| 3.8        | 6.36<br>.73  | 5.89<br>1.31 | 4.68<br>1.44 | 2.93<br>1.30 | 1.82<br>1.00 |
| 3.9        | 5.89<br>1.45 | 4.30<br>1.88 | 3.78<br>.58  | 2.25<br>1.04 | 1.46<br>.96  |
| 3.10       | 5.31<br>1.41 | 4.85<br>1.29 | 4.33<br>1.88 | 3.71<br>1.41 | 2.21<br>1.29 |
| 3.11       | 6.25<br>.75  | 4.85<br>1.06 | 3.70<br>1.37 | 2.93<br>1.25 | 1.71<br>1.44 |
| 3.12       | 6.50<br>.65  | 5.79<br>1.17 | 3.96<br>1.14 | 2.58<br>1.36 | 1.56<br>.80  |
| 3.13       | 6.18<br>.91  | 5.11<br>1.31 | 4.32<br>1.19 | 3.00<br>1.36 | 2.14<br>.77  |
| 3.14       | 6.22<br>1.22 | 5.04<br>1.16 | 2.85<br>1.49 | 2.26<br>1.43 | 1.11<br>.42  |
| 3.15       | 6.14<br>1.21 | 5.74<br>.95  | 3.93<br>1.02 | 3.00<br>1.35 | 2.00<br>1.20 |
| 3.16       | 6.36<br>.76  | 4.96<br>1.07 | 4.09<br>.73  | 3.32<br>1.39 | 1.85<br>.53  |
| 3.17       | 5.64<br>1.39 | 4.79<br>1.37 | 2.56<br>1.45 | 2.25<br>1.30 | 1.82<br>1.00 |
| 3.18       | 6.32<br>.78  | 5.58<br>1.46 | 2.92<br>1.40 | 2.11<br>1.07 | 1.54<br>.88  |
| 3.19       | 6.14<br>.80  | 5.25<br>1.35 | 4.79<br>1.37 | 3.19<br>1.10 | 2.39<br>1.20 |
| 3.20       | 5.81<br>1.20 | 4.36<br>1.25 | 3.89<br>1.34 | 2.92<br>1.26 | 2.00<br>.88  |

Mean / S.D.



Table 6  
Preliminary Descriptive Table  
Third Field Testing Instrument III

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| Items | Means | S.D. |
|-------|-------|------|
| 1     | 3.64  | .89  |
| 2     | 3.93  | 1.06 |
| 3     | 3.57  | 1.06 |
| 4     | 3.26  | 1.63 |
| 5     | 4.04  | 1.27 |
| 6     | 3.87  | 1.34 |
| 7     | 2.90  | 1.27 |
| 8     | 3.66  | 1.32 |
| 9     | 3.48  | 1.40 |
| 10    | 2.95  | 1.17 |
| 11    | 4.28  | .97  |
| 12    | 3.57  | 1.40 |
| 13    | 3.47  | 1.19 |
| 14    | 3.48  | .78  |
| 15    | 3.96  | .81  |
| 16    | 4.21  | 1.10 |
| 17    | 3.64  | 1.39 |
| 18    | 3.61  | 1.35 |
| 19    | 3.92  | 1.35 |
| 20    | 4.06  | 1.45 |

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1. The scale, which had contained a 7-point spread, was narrowed to a 5-point scale. This allowed for a greater power of discrimination among behaviors.
2. A minimum of one-half point (.5) between the means of behaviors was established. This also insured increased powers of discrimination among behaviors. In prior instruments, the spread was often less.
3. Due to the desire for an increased point spread in the mean, some behaviors which had been eliminated in the original construction were now reconsidered for use.
4. The wording of some behaviors which had proven to be ambiguous in prior administration was now changed for purposes of clarification.
5. The original twenty job dimensions were retained. This decision was based on agreement obtained in prior testings as to their importance.
6. The wording "typically a principal would. . ." was retained.
7. A more efficient means of collecting responses was also included in Instrument III. Through the use of the op-scan computer sheets, several time-consuming steps were eliminated.

The researcher had been concerned whether changes in the construction of Instrument III might cause a change in substance. But results obtained through the third field testing

showed that all of the behaviors used had been submitted in the original construction process; the wording, which had proven beneficial in prior tests, was retained; and the narrowing of the behavior choices appeared to clarify rather than restrict. Moreover, the summative reports to each administrator at the conclusion of the evaluation yielded the same basic information.

## CHAPTER IV

### RESULTS AND DISCUSSION

This investigation proposed to determine whether a behaviorally anchored rating scale could be constructed and effectively appraise the performance of public school principals.

The BARS instrument was developed and adjusted through a series of three field tests.

As a result of the final test, it may be concluded that the instrument has appreciable value. As it appraised the principals who were tested, the instrument did not reveal new information about rank order of administrators, i.e., which ones were strong, average, or weak. Its principal advantage was that it pinpointed strengths and weaknesses. This in turn opened the way for programs to be developed which could build weaknesses into competencies and allow for a better match between administrator and school situation.

One requirement of the BARS for Principals instrument was that the scales be constructed in such a manner that they could be used in widely scattered settings in order to reduce cost. This was tried through the various field testings; no group or individual rater had trouble applying the scales and the resultant reliabilities proved to be usable. Apparently, the scale did in fact make sense to the users, regardless of the specific setting in which it was used.

### Validity

Another requirement was that the instrument be valid in the three areas of validity desired: content, face, and criterion.

Content validity was the easiest to acquire. Based on Smith and Kendall's work with content validity in BARS, the establishing of content validity in this instrument, modeled after Smith and Kendall, was self-evident. Educators on three organizational levels--superintendents, principals, and teachers--had taken part in the development and field testing of the instrument. By this same fact, content validity had therefore been firmly established.

Face validity, or surface attributes, although of questionable value in some scientific circles, was important in this research project. Appearance, layout, and ease of use gave definite evidence that face validity was established. The instrument was designed for ease of administration with a separate instruction and response sheet. A separate set of behaviors for each job function was placed on a separate page. Each critical incident was worded "typically a principal would." This wording, a change from Smith and Kendall's "could be expected to," which had caused problems due to its ambiguous nature, aided the understanding of both the raters and ratees.

Criterion-related validity was more difficult to establish, because the most desired approach--comparing the results

obtained from the testing of this instrument with results obtained from similar instruments used to evaluate principals--was not possible. The problem proved to be the paucity of instruments to evaluate principals and the absence of adequate proof of their validity for those which did exist.

Therefore, the criterion validity of this instrument was based on the ratings given to the five principals involved in the final testing by the teachers using the BARS instrument. This was compared to a simple ranking of the principals by their subordinates based purely on their assumed knowledge of the principal's performance. (See Tables 7, 8, and 9 for further information.) It appears from this evidence that there was close agreement on the level of performance based on a comparison. Raters produced a composite picture that was a remarkably close match to actual administrative behavior demonstrated. In drawing any conclusions, one thing that could be noted is the similarity between what BARS measure and what superordinates assume. This demonstrates that although BARS may render the same basic results, it does provide us with more information. In other words, based on the information provided through the use of BARS, the specific strengths and weaknesses of each individual have been pinpointed. From this information, a better position placement of principals can be made and developmental programs can be established for the purpose of strengthening the individual

Table 7

## Teacher Ratings--Third Field Testing

| Item | Principal I<br>N=32 |    |    |    |   | Principal II<br>N=26 |    |    |    |   | Principal III<br>N=25 |    |    |    |   | Principal IV<br>N=22 |    |    |    |   | Principal V<br>N=55 |    |    |    |    |
|------|---------------------|----|----|----|---|----------------------|----|----|----|---|-----------------------|----|----|----|---|----------------------|----|----|----|---|---------------------|----|----|----|----|
|      | 5                   | 4  | 3  | 2  | 1 | 5                    | 4  | 3  | 2  | 1 | 5                     | 4  | 3  | 2  | 1 | 5                    | 4  | 3  | 2  | 1 | 5                   | 4  | 3  | 2  | 1  |
| 1    | 4                   | 9  | 18 | 1  |   | 9                    | 8  | 8  | 1  | 1 | 4                     | 5  | 15 | 1  |   | 7                    | 6  | 8  | 1  |   | 10                  | 14 | 27 | 3  | 1  |
| 2    | 9                   | 14 | 5  | 3  | 1 | 10                   | 11 | 4  |    | 1 | 8                     | 11 | 4  | 2  |   | 8                    | 8  | 5  |    | 1 | 17                  | 22 | 8  | 3  | 5  |
| 3    | 5                   | 2  | 22 | 3  | 1 | 14                   |    | 9  | 2  | 1 | 4                     | 2  | 17 | 2  |   | 13                   |    | 8  | 1  |   | 14                  | 3  | 31 | 6  | 1  |
| 4    | 11                  | 1  | 12 |    | 8 | 13                   | 3  | 2  | 3  | 5 | 9                     |    | 10 |    | 6 | 10                   | 4  | 1  | 3  | 4 | 17                  | 5  | 12 | 3  | 18 |
| 5    | 22                  | 1  | 7  |    | 2 | 13                   |    | 10 |    | 3 | 16                    |    | 8  |    | 1 | 10                   |    | 10 |    | 2 | 34                  |    | 17 |    | 4  |
| 6    | 2                   | 8  | 4  | 1  | 7 | 14                   | 9  |    |    | 3 | 9                     | 7  | 2  | 3  | 4 | 12                   | 7  | 1  |    | 2 | 20                  | 21 | 4  | 5  | 5  |
| 7    | 6                   | 3  | 2  | 18 | 3 | 2                    | 11 | 7  | 1  | 5 | 5                     | 2  | 1  | 14 | 3 |                      | 12 | 6  |    | 4 | 4                   | 13 | 7  | 21 | 6  |
| 8    | 15                  | 6  |    | 3  | 4 | 5                    | 13 | 6  | 1  | 1 | 9                     | 5  | 2  | 4  | 5 | 5                    | 10 | 6  |    | 1 | 18                  | 14 | 10 | 4  | 9  |
| 9    | 12                  | 6  | 6  | 3  | 5 | 6                    | 11 | 1  | 6  | 2 | 10                    | 7  | 5  |    | 3 | 5                    | 9  | 1  | 5  | 2 | 14                  | 15 | 10 | 8  | 8  |
| 10   | 2                   | 13 | 1  | 15 | 1 | 5                    | 6  | 3  | 12 |   | 4                     | 7  | 1  | 13 |   | 3                    | 6  | 2  | 11 |   | 4                   | 17 | 4  | 27 | 3  |
| 11   | 16                  | 12 | 3  |    | 1 | 16                   | 5  | 3  | 1  | 1 | 12                    | 12 | 1  |    |   | 13                   | 4  | 4  |    | 1 | 27                  | 18 | 5  | 3  | 2  |
| 12   | 10                  | 15 |    | 1  | 6 | 9                    | 11 | 2  | 2  | 2 | 4                     | 12 |    | 1  | 8 | 7                    | 9  | 2  | 2  | 2 | 12                  | 27 | 2  | 4  | 10 |
| 13   | 8                   | 16 | 3  | 1  | 4 | 2                    | 12 | 8  |    | 4 | 4                     | 13 | 5  | 1  | 2 | 2                    | 8  | 9  |    | 3 | 7                   | 27 | 10 | 3  | 8  |
| 14   | 2                   | 13 | 16 |    | 1 | 2                    | 11 | 13 |    |   | 3                     | 11 | 10 | 1  |   | 1                    | 10 | 10 | 1  | 6 | 17                  | 26 | 4  |    |    |
| 15   | 5                   | 23 | 2  |    | 2 | 3                    | 20 | 2  | 1  |   | 8                     | 14 | 1  |    | 2 | 2                    | 17 | 2  | 1  |   | 10                  | 36 | 4  | 3  | 2  |
| 16   | 29                  | 1  |    |    | 2 | 11                   | 9  | 4  | 2  |   | 3                     | 11 | 10 | 1  |   | 7                    | 8  | 5  | 2  |   | 28                  | 10 | 10 | 6  | 1  |
| 17   | 5                   | 8  | 16 |    | 3 | 15                   | 1  | 5  | 2  | 3 | 6                     | 6  | 10 |    | 3 | 15                   | 2  | 2  | 1  | 2 | 22                  | 9  | 15 | 2  | 7  |
| 18   | 17                  | 3  | 7  | 2  | 3 | 7                    | 3  | 14 |    | 2 | 12                    | 1  | 6  | 3  | 3 | 5                    | 2  | 12 | 1  | 2 | 21                  | 6  | 18 | 2  | 8  |
| 19   | 22                  | 1  | 3  | 4  | 2 | 11                   | 2  | 7  | 4  | 2 | 16                    |    | 3  | 4  | 2 | 11                   | 3  | 6  | 2  |   | 29                  | 5  | 10 | 8  | 3  |
| 20   | 21                  | 4  | 3  | 1  | 3 | 18                   | 3  | 3  |    | 2 | 12                    | 3  | 3  |    | 6 | 15                   | 3  | 1  | 1  | 2 | 33                  | 5  | 5  | 2  | 10 |

Table 8

## Item Statistics for Principals

| Item        | Mean | S.D. | Range | Variance | Item         | Mean | S.D. | Range | Variance | Item          | Mean | S.D. | Range | Variance |
|-------------|------|------|-------|----------|--------------|------|------|-------|----------|---------------|------|------|-------|----------|
| Principal I |      |      |       |          | Principal II |      |      |       |          | Principal III |      |      |       |          |
| 1           | 3.50 | .76  | 3.0   | .58      | 1            | 3.96 | .92  | 3.0   | .84      | 1             | 3.48 | .82  | 3.0   | .68      |
| 2           | 3.84 | 1.05 | 4.0   | 1.10     | 2            | 4.12 | .95  | 4.0   | .91      | 2             | 4.00 | .91  | 3.0   | .83      |
| 3           | 3.28 | .85  | 3.0   | .73      | 3            | 3.92 | 1.26 | 4.0   | 1.59     | 3             | 3.32 | .85  | 3.0   | .73      |
| 4           | 3.22 | 1.56 | 4.0   | 2.43     | 4            | 3.62 | 1.65 | 4.0   | 2.73     | 4             | 3.24 | 1.56 | 4.0   | 2.44     |
| 5           | 4.28 | 1.20 | 4.0   | 1.43     | 5            | 3.77 | 1.39 | 4.0   | 1.95     | 5             | 4.20 | 1.56 | 4.0   | 1.33     |
| 6           | 3.53 | 1.57 | 4.0   | 2.45     | 6            | 4.19 | 1.27 | 4.0   | 1.60     | 6             | 3.56 | 1.50 | 4.0   | 2.26     |
| 7           | 2.72 | 1.33 | 4.0   | 1.76     | 7            | 3.15 | 1.26 | 4.0   | 1.58     | 7             | 2.68 | 1.38 | 4.0   | 1.89     |
| 8           | 3.78 | 1.45 | 4.0   | 2.11     | 8            | 3.77 | .95  | 4.0   | .91      | 8             | 3.36 | 1.60 | 4.0   | 2.57     |
| 9           | 3.53 | 1.48 | 4.0   | 2.19     | 9            | 3.50 | 1.30 | 4.0   | 1.70     | 9             | 3.84 | 1.31 | 4.0   | 1.72     |
| 10          | 3.0  | 1.14 | 4.0   | 1.29     | 10           | 3.15 | 1.22 | 3.0   | 1.50     | 10            | 3.08 | 1.22 | 3.0   | 1.49     |
| 11          | 4.31 | .90  | 4.0   | .80      | 11           | 4.31 | 1.09 | 4.0   | 1.18     | 11            | 4.44 | .58  | 2.0   | .34      |
| 12          | 3.69 | 1.45 | 4.0   | 2.09     | 12           | 3.89 | 1.21 | 4.0   | 1.47     | 12            | 3.12 | 1.59 | 4.0   | 2.53     |
| 13          | 3.72 | 1.25 | 4.0   | 1.56     | 13           | 3.31 | 1.16 | 4.0   | 1.34     | 13            | 3.64 | 1.08 | 4.0   | 1.16     |
| 14          | 3.47 | .76  | 4.0   | .58      | 14           | 3.58 | .64  | 2.0   | .41      | 14            | 3.64 | .76  | 3.0   | .57      |
| 15          | 3.91 | .89  | 4.0   | .80      | 15           | 3.96 | .60  | 3.0   | .36      | 15            | 4.04 | 1.06 | 4.0   | 1.12     |
| 16          | 4.72 | .99  | 4.0   | .98      | 16           | 4.12 | .95  | 3.0   | .91      | 16            | 4.56 | 1.00 | 4.0   | 1.01     |
| 17          | 3.38 | 1.07 | 4.0   | 1.15     | 17           | 3.89 | 1.48 | 4.0   | 2.19     | 17            | 3.48 | 1.23 | 4.0   | 1.51     |
| 18          | 3.91 | 1.38 | 4.0   | 1.89     | 18           | 3.50 | 1.14 | 4.0   | 1.30     | 18            | 3.64 | 1.50 | 4.0   | 2.24     |
| 19          | 4.16 | 1.37 | 4.0   | 1.88     | 19           | 3.62 | 1.39 | 4.0   | 1.93     | 19            | 3.96 | 1.49 | 4.0   | 2.21     |
| 20          | 4.22 | 1.31 |       | 1.73     | 20           | 4.35 | 1.20 | 4.0   | 1.44     | 20            | 3.63 | 1.69 | 4.0   | 2.85     |



Table 8 (continued)

| Item         | Mean | S.D. | Range | Variance | Item        | Mean | S.D. | Range | Variance |
|--------------|------|------|-------|----------|-------------|------|------|-------|----------|
| Principal IV |      |      |       |          | Principal V |      |      |       |          |
| 1            | 3.86 | .94  | 3.0   | .89      | 1           | 3.53 | .92  | 4.0   | .85      |
| 2            | 4.00 | 1.02 | 4.0   | 1.05     | 2           | 3.78 | 1.21 | 4.0   | 1.47     |
| 3            | 4.14 | 1.08 | 3.0   | 1.17     | 3           | 3.42 | 1.05 | 4.0   | 1.10     |
| 4            | 3.59 | 1.62 | 4.0   | 2.63     | 4           | 3.00 | 1.66 | 4.0   | 2.74     |
| 5            | 3.73 | 1.32 | 4.0   | 1.73     | 5           | 4.09 | 1.27 | 4.0   | 1.60     |
| 6            | 4.23 | 1.19 | 4.0   | 1.42     | 6           | 3.84 | 1.27 | 4.0   | 1.62     |
| 7            | 3.18 | 1.14 | 3.0   | 1.30     | 7           | 2.89 | 1.27 | 4.0   | 1.61     |
| 8            | 3.82 | .96  | 4.0   | .92      | 8           | 3.51 | 1.44 | 4.0   | 2.07     |
| 9            | 3.46 | 1.34 | 4.0   | 1.78     | 9           | 3.35 | 1.39 | 4.0   | 1.93     |
| 10           | 3.05 | 1.17 | 3.0   | 1.38     | 10          | 2.86 | 1.15 | 4.0   | 1.31     |
| 11           | 4.27 | 1.08 | 4.0   | 1.16     | 11          | 4.18 | 1.06 | 4.0   | 1.11     |
| 12           | 3.77 | 1.27 | 4.0   | 1.61     | 12          | 3.49 | 1.40 | 4.0   | 1.96     |
| 13           | 3.27 | 1.12 | 4.0   | 1.26     | 13          | 3.40 | 1.23 | 4.0   | 1.50     |
| 14           | 3.50 | .67  | 3.0   | .45      | 14          | 3.38 | .91  | 4.0   | .83      |
| 15           | 3.91 | .61  | 3.0   | .37      | 15          | 3.89 | .90  | 4.0   | .80      |
| 16           | 3.91 | .97  | 3.0   | .94      | 16          | 4.06 | 1.15 | 4.0   | 1.31     |
| 17           | 4.23 | 1.34 | 4.0   | 1.80     | 17          | 3.67 | 1.38 | 4.0   | 1.89     |
| 18           | 3.32 | 1.17 | 4.0   | 1.37     | 18          | 3.55 | 1.41 | 4.0   | 1.99     |
| 19           | 4.05 | 1.09 | 3.0   | 1.89     | 19          | 3.89 | 1.34 | 4.0   | 1.80     |
| 20           | 4.27 | 1.32 | 4.0   | 1.73     | 20          | 3.89 | 1.58 | 4.0   | 2.51     |

Table 9

## Principals in Rank Order

| Principals | Teachers                  | Superord-<br>inate I | Superord-<br>inate II | Superord-<br>inate III |
|------------|---------------------------|----------------------|-----------------------|------------------------|
| II         | $\frac{1829}{24}$ / 76.20 | 5                    | 5                     | 5                      |
| IV         | $\frac{1660}{22}$ / 76.45 | 3                    | 3                     | 4                      |
| I          | $\frac{2410}{33}$ / 73.03 | 4                    | 4                     | 3                      |
| III        | $\frac{1751}{24}$ / 72.95 | 2                    | 2                     | 2                      |
| V          | $\frac{3611}{57}$ / 63.35 | 1                    | 1                     | 1                      |

$\frac{\text{Total of ratings}}{N \text{ (No. of raters)}}$  / Average of summed ratings of all teachers

$$r_{T \text{ I}} = .9$$

$$r_{T \text{ II}} = .9$$

$$r_{T \text{ III}} = 1.0 \quad \text{Md } r_3 = .9$$

$$r_{I \text{ I}} = 1.0$$

$$r_{I \text{ II}} = .9 \quad \text{Md } .9$$

$$r_{I \text{ III}} = .9$$

administrator. This was of prime importance to this study, since the researcher desired a developmental approach to evaluation as opposed to a judgmental one.

### Problems

There are three major problems associated with BARS instruments that must be considered when examining the development and testing of the instrument. These problems are errors of leniency, errors of central tendency, and halo effect. There was evidence of leniency bias (see Table 10, Frequency of Response), based on the responses of the raters in the final field test. This could be due to several factors. First, the last field test included only five principals. Such a small sample makes it more difficult to obtain a normal distribution of responses. With a larger sample, the results could be more likely to change, and thus, there would be less leniency. Second, these knowledgeable principals invited the author into their school, evincing interest in the evaluation process. This may have engendered leniency, too.

Upon examination of the individual items in the instrument (see Table 10, Frequency of Response) one can see that Item 5 with 93 individuals responding with a rating choice of 5 could be due to the frequency with which principals behave as a group in performing this function. It would appear that the problem is either the item itself or the commonality of this behavior. Upon examination of Item 14

Table 10  
Frequency of Response Table

| Items   | Ratings |       |       |      |      |        |
|---------|---------|-------|-------|------|------|--------|
|         | 5       | 4     | 3     | 2    | 1    | Blanks |
| 1       | 34      | 42    | 73    | 7    | 1    | 3      |
| 2       | 52      | 65    | 25    | 7    | 8    | 3      |
| 3       | 50      | 7     | 85    | 13   | 2    | 3      |
| 4       | 60      | 12    | 35    | 9    | 41   | 3      |
| 5       | 93      | 1     | 51    | 0    | 12   | 3      |
| 6       | 66      | 52    | 11    | 9    | 19   | 3      |
| 7       | 19      | 41    | 23    | 52   | 21   | 4      |
| 8       | 46      | 48    | 23    | 22   | 13   | 3      |
| 9       | 17      | 48    | 10    | 78   | 6    | 1      |
| 10      | 82      | 51    | 15    | 4    | 5    | 3      |
| 11      | 41      | 73    | 6     | 9    | 28   | 3      |
| 12      | 23      | 74    | 35    | 4    | 21   | 3      |
| 13      | 13      | 61    | 74    | 6    | 3    | 3      |
| 14      | 28      | 109   | 10    | 5    | 5    | 3      |
| 15      | 92      | 29    | 22    | 12   | 4    | 1      |
| 16      | 63      | 23    | 48    | 5    | 18   | 3      |
| 17      | 62      | 14    | 56    | 7    | 18   | 3      |
| 18      | 87      | 11    | 28    | 22   | 9    | 3      |
| 19      | 98      | 17    | 15    | 4    | 22   | 4      |
| 20      | 98      | 17    | 15    | 4    | 22   | 4      |
| N = 160 | 35.1%   | 24.8% | 20.6% | 8.7% | 8.7% | 2.1%   |

with 109 individuals responding with a rating choice of 4, the logical conclusion is that this is the only behavior under staff development that principals demonstrate.

An examination of Items 19 and 20 shows 98 individuals responding with a rating of 5. After a close examination one would surmise that, as resource persons, principals behave in the same manner; and in their attempts to improve the school, they see the need for money from independent sources. Based on the results of the third field testing, it must be concluded that there was some leniency. The amount of leniency was reduced over what was found in the results of the second field testing with Instrument II. In other words, raters with Instrument III did begin to look at the ratee in comparison with his job description more than they had with Instrument II; thus, while the leniency did not completely disappear, the situation was improved.

Errors of central tendency, the second problem, are not evident in the results of this instrument (see Table 10, Frequency of Response, and the bar graph, Figure 1). With only 20.6% responding with a rating of 3, there is certainly no evidence of a clustering at midpoint.

The final problem to be discussed is halo effect. This is the tendency to assign the same rating or level to each factor being rated.

There appeared to be only a minor halo effect in the BARS for Principals instrument. (For further information,

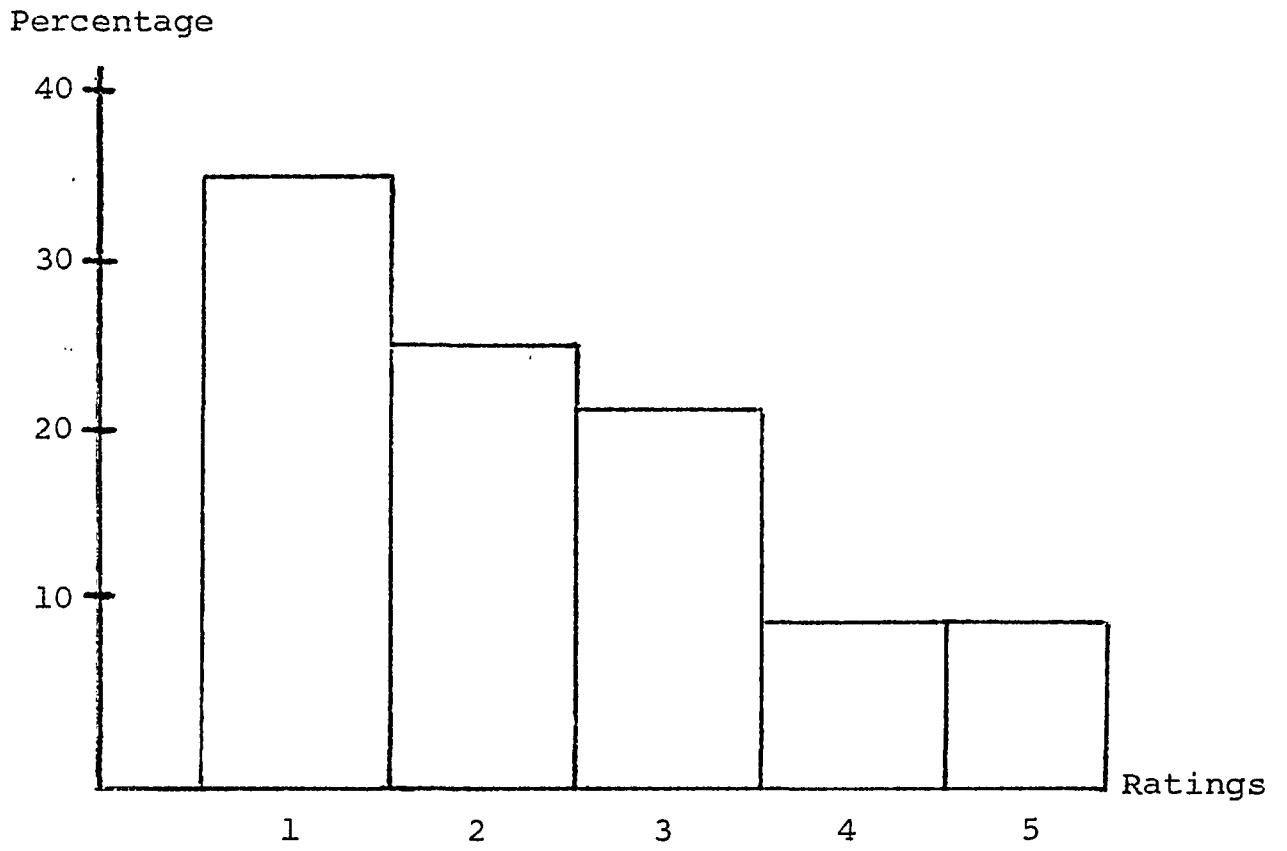


Figure 1. Error of central tendency based on response.

see Table 11.) It is usually accepted that a correlation of .5 to .7 is a large halo effect, a correlation of .3 to .5 is considered a moderate halo effect, and a correlation of .0 to .3 indicates no problem concerning halo effect. Therefore, since there were only spot instances of correlations in the .47, -.57, and -.69 range, it can be concluded that there was not a significant halo effect. In the few instances that did arise, it was because raters had not had sufficient opportunity to observe these behaviors in the person being rated, or because raters were not able to distinguish sufficiently among behaviors. Or it may be that these items were poorly chosen.

Table 11

Intercorrelation Matrix  
Item Analysis and Correlation (Pearson)

|     | 102 | 103 | 104  | 105  | 106  | 107  | 108  | 109  | 110  | 111  | 112  | 113  | 114  | 115  | 116  | 117  | 118  | 119  | 120  |
|-----|-----|-----|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|------|
| 101 | .07 | .12 | .07  | -.15 | -.15 | -.03 | -.05 | .05  | -.16 | .38  | .34  | .16  | .04  | .21  | .15  | -.62 | .01  | -.40 | -.18 |
| 102 |     | .13 | .04  | .54  | -.01 | -.12 | .25  | -.03 | -.57 | .47  | .18  | .36  | -.14 | .33  | -.14 | .22  | .16  | .54  | -.61 |
| 103 |     |     | -.13 | -.21 | -.23 | -.23 | .22  | .33  | .52  | .16  | -.02 | .01  | -.16 | .37  | .03  | .02  | .10  | .34  | -.14 |
| 104 |     |     |      | .10  | .19  | -.24 | .10  | .07  | .34  | .06  | .22  | .18  | .15  | -.28 | .31  | .14  | -.30 | -.10 | .16  |
| 105 |     |     |      |      | .24  | .42  | .29  | .69  | .21  | .17  | -.03 | -.07 | -.14 | .30  | .13  | .04  | -.04 | .41  | .22  |
| 106 |     |     |      |      |      | -.02 | .41  | .16  | .11  | -.01 | .08  | -.32 | .13  | .18  | .22  | .41  | .12  | .22  | .58  |
| 107 |     |     |      |      |      |      | -.30 | .01  | .31  | -.04 | .07  | .04  | -.07 | -.69 | -.28 | -.40 | .12  | .16  | .14  |
| 108 |     |     |      |      |      |      |      | .01  | -.16 | .13  | -.01 | -.10 | .05  | .08  | .16  | .09  | .27  | .16  | .06  |
| 109 |     |     |      |      |      |      |      |      | .24  | -.07 | .01  | .29  | -.11 | .01  | .12  | .30  | -.06 | .08  | .05  |
| 110 |     |     |      |      |      |      |      |      |      | .14  | -.26 | .01  | .05  | .01  | -.12 | .27  | .41  | -.09 | -.05 |
| 111 |     |     |      |      |      |      |      |      |      |      | .10  | .11  | -.19 | .08  | .03  | .17  | .07  | -.08 | -.01 |
| 112 |     |     |      |      |      |      |      |      |      |      |      | .15  | -.06 | -.11 | .07  | -.11 | -.16 | -.18 | .12  |
| 113 |     |     |      |      |      |      |      |      |      |      |      |      | -.01 | -.02 | -.08 | .19  | .12  | .01  | .04  |
| 114 |     |     |      |      |      |      |      |      |      |      |      |      |      | -.12 | -.07 | .11  | .13  | .10  | -.10 |
| 115 |     |     |      |      |      |      |      |      |      |      |      |      |      |      | .15  | .28  | .07  | .12  | .17  |
| 116 |     |     |      |      |      |      |      |      |      |      |      |      |      |      |      | .03  | .11  | .11  | .14  |
| 117 |     |     |      |      |      |      |      |      |      |      |      |      |      |      |      |      | .11  | .25  | -.05 |
| 118 |     |     |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      | .12  | .01  |
| 119 |     |     |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      | .30  |
| 120 |     |     |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |      |



## CHAPTER V

### SUMMARY, CONCLUSIONS, AND RECOMMENDATIONS

The purpose of this investigation was to determine whether behaviorally anchored rating scales could be used to appraise the performance of public school principals. To this end, an instrument was developed based on an evaluation concept originally used in business and industry and now applied to education.

#### Summary and Conclusions

Behaviorally Anchored Rating Scales is an evaluation system for the education and development of employees developed by members of a particular organization for a particular job within that organization. In this research, the investigator led a group of educators in the development of a BARS instrument for evaluating principals. The goal was to design a rating scale which could identify the administrator's strengths and weaknesses. Once these have been identified, special means for correcting the weaknesses can be established. In this way time, attention, and resources can be focused on specific problem areas, rather than on a general program of development.

There is a scarcity of instruments in education for evaluation of administrators, especially principals, and

those instruments now in existence lack sufficient validity and reliability. BARS is a method that can be used by educators employing their own vocabulary and adapted to the job description for a particular educational position.

Management by objective (MBO) is a management system widely adopted for use in education today. But MBO concentrates on outcomes rather than behaviors demonstrated while performing the task. Therefore, MBO falls short in that it provides little if any information as to why or how an individual reached the particular outcome, so there can be no feedback. BARS is a method of evaluation which can be used with an MBO system to provide the elements that are lacking.

BARS instruments are costly in time, money, and energy expended, but they are worthwhile. Since the construction of a BARS instrument must include members of the organization, specialists from outside the organization, and training in its use and interpretation of results, it is costly. The question now becomes one of how to place a price on development of the human potential within an organization. When organizations seek employees, they search for the best qualified individuals both in experience and training. After they become part of the organization, it is only natural to desire their best performance and to assure their continued development. One way to accomplish this is through a BARS evaluation in which the strengths and weaknesses of the individual can be examined and the employee can receive feedback on his level of performance.

Originally, there had been some concern as to whether one instrument could be used to evaluate principals at all levels in the organization, i.e., at elementary, junior and senior high schools. Several functions performed by principals were basically alike, but called by different names on the elementary and secondary levels. However, it was found that there was a common core of job functions performed by principals and a common level of expectations with which setting and level have little to do. Also, BARS, like any other evaluation instrument, must be revised as the job description changes. BARS instruments cannot be used for different jobs within the organizational hierarchy. But there appeared to be no difficulty in moving the BARS from one sample to another.

Since BARS is constructed using the people who are part of the organization, in their language and based on the actual job description, it has strongly rooted content validity. All those involved in the total evaluation process are part of the organization. The people who will be using the instrument, who will be evaluated by it, have to interpret its results and later use these results, being part of the organization, constitute a built-in safeguard against a breakdown in communication.

Criterion-related validity poses more of a problem. Since evaluation of educational administrators is still a matter of choice in many states, and since there is a

scarcity of instruments developed specifically for administrators, one cannot simply compare the results obtained using several instruments. As more instruments are developed this can be done. However, for the present the best one can do is to compare this particular instrument with superordinates' rankings of their principals. At present, this researcher can see that the overall rating acquired through the use of the BARS for principals agrees substantially with overall rankings by superiors.

Thus the instrument, the result of this study, appears to do as well as what is now being used. In addition, it focuses on behaviors demonstrated while performing specified job functions, it pinpoints the individuals' strengths and weaknesses, provides feedback data for follow-up sessions, and allows for individual development as opposed to group development programs. Moreover, the real value in constructing and using a BARS instrument is in establishing a job description for each position, determining the importance placed on each function, becoming acquainted with organizational policy, and learning how well one's actual behaviors are being communicated.

Construction of an instrument need not be undertaken by each school system. One instrument for each position should prove appropriate in the field of education. However, there should be an instrument developed for each different type of organization. For example, an instrument for principals in

secondary education could not be used for deans in higher education.

Further research would be needed before this researcher could state that the same instrument could be used for principals in Texas, etc. It is not known at this time whether one instrument could even be used for all principals in North Carolina. Part of the answer would be based on the job descriptions for each position.

For each organization needing a new instrument of this type, the people who should be involved would be only those directly surrounding the position and those holding the position. In the case of principals, this researcher used superintendents, assistant superintendents, principals, assistant principals, teachers, and principals' secretaries. This was done in an effort to get a total picture of the principal's behavior as he performed his various job functions.

#### Recommendations for Future Study

1. Establish the predictive validity of BARS through the comparison of results obtained using BARS scaling methods with other more naturalistic criteria.

2. Test this BARS instrument for principals throughout North Carolina, in order to determine whether its validity and reliability hold. To check the validity, BARS must be compared with other methods of measuring a principal's

effectiveness using a cross-section of principals throughout the state/nation. In order to determine the instrument's reliability, an examination would need to be made of how people from different levels within the organization rate the principal using this instrument.

3. Investigate whether BARS actually improves communication since this is a known weakness of MBO.

4. Investigate the legality of BARS instruments--e.g., how well it meets guidelines of federal legislation.

5. Construct and evaluate different inservice models for using the BARS instrument.

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**APPENDICES**

APPENDIX A  
COURT CASES

Albemarle Paper Company et al., Petitioners, v. Joseph P. Moody et al. (No. 74-389), 422 US 405.

Several years after the named plaintiffs, acting on behalf of a class of present and former Negro employees at a paper mill, brought an action in the United States District Court for the Eastern District of North Carolina against their employer and the plant employees' labor union to obtain a permanent injunction against any policy, practice, custom, or usage at the plant that violated Title VII of the Civil Rights Act of 1964 (42 USCS SS2000e et seq.), the named plaintiffs asserted a class demand for backpay, even though they had given assurances at the institution of the action that backpay was not sought. At a trial in the District Court where the major issues were the seniority system at the plant, the employer's program of employment testing, and the question of backpay, the District Court (1) although determining that the plant seniority system discriminated against Negroes and ordering the implementation of a system of plant-wide seniority, refused to award backpay to the class for losses suffered under the seniority program, since there was no evidence of bad faith compliance with Title VII, and since an award of backpay would prejudice the defendants, and (2) refused to enjoin or limit the employer's testing program, pointing out that the program had undergone validation studies and had been proven to be job related. On appeal from the District Court's denial of backpay and refusal to stay or limit pre-employment testing, the United States Court of Appeals for the Fourth Circuit reversed, ruling that backpay should have been awarded, since backpay could be requested after the complaint was filed and could not be denied merely because the employer had not acted in bad faith, and also ruling that the use of the employment tests should have been enjoined, since the employer failed to show that its tests were job related (474 F2d 134).

On certiorari, the United States Supreme Court vacated the judgment of the Court of Appeals and remanded to the District Court. In an opinion by Stewart, J., expressing the view of six members of the court, it was held that

(1) although the award of backpay under Title VII was a matter for the discretion of the District Court, a determination that an employer's breach of Title VII was not in bad faith was not a sufficient reason for denying backpay, (2) whether the defendants were in fact prejudiced, and whether the plaintiffs' conduct regarding the delayed assertion of their backpay claim was excusable, were questions that would be open to review by the Court of Appeals, if the District Court decided again not to award backpay, and (3) the employer's testing program--as measured by the Equal Employment Opportunity Commission's "Guidelines" for employers seeking to determine, through professional validation studies, whether their employment tests were job related (29 CFR §§ 1607.1--1607.14)--was not proven to be job related.

Washington, Mayor of Washington, D. C., et al. v. Davis et al.

This case involves the validity of a qualifying test administered to applicants for positions as police officers in the District of Columbia Metropolitan Police Department. The test was sustained by the District Court but invalidated by the Court of Appeals. . . . (hereinafter respondents), whose applications to become police officers in the District of Columbia had been rejected, in an action against District of Columbia officials (petitioners) and others, claimed that the Police Department's recruiting procedures, including a written personnel test (Test 21), were racially discriminatory and violated the Due Process Clause of the Fifth Amendment, 42 U.S.C. §§ 1981, and D. C. Code S 1-320. Test 21 is administered generally to prospective Government employees to determine whether applicants have acquired a particular level of verbal skill. Respondents contended that the test bore no relationship to job performance and excluded a disproportionately high number of Negro applicants. Focusing solely on Test 21, the parties filed cross-motions for summary judgment. The District Court, noting the absence of any claim of intentional discrimination, found that respondents' evidence supporting their motion warranted the conclusions that (a) the number of black police officers, while substantial, is not proportionate to the city's population mix; (b) a higher percentage of blacks fail the test than whites; and (c) the test has not been validated to establish its reliability for measuring subsequent job performance.

APPENDIX B  
APPRAISAL PROCEDURES ADOPTED IN STATES AT PRESENT  
EDUCATIONAL RESEARCH SURVEY STUDY

## Hawaii

Hawaii provides a standard, state-developed appraisal procedure and instrument. The remaining states with evaluation mandates require that local school districts develop standardized procedures and criteria for the evaluation of school-level administrators and submit those to the state boards of education. The state mandates differ, though, in terms of: (1) the frequency with which evaluation is to be conducted, (2) the extent to which procedures and criteria are dictated by the state statute or by the department of education, and (3) the assignment of responsibility at the local district level for the development of evaluation procedures.

The California statute commonly referred to as the "Stull Act" requires development and adoption of district-level evaluation guidelines to assess the performance of all certificated personnel including administrators (effective as of March 4, 1972). Annual evaluation of all probationary personnel and biennial evaluation of permanent personnel is mandated. Written guidelines must be submitted to the State Board of Education for approval. In developing these guidelines, a school board must avail itself of advice from the certificated personnel covered under the guidelines.

The Stull Act identifies four main areas to be evaluated:

1. The establishment of standards of expected student progress in each area of study and techniques for the assessment of that progress;



2. Assessment of certificated personnel competence as it relates to the established standards;
3. Assessment of other duties normally required to be performed by certificated employees as an adjunct to their regular assignments; and
4. The establishment of procedures and techniques for ascertaining that the certificated employee is maintaining proper control and is preserving a suitable learning environment. (p. 5)

In order to meet these evaluation requirements, position descriptions or definitions of duties must be established for all certificated personnel. In addition, "classroom control" and "suitable learning environment" must be defined.

#### Connecticut

In 1973, the Connecticut General Assembly passed a statute requiring annual evaluation of all certified employees below the rank of superintendent. The State Board of Education was directed to provide local school districts with standards of evaluation. The 1974 session of the General Assembly reconsidered its 1973 act and reassigned the responsibility of developing evaluative criteria and procedures to the local school districts. Guidelines are provided by the State Department of Education.

Those developed following the passage of the 1973 statute include:

1. Each professional shall cooperatively determine with the evaluator(s) the objectives upon which his or her evaluation shall be based.
2. The evaluation program is cooperatively planned, carried out, and evaluated by all levels of the staff.
3. The purposes of the evaluation program are clearly stated in writing and are well known to the evaluators and those who are to be evaluated.

4. The general responsibilities and specific tasks of the teacher's position should be comprehensively defined and this definition should serve as the frame of reference for evaluation.
5. The accountability relationship of each position should be clearly determined. The teacher should know and understand the means by which he or she will be evaluated in relation to that position.
6. Evaluations are more diagnostic than judgmental. The process should help analyze the teaching and learning to plan how to improve.
7. Evaluation should take into account influences on the learning environment such as material and professional resources.
8. Self-evaluation is an essential aspect of the program. Teachers are given the opportunity to evaluate themselves in positive and constructive ways.
9. The self-image and self-respect of teachers should be maintained and enhanced. Positive self-concepts can be fostered by an effective evaluation plan.
10. The nature of the evaluations is such that it encourages teacher creativity and experimentation in planning and guiding the teacher-learning experiences provided children.
11. The program makes ample provision for clear, personalized, constructive feedback. (Report Advisory Committee Public Act 73-456, pp. 6-7)

### Florida

A Florida state statute calling for an evaluation of all administrative/supervisory personnel was passed in 1967. The statute was directed toward the improvement of administrative/supervisory performance.

The superintendents of schools are given the responsibility of establishing assessment procedures in accordance with the following provisions:

1. Assessment of each individual must be conducted at least once a year;
2. the administrator directly responsible for the supervision of the individual conducts the evaluation;

3. prior to formal assessment, each individual must be informed of the criteria and the procedure to be used;
4. the written assessment must be shown to the evaluatee and discussed by the administrator responsible for preparing the report; and
5. a written record of each assessment must be maintained in the district. (Record of Personnel, Florida Code, Title 15, Chap. 231, Sec. 29, 1967)

### Kansas

Evaluation of administrative school personnel in Kansas was mandated by a 1973 legislative act. The act stipulates that every certificated school employee must be evaluated at least two times per year during the first two consecutive years of employment, at least once a year during the third and fourth years of employment, and at least once every three years thereafter.

Local school boards are responsible for the adoption of written evaluation policies and procedures that must be filed with the Kansas State Board of Education.

1. Evaluation policies must be developed by the Board in cooperation with the persons responsible for conducting evaluations and the persons to be evaluated.
2. Community attitudes and interests should be taken into consideration.
3. Evaluations are to be made by personnel designated by the board.
4. Consideration should be given to efficiency, personal qualities, professional deportment, ability, health, results and performance, and other matters deemed appropriate.
5. Persons to be evaluated should participate in their evaluation and be given the opportunity for self-evaluation.
6. Written assessments must be shown to the evaluatee and signed as an acknowledgment of its presentation. (Kansas Laws, Title 72, Chap. 281, Sec. 1-5, 1973)

### Maine

Although Maine does not specifically require the evaluation of administrative personnel, it does mandate school self-evaluation. This involves administrators as well as all parties concerned with the educational process.

The Elementary Self-Evaluation, K-8 manual acts as the vehicle for elementary school self-assessment and improvement. The manual must be completed in full by the administrators and by the teacher, pupil, parent, and community groups (represented by committees) designated in each section. In collecting feedback from these groups, the manual aids the elementary school in examining itself, identifying its educational needs, and determining long- and short-range priorities (ERS Report, 1974, p. 26).

### Nevada

A statute requiring evaluation of school level administrators was enacted by the Nevada legislature in 1973 (Evaluation of Administrators, Title 34, Chap. 391, Sec. 3127, 1973). The statute directs each local board of school trustees to develop objective administrative evaluation policies and file those with the state board of education. Evaluation policies must be developed with the consultation and involvement of elected or designated representatives of administrative personnel. The statute suggests student, superior, peer, and self evaluation as evaluative procedures.

Oregon

A statute enacted in 1971 makes superintendents of schools responsible for the annual evaluation of all teachers ("teacher" means any certificated personnel excluding the superintendent) in districts with over 500 average daily membership. The mandate also directs the Oregon Board of Education to devise evaluative procedures and forms to be used or adopted by local school boards in the development of procedures appropriate to their districts' goals. (ERS Report, 1974, p. 26)

Guidelines developed by the Oregon Education include:

1. The primary purpose of evaluation and supervision of professional performance is to promote personal growth and competence.
2. Evaluation and supervision processes should include provision for objective judgment by qualified peers.
3. Procedures should be designed for the channeling of relevant information from parents, students, board members, and other members of the community.
4. Criteria for evaluation should be clearly defined and provided for all personnel.
5. Criteria of evaluation should be adapted to the particular situation and professional responsibilities of the evaluatee; specific criteria should be agreed upon by the evaluator and evaluatee prior to the evaluation process.
6. Genuine efforts should be made to assist the staff members in improving professional performance.
7. The evaluators of each staff member should be clearly identified.
8. The processes of evaluation and supervision should be continuous and personnel performance should be observed periodically with a personal conference following each observance.
9. Frequency of observation should be increased for employees whose performance is in question so that maximum assistance is provided.
10. Evaluations should be based on planning and organizing of instruction objectives, learning environment, human relationships and attitude, professional preparation and growth, student achievement, performance, designated tasks, and ethical professional conduct.

Virginia

In 1972 the General Assembly of Virginia enacted the Standards of Quality for Public Schools in Virginia, 1972-74. It requires that principals and assistant principals be evaluated in terms of eight criteria, designed with indicators which give specific direction for meeting the criteria. In addition to the indicators, a sample objective which may be developed by the evaluator and evaluatee is given for each criterion. (The state board of education recommends the setting and assessing of performance objectives.) (Evaluation Procedures Handbook, 1974, p. 23)

The mandated standard pertaining to the evaluation of administrators specifies that:

The superintendent and his staff shall provide for the cooperative evaluation of central office personnel and principals and shall provide assistance to principals in the cooperative evaluation of teachers and other school employees. . . . (Standards of Quality and Objectives, Title 22, Chap. 732, 1972)

The specific evaluation procedures to be used must be submitted to the Virginia State Department of Education by the end of June 1974. The submitted plan must also indicate the manner in which the evaluation procedures were developed.

As a guide to local school districts, the state department developed evaluation schedules, procedures, and instruments. The guidelines suggest that newly appointed principals be evaluated during their first year and that principals receiving satisfactory appraisals be evaluated every other year, with self-evaluations during the years in between.

Washington

Evaluation of all certificated personnel, including administrators and supervisors, was mandated by a state statute enacted in 1969. The statute directs the local school boards to establish evaluative criteria and procedures through the appropriate negotiation process. Certain stipulations are provided.

1. Evaluation of all certificated employees should be conducted at least once annually.
2. New employees must be evaluated within the first ninety calendar days of their employment.
3. Every employee whose work is judged unsatisfactory must be notified in writing regarding the deficient areas and must be provided recommendations for improvement by February of each year.

APPENDIX C  
EDUCATIONAL STUDIES ON PRINCIPALS



Teitelbaum and Lee (1972) Study on Desirable Characteristics for Principals

Teibelbaum and Lee (1972) conducted a study dealing with descriptive terms and investigated opinions of educators and a sample of community representatives in 77 inner city schools regarding desirable characteristics of principals. The 1,482 questionnaire responses (56% of sample) were compiled using content analysis techniques and then ranked in order of frequency. The following rankings of administrative characteristics resulted:

If you wereselecting a principal for your school, what five personal characteristics would you consider most important?

- Total rank--
1. Good human relations
  2. Innovative
  3. Integrity
  4. Fair-minded
  5. Good-humored

If you were selecting a principal for your school, what five professional characteristics would you consider most important?

- Total rank--
1. Administrative and supervisory skill
  2. Relates well with parents and the community
  3. Dedication
  4. Personal character
  5. Innovative; skill in evaluation

Goldhammer (1971) Study on Qualities Possessed by Principals and Their Impact on Effectiveness of the School

Another study compared the qualities of principals in effective and ineffective schools (Goldhammer, 1971). It characterized the principals of the effective schools as being: effective in working with people, intuitive and empathetic with their associates, aggressive in regard to the needs of their schools, enthusiastic as principals, committed to education, adaptable, and capable of identifying their objectives and means of achieving them.

To be held accountable, an administrator must know clearly what his responsibilities are. A survey study conducted by Oregon State University (Goldhammer et al., 1971) suggests that role identification is one of the major problems faced by school administrators.

Johnson and Weiss (1971) Study on Management Functions of Principals

In a second approach to role identification, Johnson and Weiss stress the middle management function performed by the school administrator. According to this view, the principal's role is both that of school leader and follower of the district organization. All of his activities and interactions are derived from these two main functions.

Another interpretation (NASSP, 1970) of the administrative role lists improving instruction, directing-implementing-modifying policy, and communicating of procedures and objectives as the major functions of the school administrator.

Doll (1969) Study on the Effect of Principals on Types of Schools

Doll (1969) studied 70 schools in an urban school district and identified four general types labelled: (1) Highly Academic-Oriented, (2) Average Academic-Oriented, (3) Partially Problem-Oriented and (4) Highly Problem-Oriented.

Doll discovered that principals in the more successful schools (Partially Problem-Oriented) displayed the following behaviors:

1. Communicated openly with the staff and community.
2. Supported teachers--assisted teachers even if this meant clashing with the central administration; relieved teachers of clerical and other non-teaching duties; acted decisively in response to teacher needs.
3. Solicited information from his faculty and community before making decisions.
4. Sometimes ignored the hierarchy and the formalities of the bureaucratic structure.

In comparison, principals in the less successful schools (Highly Problem-Oriented) displayed these behaviors:

1. Acted on the basis of cues from the hierarchy of the school system.
2. Gave superficial consideration to teachers' suggestions.

- e. Moved hesitantly in making decisions, especially if a decision could place him in conflict with the hierarchy.
- 4. Was rigid in making decisions and taking action.

The behaviors of the more "successful" principals in the Doll et al. (1969) study parallel the behaviors of principals who were high in Executive Professional Leadership (EPL) in a study conducted by Gross and Herriott (1965). They found the higher the EPL of the elementary school principal, the higher the morale and the better the performance of teachers.

Feitler (1972) Study on Relationship Between Principal Behavior and Organizational Process of School

Feitler (1972) studied the relationship between principal behaviors and organizational process of schools. The Profile of a School Form T, a teacher questionnaire, was used to measure and behaviorally describe the school organizational environment along five discrete dimensions. Principal ratings on those five dimensions create a management continuum range from System 1, authoritative group, to System 2, participative group (currently viewed in management theory as being the more effective organization).

The dependent variable, administrative behavior, was analyzed by means of Stogdill's (19 ) "Leadership Behavior Description Questionnaire--Form XII (LBDQ-XII), a questionnaire designed to measure teacher perceptions of administrative behavior. The LBDQ-XII scores from schools falling in the upper and lower quartiles on the management continuum were compared. Results indicated that four of the twelve LBDQ-XII dimensions were significantly higher for schools which approached the authoritative end of the continuum. Those were: (1) tolerance--freedom--allowing subordinates to exercise initiative, make decisions, and take action; (2) consideration--regarding the comfort, well-being status, and contributions of subordinates; (3) integration--maintaining a closely knit organization and resolving inter-member conflicts; and (4) tolerance of uncertainty--ability to accept indefinite situations.

Based on this data Feitler et al. (1972) hypothesized that if: (1) System 4 organizations are desirable in education, and (2) there is a causal relationship between interpersonal behavior and organizational structure, then (3) administrators should be skilled in interpersonal leadership. This hypothesis was tested in a study involving administrators

from 12 schools in a two-year organizational development program. They received training in small group leadership and interpersonal skills. After one year, 11 of the 12 schools showed substantial movement in the direction of System 4 organization, with the schools as a group scoring significantly higher on the "Profile of a School--Form T."

#### Utz (1972) Study on Administrative Behavior

A study conducted by Utz et al. (1972) explored the relationship between teacher ratings of principals and teacher responses to the Managerial Grid Scale, an instrument derived from The Managerial Grid (Blake & Mouton, 1964, p. 340) and used to describe administrative behavior. The following results were reported:

1. As teacher ratings became more favorable, both "Production" and "People" scores increased.
2. No significant differences were found between the principals' scores on the "Production" and "People" dimensions except for principals ranked "Below Average" or "Poor." These principals scored significantly lower on the "People" dimension than on the "Production" dimension.
3. Principals ranked "Excellent" were attributed these behaviors:
  - thoroughly orientates new teachers
  - plans extensively, with solicitation of input from teachers
  - school problems are handled in a non-authoritative manner and explored in depth; and
  - teacher evaluation is open and focuses on means of improving behavior rather than on criticism of behavior.
4. The perceived behaviors of principals ranked "Below Average" or "Poor" included:
  - provides new teachers with minimal orientation;
  - places teachers in a clearly subordinate role;
  - does not solicit teacher opinion in making educational decisions;
  - presents teachers with only global, but not specific, plans; and
  - does not evaluate teachers, or does not inform teachers of evaluation. . . .

#### Chung (1970) Study on Management Style as it Relates to Teacher Satisfaction

The relationship between management style and teacher job satisfaction was investigated by Chung et al. (1970). Questionnaires were administered to the teaching staffs of

21 public schools, with 473 (95% of the teachers responding). The questionnaire contained multiple items related to job satisfaction and six dimensions of management style. A factor analysis of the returns indicated that teacher-centered management style (as perceived by teachers) includes these leadership behaviors:

1. High teacher participation in decision-making;
2. Imposes few administrative routines upon teachers;
3. Supports the professional growth of teachers;
4. Develops strong personal relationships;
5. Is accessible to teachers; and
6. Does not engage in tight supervision of teachers.

High teacher-centered management style was found to be significantly related to high job satisfaction among teachers.

#### Blumberg and Amidon (1965) Study on Effective Supervisory Behaviors

Amidon and Blumberg (1965) conducted a study pertaining to effective supervisory behaviors as viewed by teachers. Flander's categories of interaction (designed for teaching) were adopted to classify supervisory behaviors in terms of: (1) "direct" behavior--giving information, opinion, directions, and criticism, and (2) "indirect" behavior--asking questions, giving encouragement and praise, accepted feelings and ideas. Blumberg and Amidon questioned 166 experienced teachers regarding actual and ideal supervisory conferences with principals, supervisory behaviors, and apparent consequences of supervisors.

The conclusions reached by these two researchers were:

1. Teachers tend to regard supervisory conferences as more productive when supervisors display predominantly "indirect" behavior;
2. In general, learning about one's professional self occurs when supervisors display a combination of high "indirect" and "direct" behavior;
3. Freedom of communication is curtailed only when supervisory behavior is highly directive; and
4. Teachers are most dissatisfied with supervisors who avoid or discourage "indirect" behaviors.

APPENDIX D

PRESENT NORTH CAROLINA GUIDELINES AND STATUTES

SOME OF THE LEGAL AND STATUTORY RESPONSIBILITIES  
OF PRINCIPALS

(from the General Statutes of North Carolina)

- 115-150      Grade and classify pupils.  
              Exercise discipline.  
              Conduct fire drills.  
              Inspect building.  
              Give suggestions to teachers for the improvement  
              of instruction.
- 115-150.1    "Make certain" regarding fire hazards.
- 115-150.2    Remove or correct fire hazards, or report to  
              superintendent.
- 115-149      Instruct children in care of building.  
              ...May be held financially liable.
- 115-148      Make reports to superintendent.  
              ...False reports a misdemeanor.
- 115-161      Require evidence of age for entrance in school.
- 115-146      Report violators of compulsory attendance law to  
              attendance officer. Use reasonable force in the  
              exercise of lawful authority to restrain or  
              correct pupils.
- 115-166      Excuse a child temporarily from attendance at  
              school for justifiable reasons as defined.
- 115-165      Report children who are mentally or physically  
              unable to profit from instruction to welfare  
              department.
- 115-204      Screen and observe pupils for physical and health  
              defects.
- 115-147      Suspend or dismiss pupils, within limits defined  
              by law.
- 115-184      Assign children to buses which have been assigned  
              to that school.
- 115-186      Prepare and submit to superintendent proposed bus  
              routes, including stops for receiving and dis-  
              charging pupils. (Also see 20-217.1)
- 115-187      Discontinue the operation of any defective bus.

- 115-72        Nominate teachers (in county units).  
 Recommend janitors and maids (in county units).
- 115-143      File health certificate with superintendent.
- 115-90        Sign checks, with school treasurer, on disbursement of Special Funds of Individual Schools.  
               ...Monthly reports to be made to superintendent.  
               ...Funds are to be audited.
- 115-158      Prepare and sign the monthly payroll.  
               ...Signed also by chairmen of local committee  
               (in county units).
- 115-92        Require certificate or other acceptable evidence of immunization against smallpox, diphtheria, tetanus, and whooping cough."
- 115-93.1     Requires certificate or other acceptable evidence against poliomyelitis.

#### RELATED REFERENCES

- 115-198      Standard course of study (also 115-37)
- 115-36        Length of school day.
- 115-176      Assignment and enrollment of pupils.
- 115-35        Regulations governing extra-curricular activities, including athletics  
               ...as adopted by local board  
               ...as adopted by State Board concerning inter-scholastic athletic activities
- 115-142      Contracts of teachers and principals.
- 115-245      Solicitors from business, trade, and correspondence schools.
- 115-256      Non-public schools.
- 14-238        Soliciting during school hours without permission of school head.



APPENDIX E  
JOB FUNCTIONS/DIMENSIONS FROM A STUDY CONDUCTED BY  
AMERICAN ASSOCIATION OF SCHOOL ADMINISTRATORS

The Principalship: Job Specifications and  
Salary Considerations for the 70's

I. Educational Leader

- A. Responsibility--to direct, guide and coordinate the total educational program within the school.
- B. Cardinal function--improvement of instruction.
- C. Functions--
  - 1. Keeps instruction and learning foremost in his own planning, making certain that they are central to all school deliberations.
  - 2. Adapts the school's program and procedures to the requirements of the individual student. He is also sensitive to the needs of the individual teacher and he sees that human values are not slighted for institutional convenience.
  - 3. Helps to establish and clarify both short and long range goals for his school, and makes sure that they are both educationally sound and administratively feasible.
  - 4. Encourages his staff to suggest new ideas and to try new ways of doing things. He, therefore, acts as a catalyst for innovative thinking and action on the part of others in the school.
  - 5. Does not hesitate to suggest his own ideas for program, curriculum, and organization.
  - 6. Accepts accountability for the over-all effectiveness of the school. He touches both edges of the sword of leadership: authority and responsibility.
  - 7. Fosters sound interpersonal relationships among the students, the teachers, and the administration.
- D. As an educational leader, the principal must also be a skillful supervisor of instruction. Among the many aspects of this supervisory role are the following:

1. Building a competent, balance, professionally-alert staff through sound selection, thorough orientation, and continuing in-service activities.
2. Supervising individual teachers to assist them in their self-improvement efforts.
3. Evaluating teacher performance on the basis of cooperatively-determined objectives and criteria.
4. Nurturing potential staff leadership by providing opportunities for professional growth.

## II. An Administrator

- A. Responsibilities--Help the many persons within the organization clarify objectives, identify problems, establish priorities, develop strategies and assess progress.
- B. Share decision-making at various levels of involvement.
- C. Functions:
  1. Direct policy-making at the building level; and participate in the decision-making at all other levels when the policies in question affect his school's operation.
  2. Implement policy, accepting the responsibility, while sharing the authority in whatever manner he considers to be in the best interests of the school.
  3. Modify policy, when he judges it desirable to do so. When he does not possess the authority to permit the modification, he recommends the changes to those who do.
  4. Broaden the base of his decision-making, involving students, teachers, parents, and citizens whenever appropriate.

## III. An Interpreter

- A. The principal is a communicator explaining the school's goals, procedures, and objectives to everyone concerned. He presents the school, its program, its purposes, its philosophy, its problems to:

1. the students, so that they may understand and appreciate the conditions under which they learn;
2. the staff, professional and non-professional alike, to provide them with that overview of the school so difficult to obtain in the relative isolation of the conventional classroom or school building;
3. the community, with all its varied publics, so that the school becomes meaningful to them in terms of its social purposes;
4. the other schools in the district, so that the educational process of the district is unified and articulated;
5. the central office and the boards of education, so that the higher echelons understand what the schools' needs are and what it is trying to accomplish;
6. his colleagues in the principalship, so his school will share in the new developments in American education and benefit from the experience of others.

This communication must be two-way.

#### IV. Conflict Mediator

Conflict occurs in all organizations. The duty of the principal is not to eliminate conflict within the school but rather mediate it when it does arise, so that it does not weaken the unity of the school or threaten the achievement of its goals.

##### A. Functions

1. recognizes his responsibility for establishing a climate in the school that will make disruptive conflict unnecessary (though admittedly never impossible). The school should be able to permit strong differences of opinion to exist without their disrupting its tenor.
2. is realistic enough to realize that conflict will arise as people differ sharply and passionately on means and ends.

3. recognizes in the ingredients of a conflict those opportunities that may exist for promoting personal and professional growth.

#### V. An Educator of Educators

The principal is a specialist in education. He, therefore provides information and direction to students, staff, parents, central office, superintendent, and board of education, keeping them all alert to the developments and trends in the field.

Furthermore, the principal, while deferring to the expertness of teachers in their individual subject fields and specific scholarship, understands the elements of good teaching and shares his insight with the teachers. He is a resource person who can help the individual teacher appraise and improve his own teaching effectiveness. And being acquainted with the principles and practices of high quality education, the principal knows the balance, the sequence, and the degree of freedom that are desirable for an innovative curriculum. This might well be his major contribution to his school's curriculum development.

#### VI. Ombudsman

The principal must be able to step back from time to time and objectively and impartially criticize his own efforts. This is especially true when a person appears before him seeking relief or redress from some school action.

In these instances, the principal will be required to serve as the advocate for people who are questioning the very school structure or policies he has helped to create and which he administers. He must function as an ombudsman, so that the school does not end up sacrificing an individual to the requirements of the institution. He must stand as a bulwark against that insidious depersonalization that so quickly can blight the nobler purposes of the school.

This ombudsman role is increasingly being demanded of the principal, as those in our secondary schools desperately struggle to keep the schools from losing their human dimension. It is a role that demands an open-door policy on the part of the principal, inimical as that policy may be to the performance of his other pressing responsibilities. It may prove to be the one function the principal will never be

able to delegate. If so, the perspectives of the principal will have to alter dramatically in the years ahead.

As ombudsman, the principal will--

1. provide counsel and assistance for all youth, dissident as well as cooperative;
2. open his door to all teachers, militant as well as passive, non-conformist as well as agreeable;
3. work synpathetically with all parents, aggressive as well as bewildered;
4. challenge his own school, when it proves to be restrictive of individual growth and aspiration.

#### VII. A professional

The principal is more than the head of the local school. He began as and continues to be a professional teacher among teachers, and a professional among his principal colleagues.

As a professional, the principal--

1. participates in continuous study and research in secondary education and administration;
2. regularly attends the conventions and annual meetings of his professional associations;
3. contributes to the programs of and seeks leadership positions in those associations;
4. contributes to the secondary principalship by means of articles and speeches;
5. shares with his fellow principals his knowledge, his understanding, and his comfort when the occasion requires. (Melton, 1970)

## APPENDIX F

## PRELIMINARY INSTRUMENT CONSTRUCTION MATERIALS

Attached are statements of how principals perform on their jobs. First, read each statement and decide to what job dimension it is most clearly related. Put the number of the dimension in the parenthesis before the statement.

Second, read each statement and decide what kind of job performance this would be if observed in an employee. If it indicates very good performance, draw a circle around the number 7 below the statement. If it indicates very poor job performance, draw a circle around the number 1 below the statement.

Use the remaining numbers to indicate how good or how poor the performance is by encircling the proper number. The number 4 could be considered average performance.



## Job Dimensions

### 1. Educational Leader--

Responsibility: to direct, guide and coordinate the total educational program within the school.

Cardinal function: improvement of instruction.

### 2. Administrator--

Responsibility: Help the many persons within the organization clarify objectives, identify problems, establish priorities, develop strategies, and assess progress.

Cardinal function: Share decision-making at various levels of involvement.

### 3. Interpreter--

Responsibility: The principal is a communicator explaining the school's goals, procedures, and objectives to everyone concerned. He presents the school, its program, its purposes, its philosophy, its problems to: the students, the staff (professional and nonprofessional), the community, other schools in the district, the central office and the board of education, and to his colleagues.

### 4. Conflict Mediator--

Responsibility: The duty of the principal is not to eliminate conflict within the school but rather mediate it when it does arise, so that it does not weaken the unity of the school or threaten the achievement of its goals.

### 5. Educator of Educators--

Responsibility: The principal is a specialist in education. He, therefore, provides information and direction to students, staff, parents, central office, the superintendent, and the board of education, keeping them all alert to the developments and trends in the field.

Furthermore, he is a resource person who can help the individual teacher appraise and improve his own teaching effectiveness. And being acquainted with the principles and practices of high quality education, the principal knows the balance, the sequence, and the degree of freedom that are desirable for an innovative curriculum. This might well be his major contribution to his school's curriculum development.

6. Ombudsman--

Responsibility: The principal must be able to step back from time to time and objectively and impartially criticize his own efforts. This is especially true when a person appears before him seeking relief or redress from some school action.

In these instances, he will be required to serve as the advocate for people who are questioning the very school structure or policies he has helped to create and administer. He must function as an ombudsman, so that the school does not end up sacrificing an individual to the requirements of the institution. He must stand as a bulwark against that insidious depersonalization that so quickly can blight the nobler purposes of the school.

7. Professional--

Responsibility: Participates in continuous study and research in education and administration;

Regularly attends the conventions and annual meetings of his professional associations;

Contributes to the programs of and seeks leadership positions in those associations;

Contributes to his profession by means of articles and speeches;

Shares with his fellow principals his knowledge, his understanding, and his comfort when the occasion requires.

- ( ) 1. Checks the library to see who and if teachers are using the library sources.  
1 2 3 4 5 6 7 (M 3.68; SD 1.91)
- ( ) 2. Holds feedback sessions after holding a periodic evaluation.  
1 2 3 4 5 6 7 (M 2.96; SD 1.40)
- ( ) 3. Checks on number of parent conferences teachers have had in a given period.  
1 2 3 4 5 6 7 (M 3.29; SD 1.70)
- ( ) 4. Checks to see if students of varying ability are being provided for by teachers.  
1 2 3 4 5 6 7 (M 5.97; SD 1.58)
- ( ) 5. Opens door only when a problem becomes an emergency.  
1 2 3 4 5 6 7 (M 2.50; SD 1.45)
- ( ) 6. Seldom makes an arbitrary decision.  
1 2 3 4 5 6 7 (M 3.04; SD 1.55)
- ( ) 7. Eats lunch with only the teachers he likes.  
1 2 3 4 5 6 7 (M 1.96; SD 1.67)
- ( ) 8. Uses himself as a model to explain a situation or give an example.  
1 2 3 4 5 6 7 (M 5.57; SD 1.48)
- ( ) 9. Gives tenured teachers too much deference.  
1 2 3 4 5 6 7 (M 3.93; SD 1.02)
- ( ) 10. Capitulates quickly when a superior questions his decision.  
1 2 3 4 5 6 7 (M 1.71; SD 1.54)
- ( ) 11. Exudes a theory X philosophy.  
1 2 3 4 5 6 7 (M 2.39; SD 1.07)

- ( ) 12. Exudes a theory Y philosophy.  
1 2 3 4 5 6 7 (M 4.22; SD 1.89)
- ( ) 13. Talks with only middle aged staff.  
1 2 3 4 5 6 7 (M 2.63; SD 1.57)
- ( ) 14. Calls discussion meetings without taking time to do his homework.  
1 2 3 4 5 6 7 (M 1.14; SD .45)
- ( ) 15. Rarely is seen outside his office.  
1 2 3 4 5 6 7 (M 3.50; SD 2.06)
- ( ) 16. Calls too many and often unnecessary meetings.  
1 2 3 4 5 6 7 (M 4.11; SD 1.57)
- ( ) 17. Appears ill at ease when talking with a disadvantaged or racially different student and/or parent.  
1 2 3 4 5 6 7 (M 2.67; SD 1.47)
- ( ) 18. Checks attendance diligently.  
1 2 3 4 5 6 7 (M 2.26; SD 1.40)
- ( ) 19. Evokes mass punishment.  
1 2 3 4 5 6 7 (M 3.96; SD 2.12)
- ( ) 20. Passes the buck to the central office on all controversial issues.  
1 2 3 4 5 6 7 (M 2.71; SD 1.96)
- ( ) 21. Unwilling to acknowledge that a low achiever can ever be another type of student.  
1 2 3 4 5 6 7 (M 2.93; SD 2.13)
- ( ) 22. Blames teacher training institutions for weak or unsuccessful teachers.  
1 2 3 4 5 6 7 (M 2.26; SD 1.53)

- ( ) 23. Grants personal days grudgingly.  
 1 2 3 4 5 6 7 (M 3.30; SD 2.28)
- ( ) 24. Seldom wears a tie to school.  
 1 2 3 4 5 6 7 (M 4.48; SD 2.06)
- ( ) 25. Visits single female teachers in their homes.  
 1 2 3 4 5 6 7 (M 3.00; SD 1.75)
- ( ) 26. His desk is in constant disarray.  
 1 2 3 4 5 6 7 (M 1.43; SD .96)
- ( ) 27. Misses P.T.S.A. occasionally.  
 1 2 3 4 5 6 7 (M 2.89; SD 1.77)
- ( ) 28. Embarrasses new teachers in the teacher's lounge  
 by quizzing them in front of older teachers or by  
 speaking disparagingly of their teaching skills.  
 1 2 3 4 5 6 7 (M 1.54; SD 1.11)
- ( ) 29. Encourages teacher observation of colleagues.  
 1 2 3 4 5 6 7 (M 2.32; SD 1.66)
- ( ) 30. Ignores school activities unless he is directly  
 responsible for them.  
 1 2 3 4 5 6 7 (M 1.54; SD .88)
- ( ) 31. Evaluates teachers without ever giving feedback.  
 1 2 3 4 5 6 7 (M 2.46; SD 1.40)
- ( ) 32. Does not support his previously made policies.  
 1 2 3 4 5 6 7 (M 1.54; SD .64)
- ( ) 33. Fails to keep faculty informed of what is happening  
 within the school or county/city unit.  
 1 2 3 4 5 6 7 (M 3.50; SD 1.71)
- ( ) 34. Always is late to meetings he has called.  
 1 2 3 4 5 6 7 (M 1.79; SD .96)

- ( ) 35. Schedules more than one activity at a time.  
 1 2 3 4 5 6 7 (M 2.11; SD 1.07)
- ( ) 36. Is upward mobile.  
 1 2 3 4 5 6 7 (M 3.46; SD 1.62)
- ( ) 37. Greets school buses in the morning.  
 1 2 3 4 5 6 7 (M 2.89; SD 1.26)
- ( ) 38. Conducts small and large group meetings.  
 1 2 3 4 5 6 7 (M 1.43; SD 1.20)
- ( ) 39. Asks teachers to serve in extra duty capacities  
 (committees, etc.).  
 1 2 3 4 5 6 7 (M 3.50; SD 1.90)
- ( ) 40. Carries and controls keys to school.  
 1 2 3 4 5 6 7 (M 1.93; SD 1.70)
- ( ) 41. Is frequently unavailable.  
 1 2 3 4 5 6 7 (M 3.79; SD 2.03)
- ( ) 42. Speaks above student's heads.  
 1 2 3 4 5 6 7 (M 1.71; SD 1.44)
- ( ) 43. Feels he can teach any class as well as the teacher  
 and lets everyone know it.  
 1 2 3 4 5 6 7 (M 4.68; SD 1.54)
- ( ) 44. Seldom corrects a teacher.  
 1 2 3 4 5 6 7 (M 2.07; SD 1.39)
- ( ) 45. Sponsors all programs of NASSP.  
 1 2 3 4 5 6 7 (M 2.07; SD .60)
- ( ) 46. Meets one day a week with various student organiza-  
 tions.  
 1 2 3 4 5 6 7 (M 1.75; SD 1.35)

- ( ) 47. Has an open door policy.  
1 2 3 4 5 6 7 (M 3.39; SD 2.37)
- ( ) 48. Approves all announcements for the PA system.  
1 2 3 4 5 6 7 (M 3.33; SD 1.78)
- ( ) 49. Asks teachers to serve on duties such as hall, bus, lunch, playground, etc.  
1 2 3 4 5 6 7 (M 2.92; SD 2.23)
- ( ) 50. Supervises closely conflict areas such as cheerleader selection, etc.  
1 2 3 4 5 6 7 (M 1.57; SD 1.10)
- ( ) 51. Will not allow teachers to take days off to attend workshops, professional meetings, etc.  
1 2 3 4 5 6 7 (M 2.46; SD 1.53)
- ( ) 52. Treats student groups differently.  
1 2 3 4 5 6 7 (M 2.93; SD 1.25)
- ( ) 53. Confers with present personnel on all new faculty.  
1 2 3 4 5 6 7 (M 2.93; SD 1.82)
- ( ) 54. Fails to check carefully staff credentials.  
1 2 3 4 5 6 7 (M 2.36; SD 1.64)
- ( ) 55. Formulates rules and regulations as needed for his school.  
1 2 3 4 5 6 7 (M 3.64; SD 1.79)
- ( ) 56. Takes action to remove incompetent faculty members.  
1 2 3 4 5 6 7 (M 1.107; SD .42)
- ( ) 57. Includes students and faculty in decisions at the conference level when they are involved.  
1 2 3 4 5 6 7 (M 3.93; SD 1.72)

- ( ) 58. Exudes attitude that everything is his responsibility concerning school.  
1 2 3 4 5 6 7 (M 5.11; SD 1.93)
- ( ) 59. Provides means for self evaluation of teachers.  
1 2 3 4 5 6 7 (M 2.54; SD 1.93)
- ( ) 60. Provides teachers with copies of local and state guidelines, as well as any recent court decisions regarding education.  
1 2 3 4 5 6 7 (M 1.63; SD 1.25)
- ( ) 61. Uses his training to make on-the-spot decisions.  
1 2 3 4 5 6 7 (M 3.07; SD 1.84)
- ( ) 62. Handles emergencies well.  
1 2 3 4 5 6 7 (M 1.74; SD 1.02)
- ( ) 63. Provides teacher mail boxes.  
1 2 3 4 5 6 7 (M 2.39; SD 1.47)
- ( ) 64. Examines all materials prior to approving their use in the school.  
1 2 3 4 5 6 7 (M 1.50; SD 1.34)
- ( ) 65. Makes his office hours public.  
1 2 3 4 5 6 7 (M 3.25; SD 1.71)
- ( ) 66. Prepares a place for all special service personnel in the school.  
1 2 3 4 5 6 7 (M 1.82; SD 1.00)
- ( ) 67. Stated a reading incentive program.  
1 2 3 4 5 6 7 (M 2.56; SD 1.55)
- ( ) 68. Invites the superintendent to meet with the faculty periodically.  
1 2 3 4 5 6 7 (M 1.65; SD .80)



- ( ) 69. Works with counselors in setting up positive classroom behavior patterns.  
1 2 3 4 5 6 7 (M 2.00; SD .88)
- ( ) 70. Knows the families of the children in the school.  
1 2 3 4 5 6 7 (M 2.26; SD 1.06)
- ( ) 71. Set up and actively participates in a school beautification program.  
1 2 3 4 5 6 7 (M 4.36; SD 2.63)
- ( ) 72. Occasionally rides school buses over the bus routes.  
1 2 3 4 5 6 7 (M 4.92; SD 1.41)
- ( ) 73. Put a suggestion box in the office.  
1 2 3 4 5 6 7 (M 2.07; SD 1.04)
- ( ) 74. Verbally praises the school and teachers in the presence of others.  
1 2 3 4 5 6 7 (M 4.74; SD 1.83)
- ( ) 75. Welcomes visitors in the school.  
1 2 3 4 5 6 7 (M 2.79; SD 1.71)
- ( ) 76. Goes to the source of conflict or remediation.  
1 2 3 4 5 6 7 (M 5.64; SD 1.10)
- ( ) 77. Is active in youth organization in the community.  
1 2 3 4 5 6 7 (M 1.93; SD .72)
- ( ) 78. Stays at school unless absolutely necessary to leave.  
1 2 3 4 5 6 7 (M 4.85; SD 1.06)
- ( ) 79. Set up staff development program.  
1 2 3 4 5 6 7 (M 1.82; SD .39)
- ( ) 80. Conducts self and business in professional manner and expects like standards and behavior from staff members.  
1 2 3 4 5 6 7 (M 4.18; SD 1.44)

- ( ) 81. Works with area colleges and universities.  
 1 2 3 4 5 6 7 (M 2.75; SD 1.67)
- ( ) 82. Eats lunch with students periodically.  
 1 2 3 4 5 6 7 (M 2.00; SD 1.33)
- ( ) 83. Makes sure all visitors first report to office.  
 1 2 3 4 5 6 7 (M 3.46; SD 1.61)
- ( ) 84. Will not ask something of a staff member that he  
 would not do himself.  
 1 2 3 4 5 6 7 (M 1.70; SD .91)
- ( ) 85. Is prompt to meetings and prepared.  
 1 2 3 4 5 6 7 (M 4.29; SD 1.88)
- ( ) 86. Demonstrates ability to say "I don't know" at times  
 or "I made a mistake."  
 1 2 3 4 5 6 7 (M 1.79; SD 1.29)
- ( ) 87. Holds meetings for p. r. reasons.  
 1 2 3 4 5 6 7 (M 3.71; SD 1.74)
- ( ) 88. Maintains control of both himself and situations.  
 1 2 3 4 5 6 7 (M 2.43; SD 1.10)
- ( ) 89. Makes effective use of media.  
 1 2 3 4 5 6 7 (M 6.60; SD 1.29)
- ( ) 90. Motivates others by his spirit and obvious enthusiasm.  
 1 2 3 4 5 6 7 (M 3.72; SD 1.67)
- ( ) 91. Opens the school for community activities.  
 1 2 3 4 5 6 7 (M 2.54; SD 1.48)
- ( ) 92. Supports and defends policies of the school with  
 reason.  
 1 2 3 4 5 6 7 (M 5.21; SD 1.62)

- ( ) 93. Recognizes and makes provision for change.  
1 2 3 4 5 6 7 (M 2.93; SD 1.49)
- ( ) 94. Answers to the school board for his school.  
1 2 3 4 5 6 7 (M 5.96; SD 1.55)
- ( ) 95. Is fair, but firm.  
1 2 3 4 5 6 7 (M 2.25; SD 1.04)
- ( ) 96. Handles complaints diplomatically.  
1 2 3 4 5 6 7 (M 4.14; SD 1.60)
- ( ) 97. Is a good politician.  
1 2 3 4 5 6 7 (M 1.89; SD .74)
- ( ) 98. Conducts enrichment programs in summer.  
1 2 3 4 5 6 7 (M 4.50; SD 1.11)
- ( ) 99. Maintains constant communication with parents.  
1 2 3 4 5 6 7 (M 3.30; SD 1.24)
- ( ) 100. Sets high standards for school and himself.  
1 2 3 4 5 6 7 (M 4.30; SD 1.88)
- ( ) 101. Punishes students for betting, while allowing the  
faculty to bet on sporting events.  
1 2 3 4 5 6 7 (M 4.33; SD 1.88)
- ( ) 102. Traces down the source of rumors and handles them.  
1 2 3 4 5 6 7 (M 1.48; SD 1.22)
- ( ) 103. Holds brainstorming sessions on relevant subjects.  
1 2 3 4 5 6 7 (M 2.92; SD 1.66)
- ( ) 104. Sits behind desk during conferences.  
1 2 3 4 5 6 7 (M 2.00; SD 1.27)

- ( ) 105. Discourages informal discussion on matters concerning students.  
1 2 3 4 5 6 7 (M 2.56; SD 1.25)
- ( ) 106. Sits in an informal setting to put visitors at ease.  
1 2 3 4 5 6 7 (M 2.82; SD 1.76)
- ( ) 107. Changes opinion from one counseling session to another without apparent reason.  
1 2 3 4 5 6 7 (M 2.04; SD .77)
- ( ) 108. Requires redundant paperwork.  
1 2 3 4 5 6 7 (M 1.67; SD .73)
- ( ) 109. Bows to pressure groups, particularly if adult.  
1 2 3 4 5 6 7 (M 1.96; SD .59)
- ( ) 110. Sits through both lunch periods, taking advantage of the opportunity.  
1 2 3 4 5 6 7 (M 4.67; SD 1.69)
- ( ) 111. Often is evasive on critical issues.  
1 2 3 4 5 6 7 (M 2.19; SD 1.39)
- ( ) 112. Strives to acknowledge efforts of teachers, students, and parents made on the school's behalf.  
1 2 3 4 5 6 7 (M 6.15; SD 1.35)
- ( ) 113. Is ometimes insensitive to teacher's feelings.  
1 2 3 4 5 6 7 (M 2.48; SD 1.01)
- ( ) 114. Never challenges a t acher in front of a student.  
1 2 3 4 5 6 7 (M 5.85; SD 1.32)
- ( ) 115. Writes articles for the school newspaper.  
1 2 3 4 5 6 7 (M 2.11; SD .96)

- ( ) 116. Engages in regular stroking.  
 1 2 3 4 5 6 7 (M 2.93; SD 1.69)
- ( ) 117. Sets up workshops.  
 1 2 3 4 5 6 7 (M 3.74; SD 1.72)
- ( ) 118. Attends workshops along with faculty members.  
 1 2 3 4 5 6 7 (M 5.44; SD 1.72)
- ( ) 119. Provides substitutes so teachers can attend workshops.  
 1 2 3 4 5 6 7 (M 4.19; SD 1.76)
- ( ) 120. Conducts workshops; sometimes even using teacher work days.  
 1 2 3 4 5 6 7 (M 5.93; SD 1.21)
- ( ) 121. Notifies faculty of inservice opportunities.  
 1 2 3 4 5 6 7 (M 2.63; SD 1.47)
- ( ) 122. Encourages professional growth through providing teachers access to professional literature and memorandums on current happenings in education.  
 1 2 3 4 5 6 7 (M 5.04; SD 1.16)
- ( ) 123. Sets up informative meetings for faculty on major educational issues.  
 1 2 3 4 5 6 7 (M 2.81; SD 1.20)
- ( ) 124. Encourages teachers to attend graduate school.  
 1 2 3 4 5 6 7 (M 6.22; SD 1.22)
- ( ) 125. Allows teachers to leave school early when necessary in order to attend graduate courses.  
 1 2 3 4 5 6 7 (M 2.04; SD .76)
- ( ) 126. Brings in outside educators to demonstrate new methods, etc., observe, evaluate, and aid teachers.  
 1 2 3 4 5 6 7 (M 4.85; SD 1.80)

- ( ) 127. Prepares a list of resource people and resources for the classroom teacher.  
1 2 3 4 5 6 7 (M 2.52; SD 1.78)
- ( ) 128. Selects department chairmen, senior teachers, etc.  
1 2 3 4 5 6 7 (M 3.96; SD 1.77)
- ( ) 129. Works with teachers in curriculum planning for the school.  
1 2 3 4 5 6 7 (M 2.70; SD .91)
- ( ) 130. Allows flexibility in teaching methods and style.  
1 2 3 4 5 6 7 (M 5.26; SD 1.51)
- ( ) 131. Provides opportunities for standardized testing of students.  
1 2 3 4 5 6 7 (M 2.31; SD 1.44)
- ( ) 132. Provides remedial classes for those needing help in passing the state competency test.  
1 2 3 4 5 6 7 (M 5.89; SD 1.31)
- ( ) 133. Provides time and opportunity for the sharing of ideas by faculty.  
1 2 3 4 5 6 7 (M 2.52; SD 1.85)
- ( ) 134. Conducts demonstration classes.  
1 2 3 4 5 6 7 (M 5.48; SD 1.09)
- ( ) 135. Talks and works with students regarding learning.  
1 2 3 4 5 6 7 (M 3.44; SD 2.01)
- ( ) 136. Listens to students read.  
1 2 3 4 5 6 7 (M 5.19; SD 1.76)
- ( ) 137. Requires learning centers, bulletin boards, and that students' work be displayed.  
1 2 3 4 5 6 7 (M 2.93; SD 1.80)

- ( ) 138. Aids in selection, obtaining and distribution of textbooks and supplies.  
1 2 3 4 5 6 7 (M 6.07; SD 1.14)
- ( ) 139. Works to modify present programs and implement new ones.  
1 2 3 4 5 6 7 (M 2.67; SD 1.66)
- ( ) 140. Evaluates students' records.  
1 2 3 4 5 6 7 (M 5.12; SD 1.73)
- ( ) 141. Determines the emphasis of the curriculum.  
1 2 3 4 5 6 7 (M 2.48; SD 1.50)
- ( ) 142. Teaches a class for a teacher, periodically.  
1 2 3 4 5 6 7 (M 4.67; SD 1.69)
- ( ) 143. Makes final decision on who passes.  
1 2 3 4 5 6 7 (M 2.56; SD 1.31)
- ( ) 144. Assigns teachers their classes/subjects to teach.  
1 2 3 4 5 6 7 (M 4.78; SD 2.06)
- ( ) 145. Assigns students to classes.  
1 2 3 4 5 6 7 (M 2.82; SD 1.55)
- ( ) 146. Makes out the master schedule.  
1 2 3 4 5 6 7 (M 5.19; SD 1.69)
- ( ) 147. Interviews and hires teachers.  
1 2 3 4 5 6 7 (M 2.85; SD 1.49)
- ( ) 148. Holds informal coffees for new persons or groups (faculty, parents, students).  
1 2 3 4 5 6 7 (M 6.26; SD 1.23)
- ( ) 149. Insists that teachers keep clean and attractive rooms.  
1 2 3 4 5 6 7 (M 2.67; SD 1.39)

- ( ) 150. Encourages teachers working together and helping each other.  
1 2 3 4 5 6 7 (M 5.74; SD 1.56)
- ( ) 151. Attends all school functions and encourages other faculty members to do likewise.  
1 2 3 4 5 6 7 (M 3.78; SD .58)
- ( ) 152. Demonstrates differential treatment of faculty.  
1 2 3 4 5 6 7 (M 6.37; SD .84)
- ( ) 153. Holds drawn-out faculty meetings.  
1 2 3 4 5 6 7 (M 3.78; SD 2.14)
- ( ) 154. Distributes negative statements and verbally ridicules faculty.  
1 2 3 4 5 6 7 (M 4.44; SD 1.65)
- ( ) 155. Abdicates his responsibility at times.  
1 2 3 4 5 6 7 (M 2.11; SD 1.25)
- ( ) 156. Calls student meetings without giving faculty any prior notice.  
1 2 3 4 5 6 7 (M 4.74; SD 1.77)
- ( ) 157. Attends "male" sporting events.  
1 2 3 4 5 6 7 (M 3.70; SD 1.77)
- ( ) 158. Evaluates teachers.  
1 2 3 4 5 6 7 (M 5.70; SD 1.46)
- ( ) 159. Observes teachers.  
1 2 3 4 5 6 7 (M 5.26; SD 2.09)
- ( ) 160. Conducts faculty meetings.  
1 2 3 4 5 6 7 (M 6.37; SD 1.12)
- ( ) 161. Evaluates, along with teachers, to determine whether organizational goals have been met.  
1 2 3 4 5 6 7 (M 5.74; SD 1.83)



- ( ) 162. Provides funds for additional teacher training to correct weaknesses.  
1 2 3 4 5 6 7 (M 5.22; SD 1.58)
- ( ) 163. Fails to provide feedback and ignores the needs of weak teachers.  
1 2 3 4 5 6 7 (M 3.04; SD 1.58)
- ( ) 164. Always refers back to his teaching experience.  
1 2 3 4 5 6 7 (M 5.56; SD 1.53)
- ( ) 165. Demands weekly lesson plans.  
1 2 3 4 5 6 7 (M 2.33; SD .78)
- ( ) 166. Demands a substitute folder be <sup>kept</sup> and updated.  
1 2 3 4 5 6 7 (M 5.26; SD 1.66)
- ( ) 167. Works with teachers on school accreditation.  
1 2 3 4 5 6 7 (M 2.73; SD 1.56)
- ( ) 168. Sets policy.  
1 2 3 4 5 6 7 (M 5.52; SD 1.70)
- ( ) 169. Interprets policy.  
1 2 3 4 5 6 7 (M 2.78; SD 1.97)
- ( ) 170. Enforces policy.  
1 2 3 4 5 6 7 (M 6.41; SD .75)
- ( ) 171. Rarely modifies policy.  
1 2 3 4 5 6 7 (M 3.42; SD 2.04)
- ( ) 172. Inconsistent in enforcing policy.  
1 2 3 4 5 6 7 (M 6.19; SD 1.33)
- ( ) 173. Strong supporter of county/city policy--unit wide.  
1 2 3 4 5 6 7 (M 2.78; SD 1.60)

- ( ) 174. Listens to ideas of others and weighs them.  
 1 2 3 4 5 6 7 (M 4.30; SD 2.30)
- ( ) 175. Avoids decision-making.  
 1 2 3 4 5 6 7 (M 2.96; SD 1.93)
- ( ) 176. Makes all decisions himself.  
 1 2 3 4 5 6 7 (M 6.37; SD .84)
- ( ) 177. Serves as the final authority in decision-making.  
 1 2 3 4 5 6 7 (M 3.30; SD 1.94)
- ( ) 178. Shares decision-making with subordinates, if allowable.  
 1 2 3 4 5 6 7 (M 5.85; SD 1.26)
- ( ) 179. Sets up committees.  
 1 2 3 4 5 6 7 (M 2.89; SD 2.15)
- ( ) 180. Develops faculty handbook.  
 1 2 3 4 5 6 7 (M 6.59; SD .80)
- ( ) 181. Disciplines teachers.  
 1 2 3 4 5 6 7 (M 3.12; SD 1.51)
- ( ) 182. Checks on when teachers arrive at school and when they leave.  
 1 2 3 4 5 6 7 (M 5.62; SD 1.02)
- ( ) 183. Takes roll at faculty meeting.  
 1 2 3 4 5 6 7 (M 3.46; SD 1.63)
- ( ) 184. Hands out rewards and sactions . . . teachers.  
 1 2 3 4 5 6 7 (M 6.12; SD .91)
- ( ) 185. Sets up morning and afternoon break for teachers and students.  
 1 2 3 4 5 6 7 (M 2.24; SD 1.48)

- ( ) 186. Sets up duties for teachers--break, lunch, bus, etc.  
 1 2 3 4 5 6 7 (M 6.27; SD .96)
- ( ) 187. Disciplines students.  
 1 2 3 4 5 6 7 (M 3.56; SD 1.66)
- ( ) 188. Hits students.  
 1 2 3 4 5 6 7 (M 5.96; SD 1.11)
- ( ) 189. Suspends and expels students.  
 1 2 3 4 5 6 7 (M 2.58; SD 1.63)
- ( ) 190. Goes to court.  
 1 2 3 4 5 6 7 (M 6.50; SD .65)
- ( ) 191. Deals with law enforcement officers.  
 1 2 3 4 5 6 7 (M 3.46; SD 1.53)
- ( ) 192. Handles lawsuits.  
 1 2 3 4 5 6 7 (M 6.31; SD 1.05)
- ( ) 193. Fills out reports.  
 1 2 3 4 5 6 7 (M 3.35; SD 2.00)
- ( ) 194. Loads school buses.  
 1 2 3 4 5 6 7 (M 5.12; SD 1.66)
- ( ) 195. Gives reports.  
 1 2 3 4 5 6 7 (M 3.19; SD 2.23)
- ( ) 196. Develops transportation routes.  
 1 2 3 4 5 6 7 (M 5.58; SD 1.47)
- ( ) 197. Supports the cafeteria staff.  
 1 2 3 4 5 6 7 (M 3.23; SD 1.24)
- ( ) 198. Meets with salesmen.  
 1 2 3 4 5 6 7 (M 5.89; SD .99)

- ( ) 199. Conducts school sales.  
1 2 3 4 5 6 7 (M 2.42; SD 2.10)
- ( ) 200. Conducts inventory.  
1 2 3 4 5 6 7 (M 6.50; SD .76)
- ( ) 201. Plan daily schedule.  
1 2 3 4 5 6 7 (M 3.00; SD 1.53)
- ( ) 202. Sets yearly calendar for local school.  
1 2 3 4 5 6 7 (M 1.58; SD 1.03)
- ( ) 203. Sets teacher working hours.  
1 2 3 4 5 6 7 (M 3.27; SD 1.12)
- ( ) 204. Assign extra-curricular duties (clubs).  
1 2 3 4 5 6 7 (M 4.58; SD 1.65)
- ( ) 205. Sets up faculty and parent advisory committee.  
1 2 3 4 5 6 7 (M 2.58; SD 1.63)
- ( ) 206. Organize and maintain parental volunteer program.  
1 2 3 4 5 6 7 (M 5.19; SD 1.63)
- ( ) 207. Sets morning and afternoon break for faculty and students.  
1 2 3 4 5 6 7 (M 2.42; SD 1.27)
- ( ) 208. Meets federal, state and local guidelines.  
1 2 3 4 5 6 7 (M 2.81; SD 1.55)
- ( ) 209. Holds fire drills.  
1 2 3 4 5 6 7 (M 2.92; SD 1.26)
- ( ) 210. Apply for federal funding.  
1 2 3 4 5 6 7 (M 3.351 SD 1.60)
- ( ) 211. Makes out the budget.  
1 2 3 4 5 6 7 (M 3.04; SD 1.37)

- ( ) 212. Helps to set priorities in school spending.  
           1      2      3      4      5      6      7 (M 5.11; SD 1.31)
- ( ) 213. Helps to set priorities in school spending.  
           1      2      3      4      5      6      7 (M 2.96; SD 1.56)
- ( ) 214. Collects student fees.  
           1      2      3      4      5      6      7 (M 1.56; SD .80)
- ( ) 215. Presides over graduation.  
           1      2      3      4      5      6      7 (M 2.33; SD 1.11)
- ( ) 216. Assigns student teachers.  
           1      2      3      4      5      6      7 (M 1.59; SD 1.05)
- ( ) 217. Serve on accreditation teams.  
           1      2      3      4      5      6      7 (M 3.89; SD 1.72)
- ( ) 218. Works for and the maintenance of school accreditation.  
           1      2      3      4      5      6      7 (M 1.93; SD 1.52)
- ( ) 219. Provides substitute teachers.  
           1      2      3      4      5      6      7 (M 2.48; SD 1.55)
- ( ) 220. Approves field trips.  
           1      2      3      4      5      6      7 (M 2.11; SD 1.40)
- ( ) 221. Calls special student assemblies.  
           1      2      3      4      5      6      7 (M 2.88; SD 1.40)
- ( ) 222. Select department chairmen and/or head teachers.  
           1      2      3      4      5      6      7 (M 1.77; SD .95)
- ( ) 223. Approve transfer of students.  
           1      2      3      4      5      6      7 (M 3.08; SD 1.65)
- ( ) 224. Admit new students.  
           1      2      3      4      5      6      7 (M 6.31; SD 1.05)

- ( ) 225. Hires custodial staff.  
 1 2 3 4 5 6 7 (M 3.00; SD 1.60)
- ( ) 226. Orders supplies for custodial work.  
 1 2 3 4 5 6 7 (M 2.04; SD 1.34)
- ( ) 227. Supervises custodial staff.  
 1 2 3 4 5 6 7 (M 3.15; SD 1.57)
- ( ) 228. Inspects school facilities.  
 1 2 3 4 5 6 7 (M 6.08; SD 1.20)
- ( ) 229. Locks doors.  
 1 2 3 4 5 6 7 (M 4.04; SD 2.14)
- ( ) 230. Seeks answers to conflict causing policy or other  
 problems and sets about to change it.  
 1 2 3 4 5 6 7 (M 4.58; SD 1.47)
- ( ) 231. Talks on the telephone.  
 1 2 3 4 5 6 7 (M 3.04; SD 1.68)
- ( ) 232. Listens and gives advice.  
 1 2 3 4 5 6 7 (M 4.09; SD 2.09)
- ( ) 233. Arrange faculty social events.  
 1 2 3 4 5 6 7 (M 4.12; SD 1.92)
- ( ) 234. Set up orientation meetings with parents and cit-  
 izens concerning new programs for the school.  
 1 2 3 4 5 6 7 (M 5.62; SD 1.36)
- ( ) 235. Smiles and demonstrates a vivacious spirit for  
 both the school and education and children.  
 1 2 3 4 5 6 7 (M 4.85; SD 2.17)
- ( ) 236. Builds in provision for change.  
 1 2 3 4 5 6 7 (M 5.77; SD 1.11)

- ( ) 237. Builds in a grievance procedure.  
 1 2 3 4 5 6 7 (M 3.92; SD 2.00)
- ( ) 238. Talks with parents.  
 1 2 3 4 5 6 7 (M 6.16; SD .94)
- ( ) 239. Talks with students.  
 1 2 3 4 5 6 7 (M 4.67; SD 1.89)
- ( ) 240. Walks over the campus and carries on informal talk.  
 1 2 3 4 5 6 7 (M 5.31; SD 1.41)
- ( ) 241. Demonstrates his human side by showing emotion.  
 1 2 3 4 5 6 7 (M 4.32; SD 1.59)
- ( ) 242. Encourages the community to come into the school  
 and aid.  
 1 2 3 4 5 6 7 (M 6.14; SD 1.21)
- ( ) 243. Distributes praise and sanctions.  
 1 2 3 4 5 6 7 (M 5.25; SD 1.48)
- ( ) 244. Conducts P.T.A.  
 1 2 3 4 5 6 7 (M 6.00; SD 1.41)
- ( ) 245. Addresses P.T.A.  
 1 2 3 4 5 6 7 (M 5.18; SD 1.44)
- ( ) 246. Serves in supporting role for P.T.A.  
 1 2 3 4 5 6 7 (M 5.68; SD 1.61)
- ( ) 247. Establishes a P.T.A.  
 1 2 3 4 5 6 7 (M 4.75; SD 1.62)
- ( ) 248. Attends school board meetings.  
 1 2 3 4 5 6 7 (M 5.79; SD 1.40)
- ( ) 249. Attends principal meetings.  
 1 2 3 4 5 6 7 (M 4.04; SD 1.80)

- ( ) 250. Takes issues to school board meetings.  
1 2 3 4 5 6 7 (M 5.32; SD 1.77)
- ( ) 251. Holds monthly meetings with department chairmen.  
1 2 3 4 5 6 7 (M 3.81; SD 1.66)
- ( ) 252. Talks with parents concerning student-teacher conflicts.  
1 2 3 4 5 6 7 (M 5.82; SD 1.68)
- ( ) 253. Listens to teacher's personal problems.  
1 2 3 4 5 6 7 (M 3.93; SD 1.98)
- ( ) 254. Deals with conflict in student organizations or groups.  
1 2 3 4 5 6 7 (M 5.93; SD 1.36)
- ( ) 255. Talks with custodial staff.  
1 2 3 4 5 6 7 (M 1.82; SD .77)
- ( ) 256. Writes letters.  
1 2 3 4 5 6 7 (M 4.61; SD 1.64)
- ( ) 257. Belongs to community organizations.  
1 2 3 4 5 6 7 (M 2.00; SD 1.70)
- ( ) 258. Puts out a faculty newsletter.  
1 2 3 4 5 6 7 (M 6.18; SD .91)
- ( ) 259. Uses the mass media to inform the public about the school.  
1 2 3 4 5 6 7 (M 1.82; SD 1.42)
- ( ) 260. Informs the central office of school needs.  
1 2 3 4 5 6 7 (M 6.39; SD 1.13)
- ( ) 261. Sends out memos.  
1 2 3 4 5 6 7 (M 1.93; SD 1.47)



- ( ) 262. Communicates the results of teacher evaluation.  
1 2 3 4 5 6 7 (M 5.44; SD 1.31)
- ( ) 263. Sends notices home to parents.  
1 2 3 4 5 6 7 (M 2.26; SD 1.79)
- ( ) 264. Sends messages by telling one or two people.  
1 2 3 4 5 6 7 (M 6.04; SD 1.26)
- ( ) 265. Makes daily announcements over the intercom.  
1 2 3 4 5 6 7 (M 3.14; SD 1.98)
- ( ) 266. Sets up luncheons with teachers.  
1 2 3 4 5 6 7 (M 5.93; SD 1.27)
- ( ) 267. Asks pertinent questions.  
1 2 3 4 5 6 7 (M 4.04; SD 2.01)
- ( ) 268. He handles conflict according to his mood.  
1 2 3 4 5 6 7 (M 5.07; SD 1.72)
- ( ) 269. He ignores conflict.  
1 2 3 4 5 6 7 (M 2.57; SD 1.67)
- ( ) 270. Ignores people who generally are involved in  
conflict.  
1 2 3 4 5 6 7 (M 5.82; SD 1.22)
- ( ) 271. States that conflict has no value.  
1 2 3 4 5 6 7 (M 2.79; SD 1.89)
- ( ) 272. Listens to all sides in a conflict situation.  
1 2 3 4 5 6 7 (M 5.04; SD 1.77)
- ( ) 273. Makes decisions only after hearing all sides.  
1 2 3 4 5 6 7 (M 2.56; SD 1.83)
- ( ) 274. Listens and points out pertinent issues that may  
be the cause of the conflict.  
1 2 3 4 5 6 7 (M 4.33; SD 1.64)

- ( ) 275. Seeks the opinions of others.  
 1 2 3 4 5 6 7 (M 1.96; SD 1.35)
- ( ) 276. States that he is open-minded.  
 1 2 3 4 5 6 7 (M 5.43; SD 1.57)
- ( ) 277. Uses punitive measures--taking away privileges,  
 makes threats.  
 1 2 3 4 5 6 7 (M 2.00; SD 1.79)
- ( ) 278. Demonstrates his authority through dogmatic deci-  
 sions.  
 1 2 3 4 5 6 7 (M 5.89; SD 1.23)
- ( ) 279. Recommends the transfer of teachers who cause  
 conflict.  
 1 2 3 4 5 6 7 (M 2.25; SD 1.51)
- ( ) 280. Discusses differences of opinion with people.  
 1 2 3 4 5 6 7 (M 4.11; SD 1.77)
- ( ) 281. Allows the faculty to reach a consensus and sup-  
 ports their position.  
 1 2 3 4 5 6 7 (M 2.07; SD 1.63)
- ( ) 282. States his opinion in any conflict.  
 1 2 3 4 5 6 7 (M 4.82; SD 1.54)
- ( ) 283. Differentiates between teachers.  
 1 2 3 4 5 6 7 (M 3.07; SD 2.04)
- ( ) 284. Discusses the value of conflict.  
 1 2 3 4 5 6 7 (M 4.96; SD 1.73)
- ( ) 285. Accepts responsibility for actions taken at school.  
 1 2 3 4 5 6 7 (M 2.25; SD 1.30)
- ( ) 286. Meets with student groups--student council, radical  
 groups, etc.  
 1 2 3 4 5 6 7 (M 3.04; SD 1.84)

- ( ) 287. Supports teachers in discipline matters.  
1 2 3 4 5 6 7 (M 2.00; SD .943)
- ( ) 288. Demonstrates favoritism among students.  
1 2 3 4 5 6 7 (M 5.25; SD 1.32)
- ( ) 289. Is a good listener.  
1 2 3 4 5 6 7 (M 1.82; SD .40)
- ( ) 290. Sets tone of school and climate through the choice of administrative style, overall personal attitude, respect for others and their opinions.  
1 2 3 4 5 6 7 (M 4.48; SD 1.83)
- ( ) 291. Does nothing.  
1 2 3 4 5 6 7 (M 1.93; SD .72)
- ( ) 292. Shares information he possesses and articles he has read.  
1 2 3 4 5 6 7 (M 5.36; SD 1.37)
- ( ) 293. Uses teachers' work days for workshops.  
1 2 3 4 5 6 7 (M 1.82; SD .48)
- ( ) 294. Makes positive statements in an effort to encourage positive thinking.  
1 2 3 4 5 6 7 (M 5.89; SD 1.45)
- ( ) 295. Supervises training of beginning administrators.  
1 2 3 4 5 6 7 (M 2.79; SD 1.45)
- ( ) 296. Keeps up-to-date on issues and where materials may be obtained.  
1 2 3 4 5 6 7 (M 4.79; SD 1.73)
- ( ) 297. Reports on his professional meetings.  
1 2 3 4 5 6 7 (M 2.21; SD 1.55)
- ( ) 298. Sets up and encourages use of professional library.  
1 2 3 4 5 6 7 (M 4.59; SD 1.78)

- ( ) 299. Brings in outside administrators to see school and its actual operation.  
1 2 3 4 5 6 7 (M 3.11; SD 2.01)
- ( ) 300. Encourages and initiates personal goal setting for his teachers.  
1 2 3 4 5 6 7 (M 6.36; SD .73)
- ( ) 301. Questions goals set, how setting about to obtain them and their value.  
1 2 3 4 5 6 7 (M 3.04; SD 2.43)
- ( ) 302. Supports teachers willing to try innovative teaching methods.  
1 2 3 4 5 6 7 (M 5.64; SD 1.39)
- ( ) 303. Provides funds and substitutes so faculty can attend professional meetings and workshops.  
1 2 3 4 5 6 7 (M 2.14; SD 1.08)
- ( ) 304. Speaks to civic and community organizations.  
1 2 3 4 5 6 7 (M 2.07; SD 1.51)
- ( ) 305. Conducts workshops, classes, etc.  
1 2 3 4 5 6 7 (M 2.43; SD 1.45)
- ( ) 306. Takes faculty concerns to administration of unit.  
1 2 3 4 5 6 7 (M 1.68; SD 1.22)
- ( ) 307. Meets with parents.  
1 2 3 4 5 6 7 (M 2.64; SD 1.62)
- ( ) 308. Discusses parental concerns.  
1 2 3 4 5 6 7 (M 1.00; SD 0.0)
- ( ) 309. Answers questions put to him by parents.  
1 2 3 4 5 6 7 (M 1.85; SD .95)
- ( ) 310. Organizes a parents booster club.  
1 2 3 4 5 6 7 (M 2.46; SD 1.62)

- ( ) 311. Encourages parental observation of classes.  
 1 2 3 4 5 6 7 (M 2.21; SD 1.29)
- ( ) 312. Encourages parental involvement in school.  
 1 2 3 4 5 6 7 (M 1.57; SD .79)
- ( ) 313. Teaches a class for parents to foster better understanding of children.  
 1 2 3 4 5 6 7 (M 2.59; SD 1.69)
- ( ) 314. Meets with students.  
 1 2 3 4 5 6 7 (M 2.50; SD 1.32)
- ( ) 315. Supports extra-curricular activities.  
 1 2 3 4 5 6 7 (M 2.36; SD 1.37)
- ( ) 316. Knows students by name.  
 1 2 3 4 5 6 7 (M 5.64; SD 1.22)
- ( ) 317. Knows individual achievement of each student, even areas other than academic.  
 1 2 3 4 5 6 7 (M 2.50; SD 1.55)
- ( ) 318. Actively participates in programs, plays, etc. with students.  
 1 2 3 4 5 6 7 (M 5.68; SD 1.25)
- ( ) 319. Ignores discipline problems.  
 1 2 3 4 5 6 7 (M 2.18; SD 1.09)
- ( ) 320. Talks with problem students.  
 1 2 3 4 5 6 7 (M 5.79; SD 1.17)
- ( ) 321. Develops a student handbook.  
 1 2 3 4 5 6 7 (M 2.54; SD 1.62)
- ( ) 322. Counsels with students.  
 1 2 3 4 5 6 7 (M 6.25; SD .75)

- ( ) 323. Vocalizes concern for an effective school.  
 1 2 3 4 5 6 7 (M 3.71; SD 1.92)
- ( ) 324. Answers questions put to him by parents, students, teachers, and citizens.  
 1 2 3 4 5 6 7 (M 5.29; SD 1.90)
- ( ) 325. Responds in a cordial manner to all people.  
 1 2 3 4 5 6 7 (M 3.21; SD 1.85)
- ( ) 326. Demonstrates a willingness to help by listening or lending a helping hand.  
 1 2 3 4 5 6 7 (M 1.46; SD .96)
- ( ) 327. Coordinates community activities.  
 1 2 3 4 5 6 7 (M 3.50; SD 1.99)
- ( ) 328. Serves as public relations director.  
 1 2 3 4 5 6 7 (M 2.78; SD 1.60)
- ( ) 329. Sells tickets at school and community functions.  
 1 2 3 4 5 6 7 (M 2.07; SD 1.56)
- ( ) 330. Speaks at clubs and civic organizations.  
 1 2 3 4 5 6 7 (M 3.04; SD 1.77)
- ( ) 331. Works on higher education degree.  
 1 2 3 4 5 6 7 (M 1.93; SD 1.18)
- ( ) 332. Takes graduate courses.  
 1 2 3 4 5 6 7 (M 4.18; SD 1.70)
- ( ) 333. Sets up workshops for others in profession.  
 1 2 3 4 5 6 7 (M 2.39; SD 1.85)
- ( ) 334. Attends professional workshops, meetings and conventions.  
 1 2 3 4 5 6 7 (M 6.14; SD .80)

- ( ) 335. Joins his professional organizations.  
1 2 3 4 5 6 7 (M 1.89; SD .50)
- ( ) 336. Seeks leadership positions in his organizations.  
1 2 3 4 5 6 7 (M 5.25; SD 1.35)
- ( ) 337. Reads recent research done in education and professional journals.  
1 2 3 4 5 6 7 (M 2.50; SD .75)
- ( ) 338. Sets up professional library for teachers.  
1 2 3 4 5 6 7 (M 5.61; SD 1.13)
- ( ) 339. Speaks at meetings and conducts workshops for administrators, etc.  
1 2 3 4 5 6 7 (M 2.07; SD .72)
- ( ) 340. Gives speeches at professional gatherings.  
1 2 3 4 5 6 7 (M 5.71; SD 1.18)
- ( ) 341. Writes articles for professional journals.  
1 2 3 4 5 6 7 (M 1.96; SD .58)
- ( ) 342. Encourages the active participation of others in professional organizations.  
1 2 3 4 5 6 7 (M 3.32; SD 1.39)
- ( ) 343. Does nothing professionally.  
1 2 3 4 5 6 7 (M 2.04; SD .94)

APPENDIX G  
INSTRUMENT FOR FIRST FIELD TESTING



## Job Description

### Introduction to Instrument

New societal forces are changing the roles that the principal traditionally has played and are making obsolete many of the ground rules within which he traditionally has operated. This makes his job more difficult, but presents new opportunities for growth and leadership. The way is open for an altered, vigorous principalship to emerge.

Since this is a period of transition, it is more important than ever that the principal retain his authority within his school as he is in the best position to keep the school able in the face of possible disruptions and to make sure that any changes made are orderly and reasoned.

In North Carolina there are approximately 100 school districts. Each district is headed by a superintendent, one or more associate or assistant superintendents, a board of education, and at least one building principal per school facility. It is to this position that this evaluation instrument is directed.

There are seven basic roles of the school principal with specific job functions under each.

#### I. Educational leader

- A. What does he do related to instruction;
- B. What does he do related to innovative thinking and actions;

- C. What does he do related to building a competent, balanced professionally alert staff;
- D. What does he do related to teacher performance on the basis of cooperatively-determined objectives and criteria;
- E. What does he do related to professional growth of the staff;
- F. What does he do related to overall effectiveness of school;
- G. What does he do related to interpersonal relationships among faculty, students, and administration.

II. An administrator--

- A. What does he do related to policy-making at the building level;
- B. What does he do related to the implementation of policy;
- C. What does he do related to the modification of policy;
- D. What does he do related to broadening the base of his decision-making.

III. An interpretator--a communicator

- A. What does he do related to communication with students, staff, community, central office, board of education, and to his colleagues.

## IV. A conflict mediator--

- A. What does he do related to creating a climate in the school that will make disruptive conflict unnecessary;
- B. What does he do related to permitting differences of opinion to exist without allowing them to disrupt the organization;
- C. What does he do related to realizing conflict will arise as people differ sharply;
- D. What does he do related to using conflict to promote personal and professional growth.

## V. Educator of educators--

- A. What does he do related to serving as a specialist in education;
- B. What does he do related to providing information and direction on developments and trends in education;
- C. What does he do related to demonstrating the elements of good teaching and sharing the insights with teachers;
- D. What does he do related to serving as a resource person;
- E. What does he do related to maintaining the balance needed for desirable innovative curriculum.

## VI. Ombudsman--

- A. What does she do related to providing counsel and assistance for youth;

- B. What does he do related to opening his door to all teachers;
- C. What does he do related to working with parents;
- D. What does he do related to challenging his own school;
- E. What does he do related to standing as a bulwark against impersonalization;
- F. What does he do related to serving as an advocate of the people questioning the very structure and policies he helped create and administer.

VII. A professional--

- A. What does he do related to participating in continuous study and research in his field;
- B. What does he do related to regularly attending and participating in conventions and annual meetings of his professional association;
- C. What does he do related to contributing to programs and seeking leadership positions in these organizations;
- D. What does he do related to contributing to his profession by means of articles and speeches;
- E. What does he do related to sharing his knowledge, understanding and comfort with his peers;
- F. What does he do related to demonstrating knowledge of current professional literature.

Instructions

Rate your principal on each of the following dimensions keeping in mind that 7 indicates highest performance, 1 indicates lowest performance, and 4 indicates average performance.

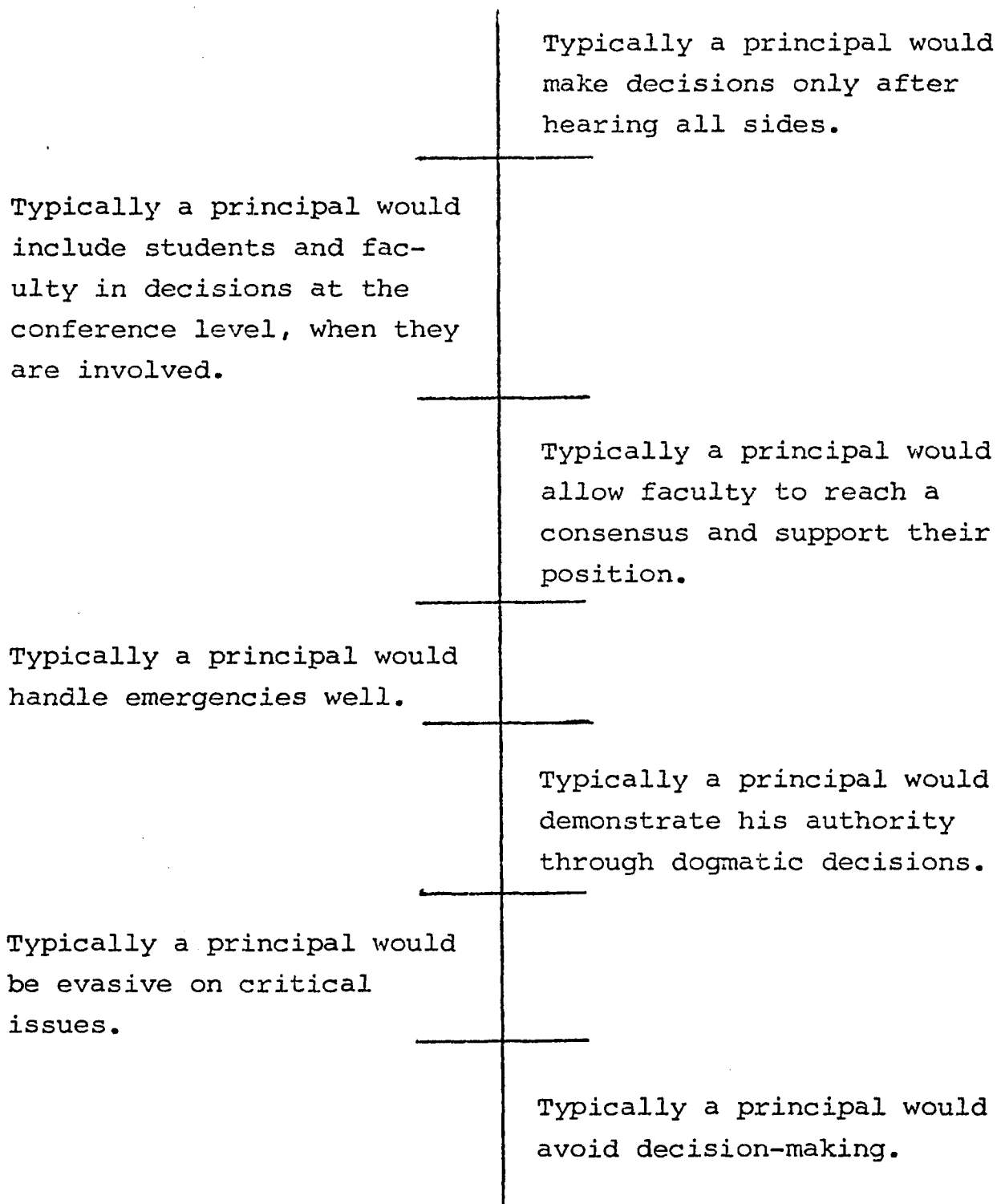


Figure 1.1 BARS for principals for the dimension of decision-making

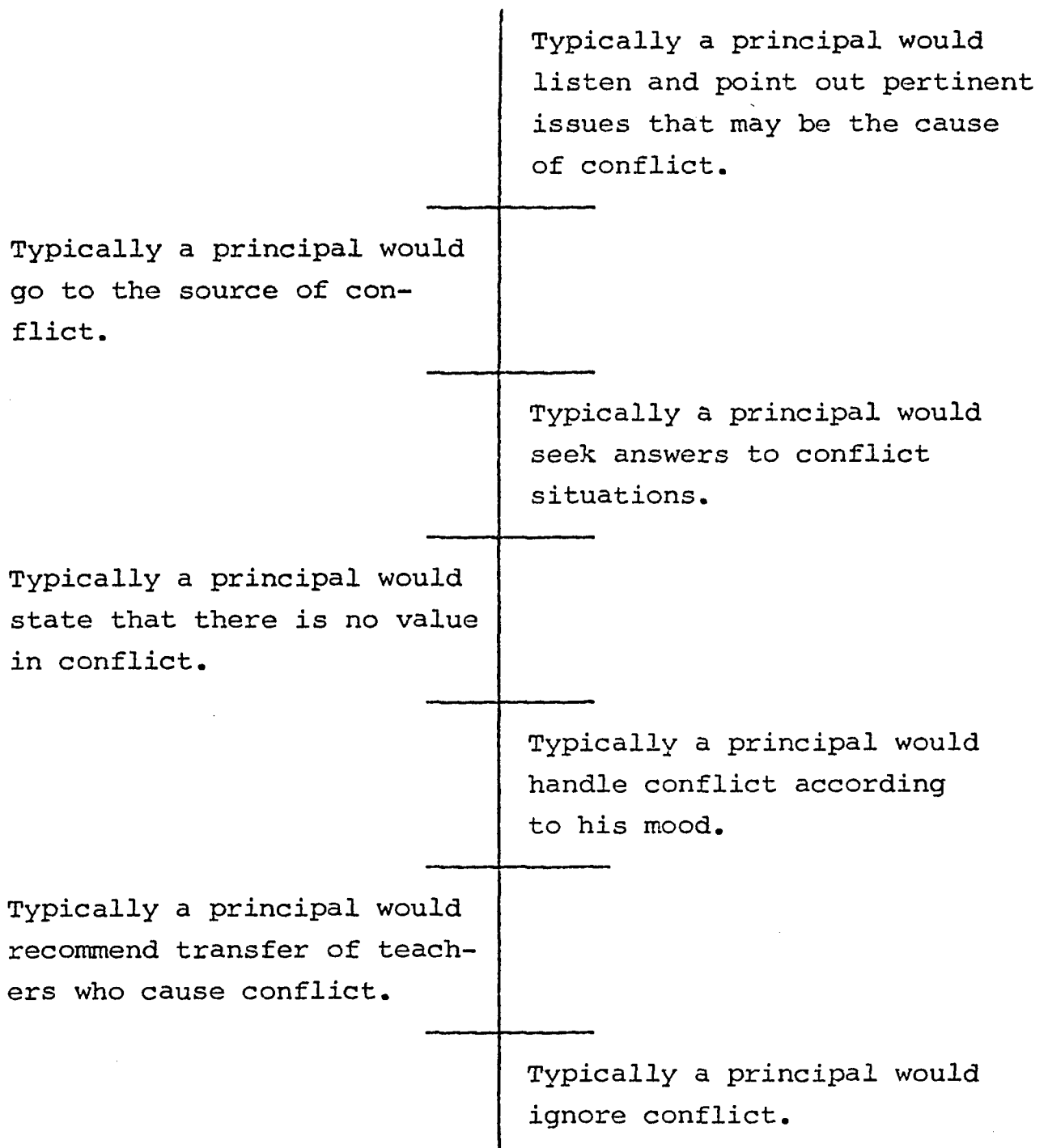


Figure 1.2 BARS for principals for the dimension of handling conflict.

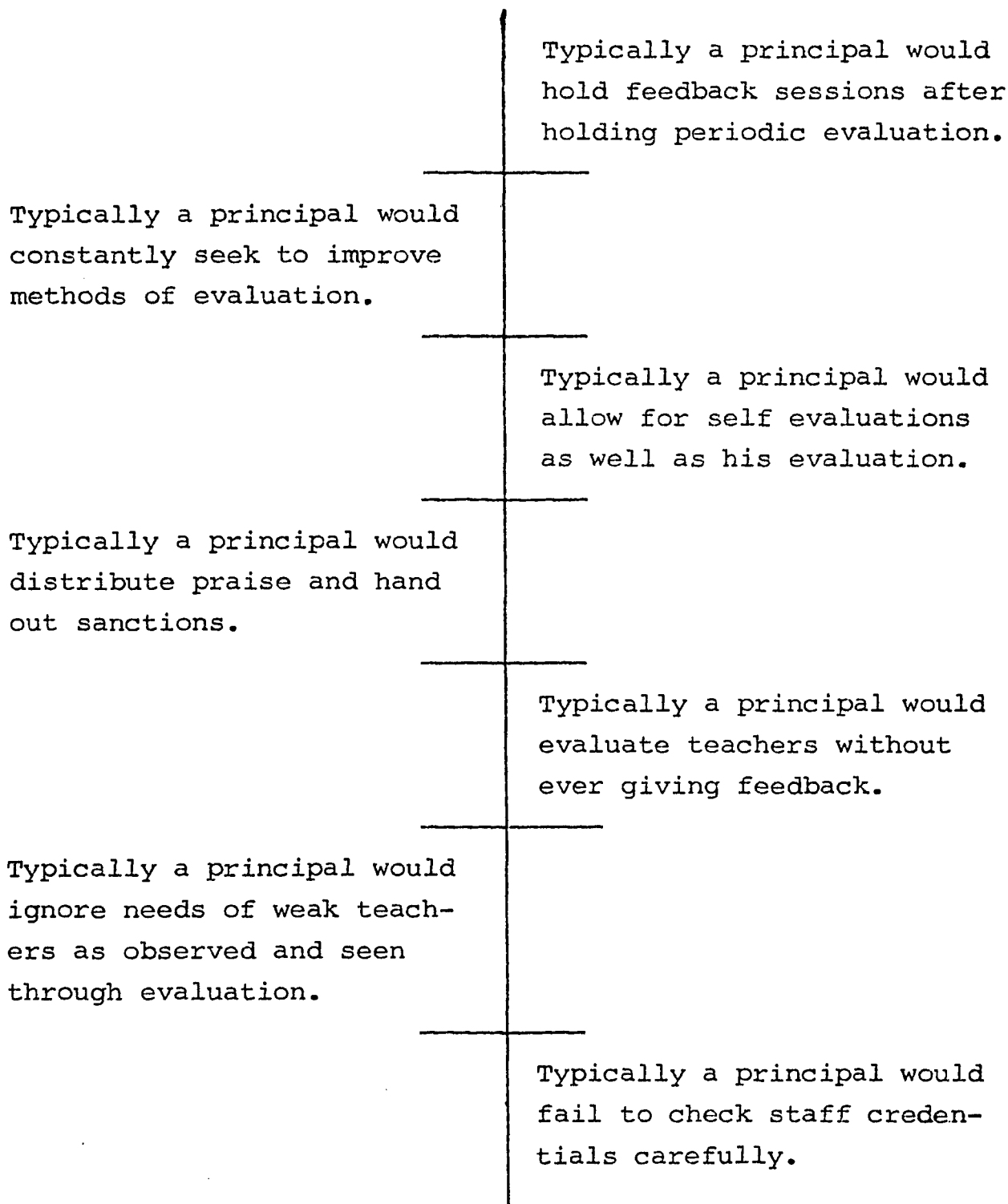


Figure 1.3 BARS for principals for the dimension of teacher evaluation.



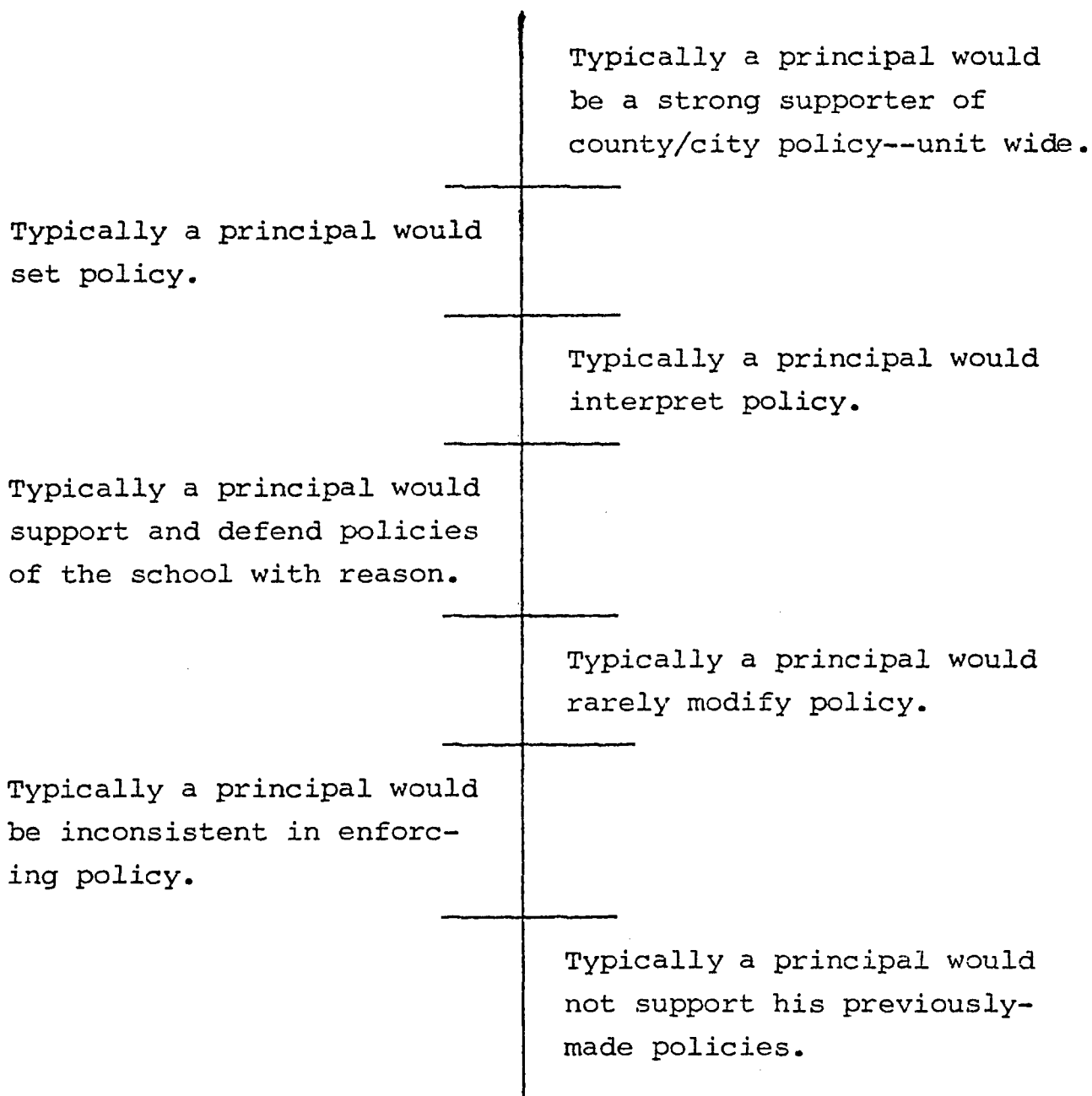


Figure 1.4 BARS for principals for the dimension of policy-making.

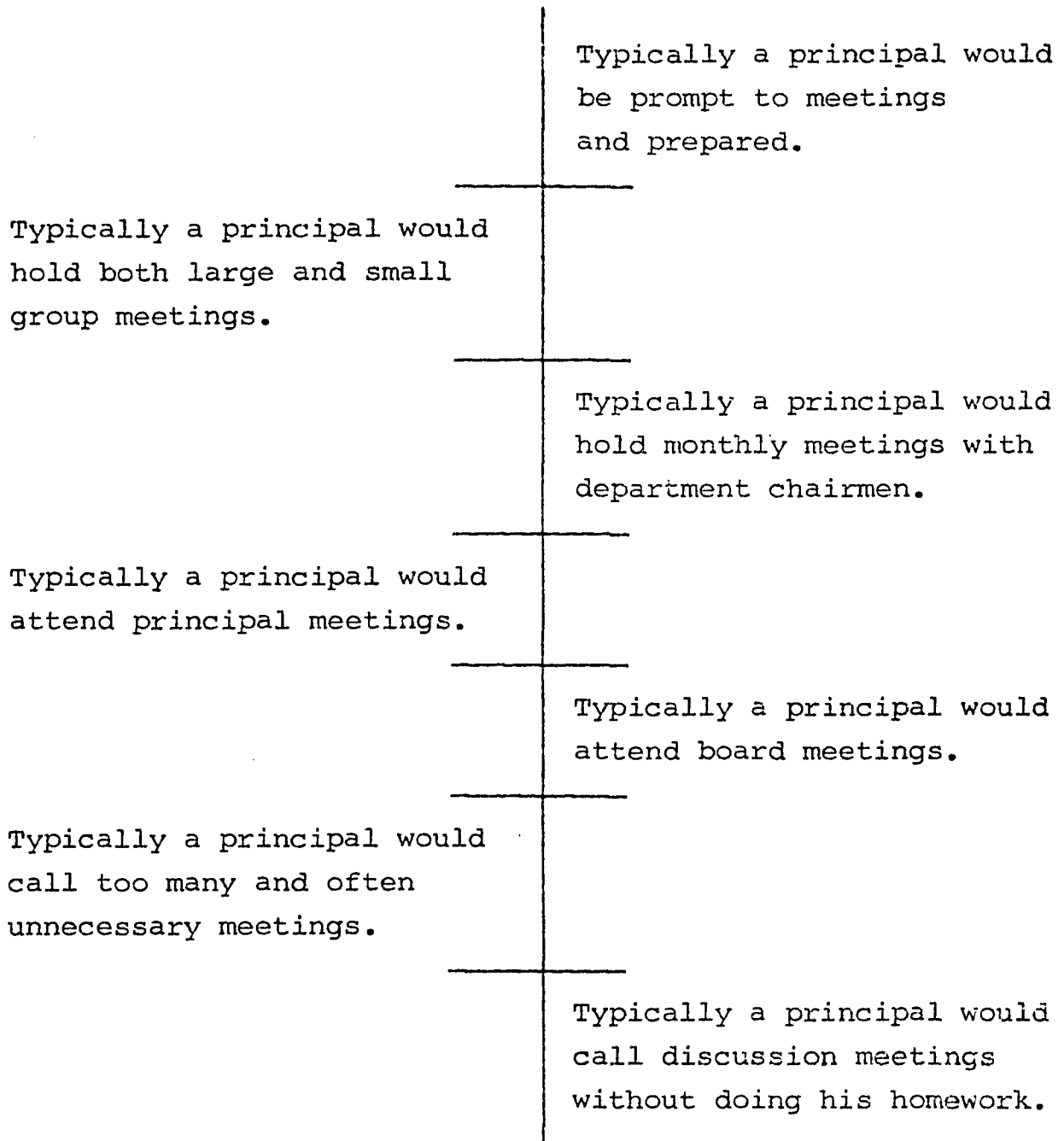


Figure 1.5 BARS for principals for the dimension of meetings.

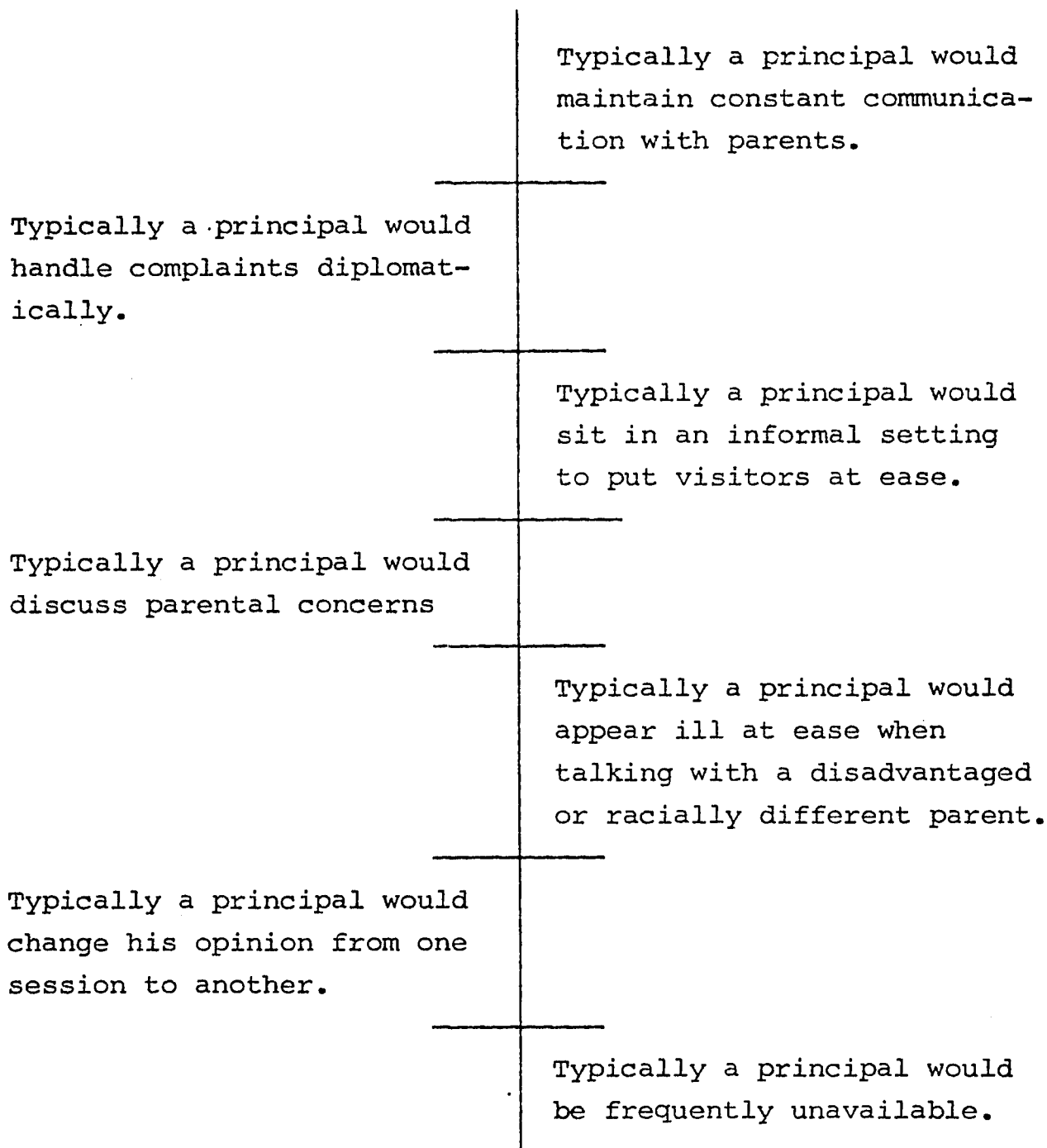


Figure 1.6 BARS for principals for the dimension of dealing with parents.

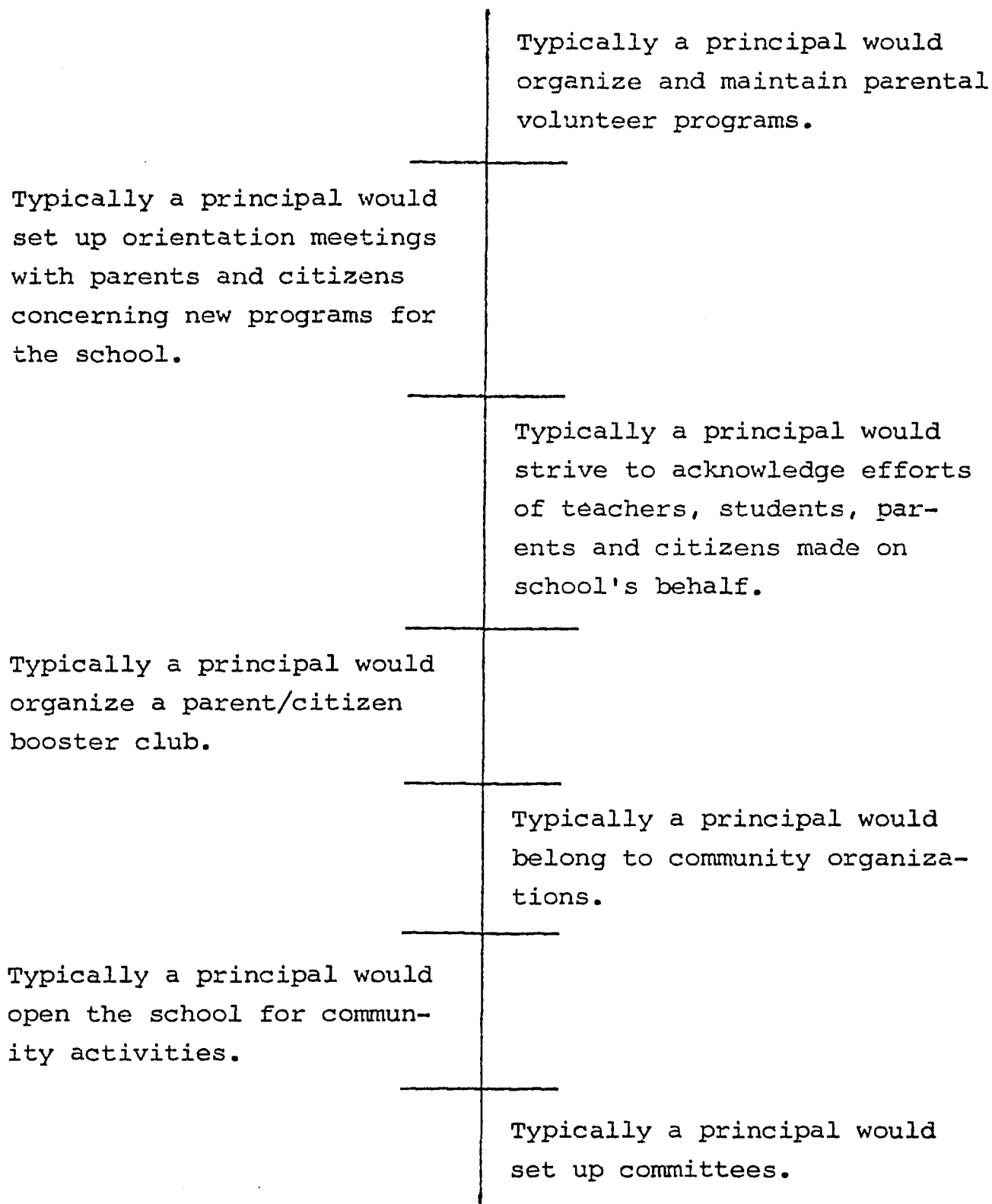


Figure 1.7 BARS for principals for the dimension of involvement in community activities and in involving the community in the school.

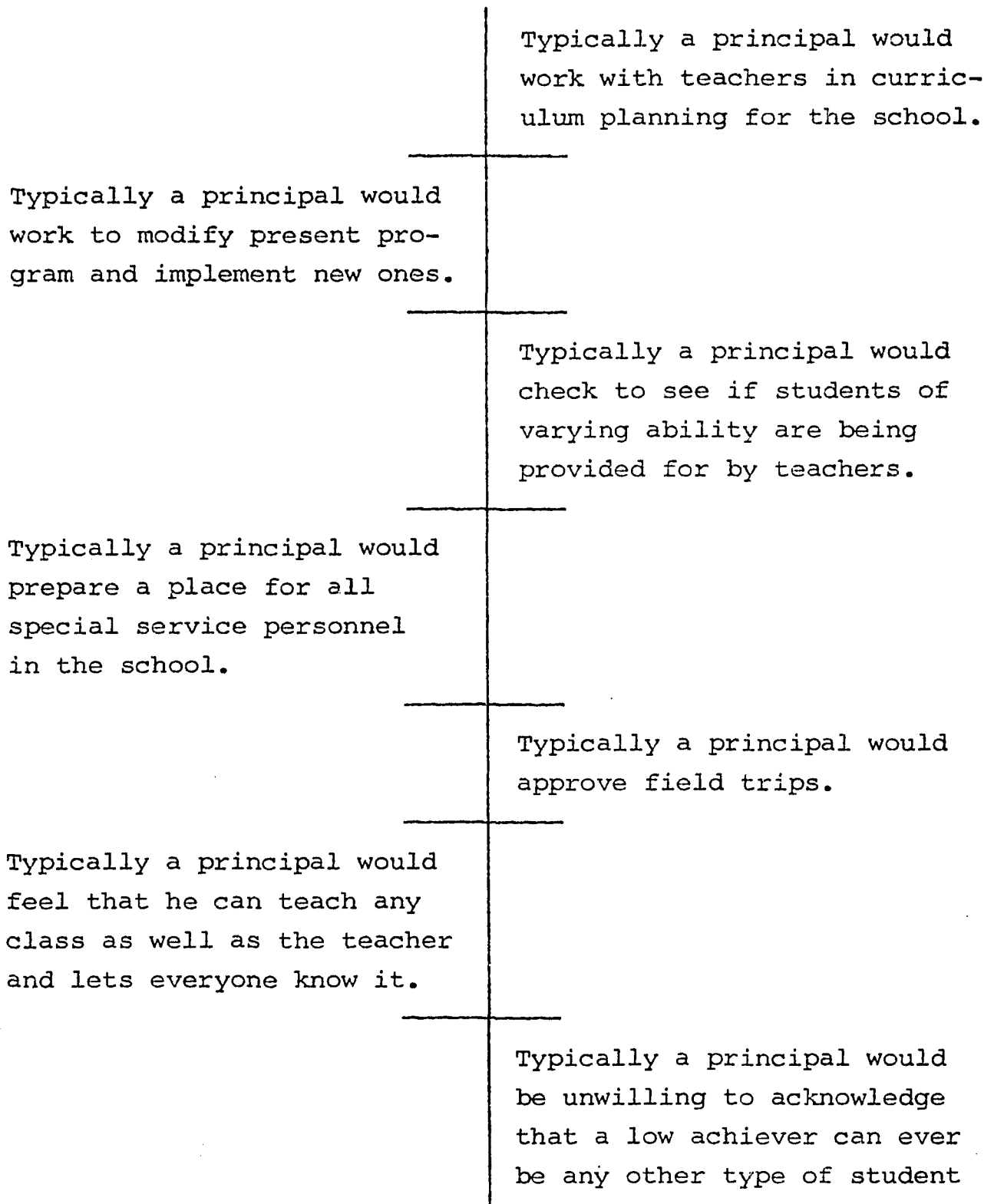


Figure 1.8 BARS for principals for the dimension of curriculum planning.

|   |   |
|---|---|
|   | Typically a principal would set high standards for self and school.   |
| Typically a principal would motivate others by his spirit and obvious enthusiasm.                         |   |
|   | Typically a principal would be fair, but firm.  |
| Typically a principal would demonstrate the ability to say "I don't know" at times or "I made a mistake." |   |
|   | Typically a principal would attend all school functions and encourage other faculty members to do likewise.   |
| Typically a principal would rarely be seen outside his office.  |   |
|   | Typically a principal would embarrass new teachers in the teacher's lounge by quizzing them in front of older teachers or by speaking disparagingly of their teaching skills. |

Figure 1.9 BARS for principals for the dimension of climatizing of school.

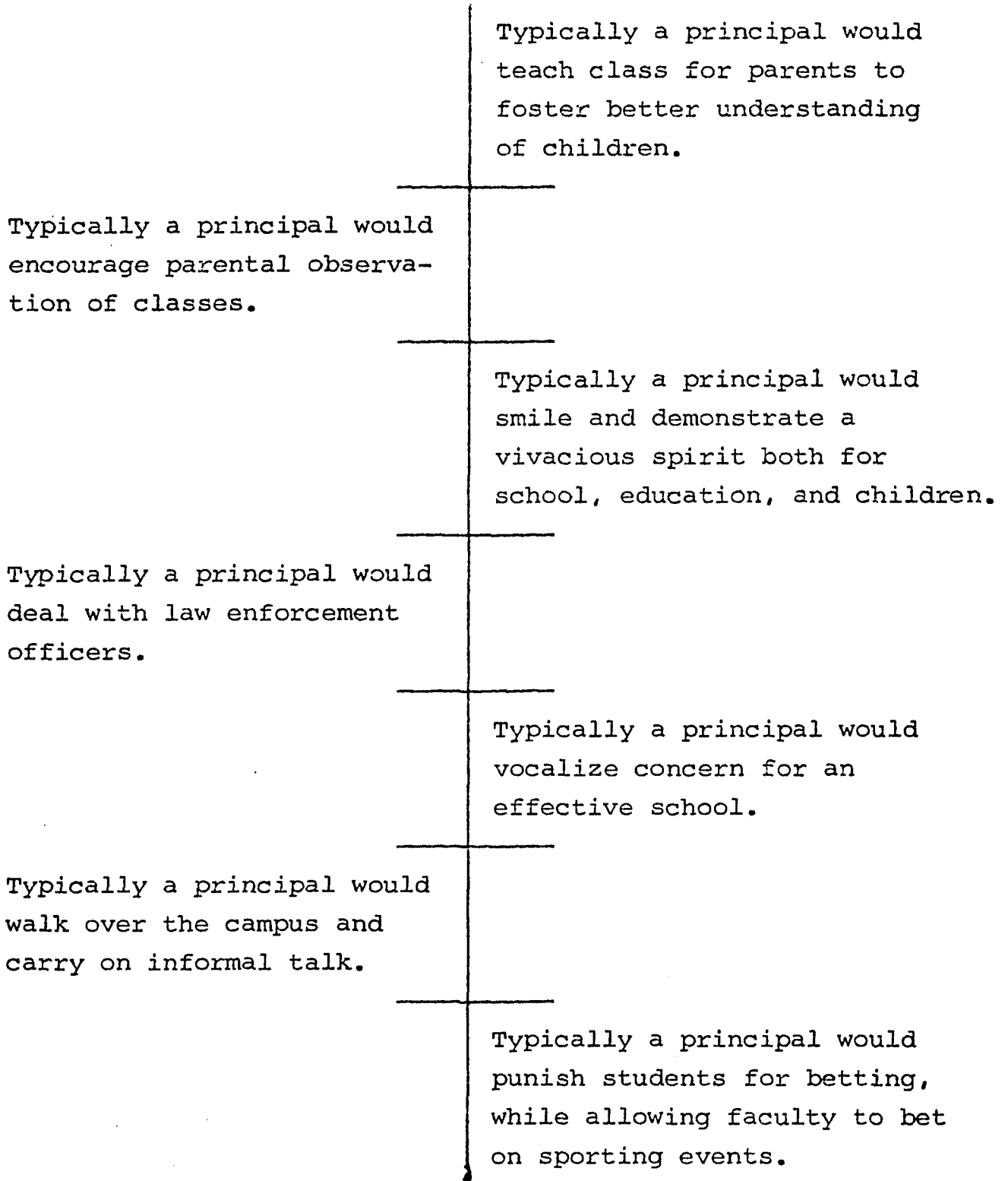


Figure 1.10 BARS for principals for the dimension of ombudsman.

|   |  |
|---|--|
|   | Typically a principal would actively participate in programs with students.  |
| Typically a principal would know students by name.                                    |  |
|   | Typically a principal would provide remedial classes for those needing help in passing the state competency tests. |
| Typically a principal would provide opportunity for standardized testing of students. |  |
|   | Typically a principal would speak above student's heads.   |
| Typically a principal would treat student groups differently.                         |  |
|   | Typically a principal would appear ill at ease when talking with a disadvantaged or racially different student.    |

Figure 1.11 BARS for principals for the dimension of dealing with students.



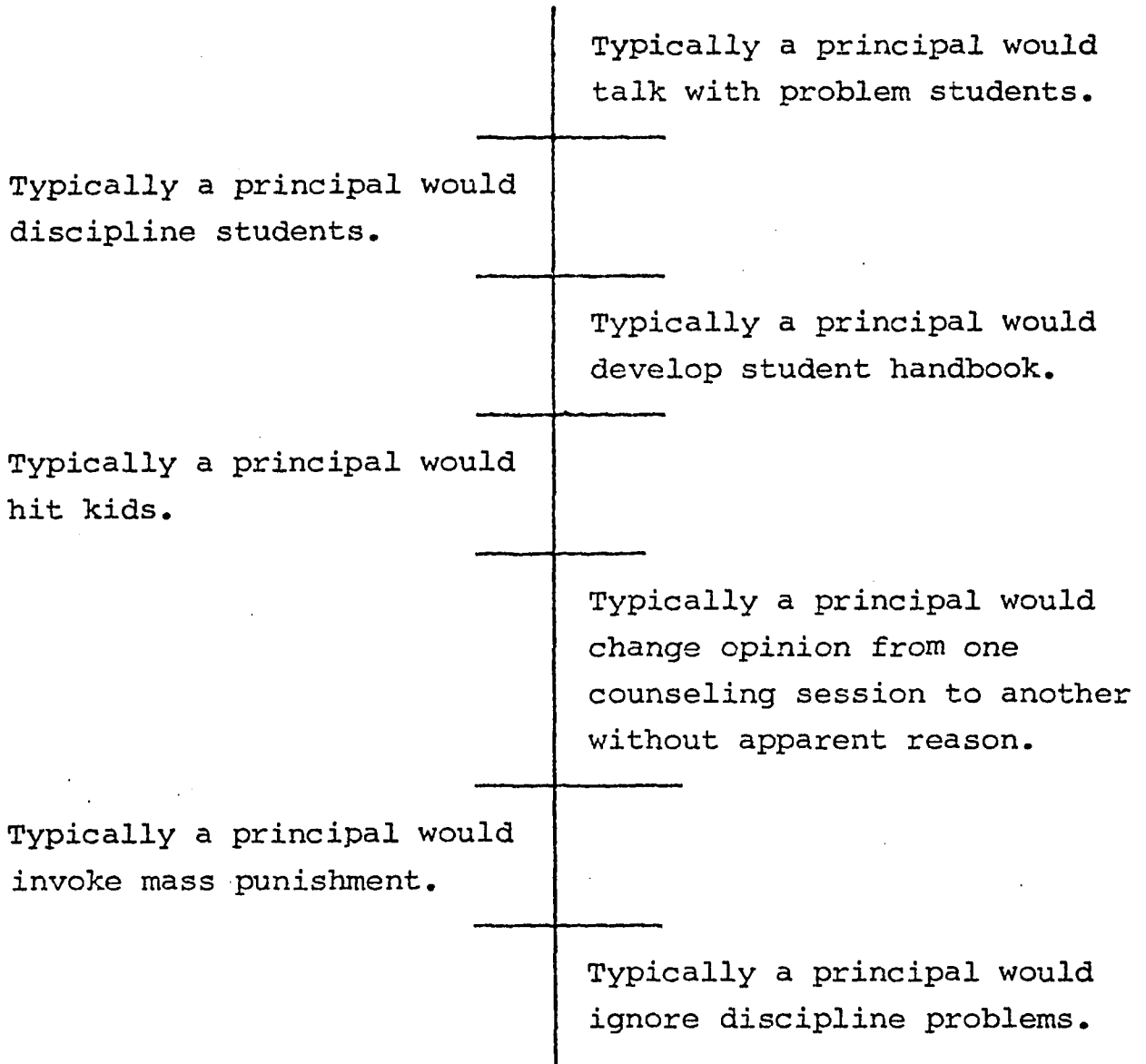


Figure 1.12 BARS for principals for the dimension of discipline.

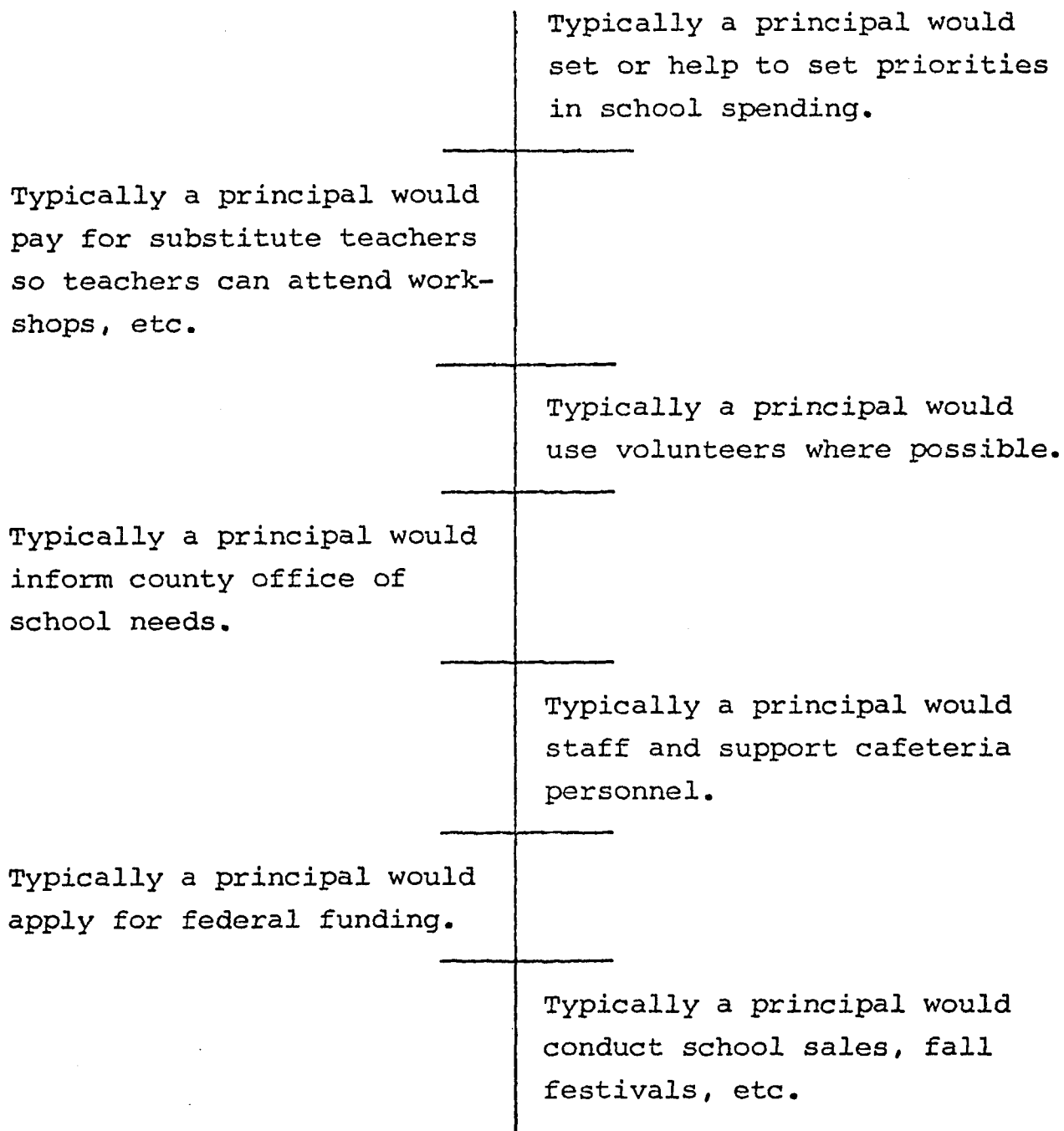


Figure 1.13 BARS for principals for the dimension of budgeting.

|  |   |
|--|---|
|  | Typically a principal would set up staff development programs.                            |
| Typically a principal would take action to remove incompetent teachers.  |   |
|  | Typically a principal would interview and hire teachers.                                  |
| Typically a principal would encourage professional growth through providing teachers access to professional meetings, etc. |   |
|  | Typically a principal would encourage teachers to attend graduate school.                 |
| Typically a principal would not allow teachers to take days off to attend workshops, professional meetings, etc.           |   |
|  | Typically a principal would blame teacher institutions for weak or unsuccessful teachers. |

Figure 1.14 BARS for principals for the dimension of staff development.

Typically a principal would encourage teachers to work together and help each other.

---

Typically a principal would encourage the community to come in the school and aid.

---

Typically a principal would take faculty concerns to school board/superintendent.

---

Typically a principal would give tenured teachers too much deference.

---

Typically a principal would grant personal days grudgingly.

---

Typically a principal would use punitive measures-- taking away privileges, making threats, assigning extra duties.

---

Typically a principal would visit homes of single female teachers.

Figure 1.15 BARS for principals for the dimension of interpersonal relations.

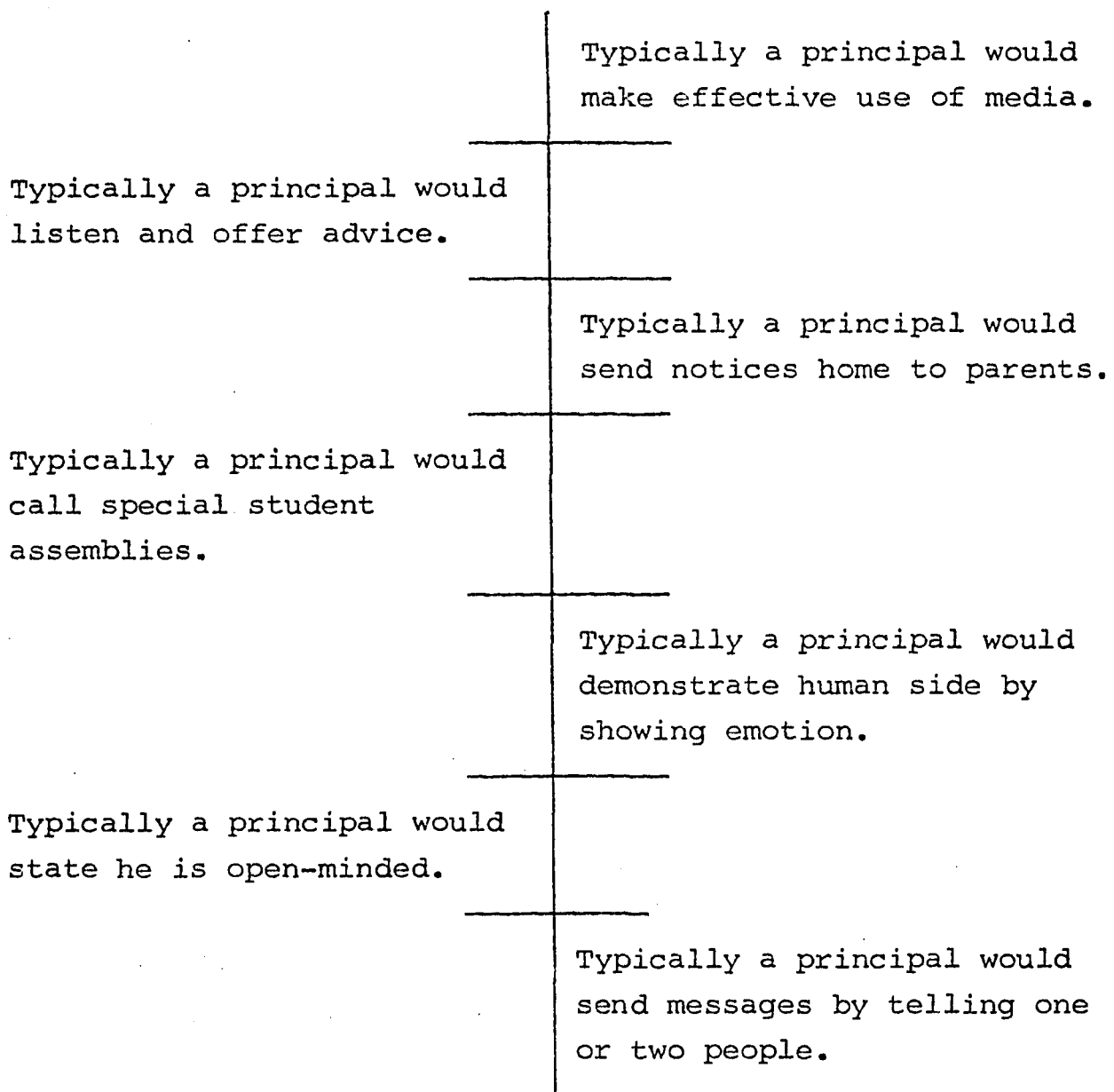


Figure 1.16 BARS for principals for the dimension of communications.

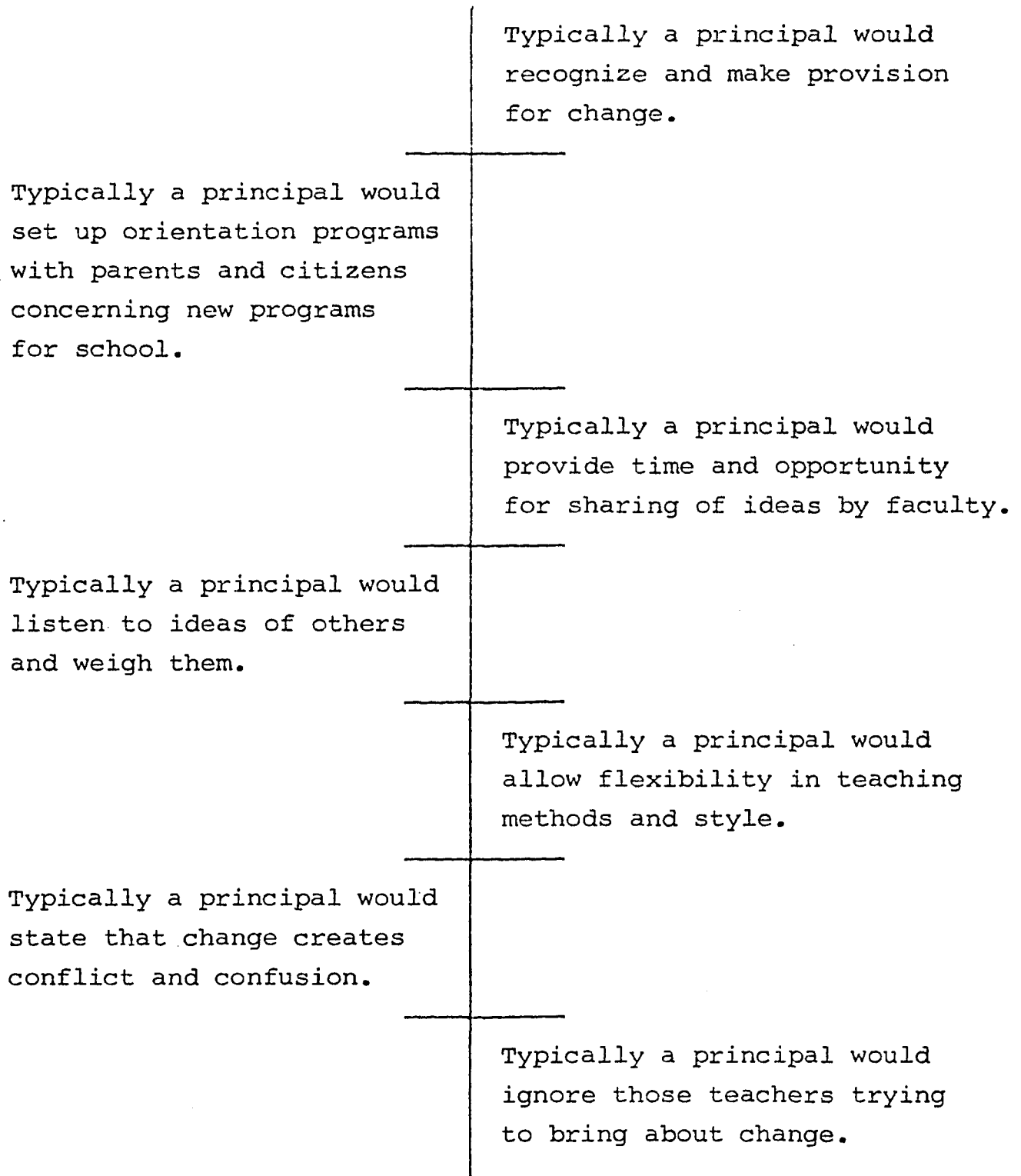


Figure 1.17 BARS for principals for the dimension of change agent.

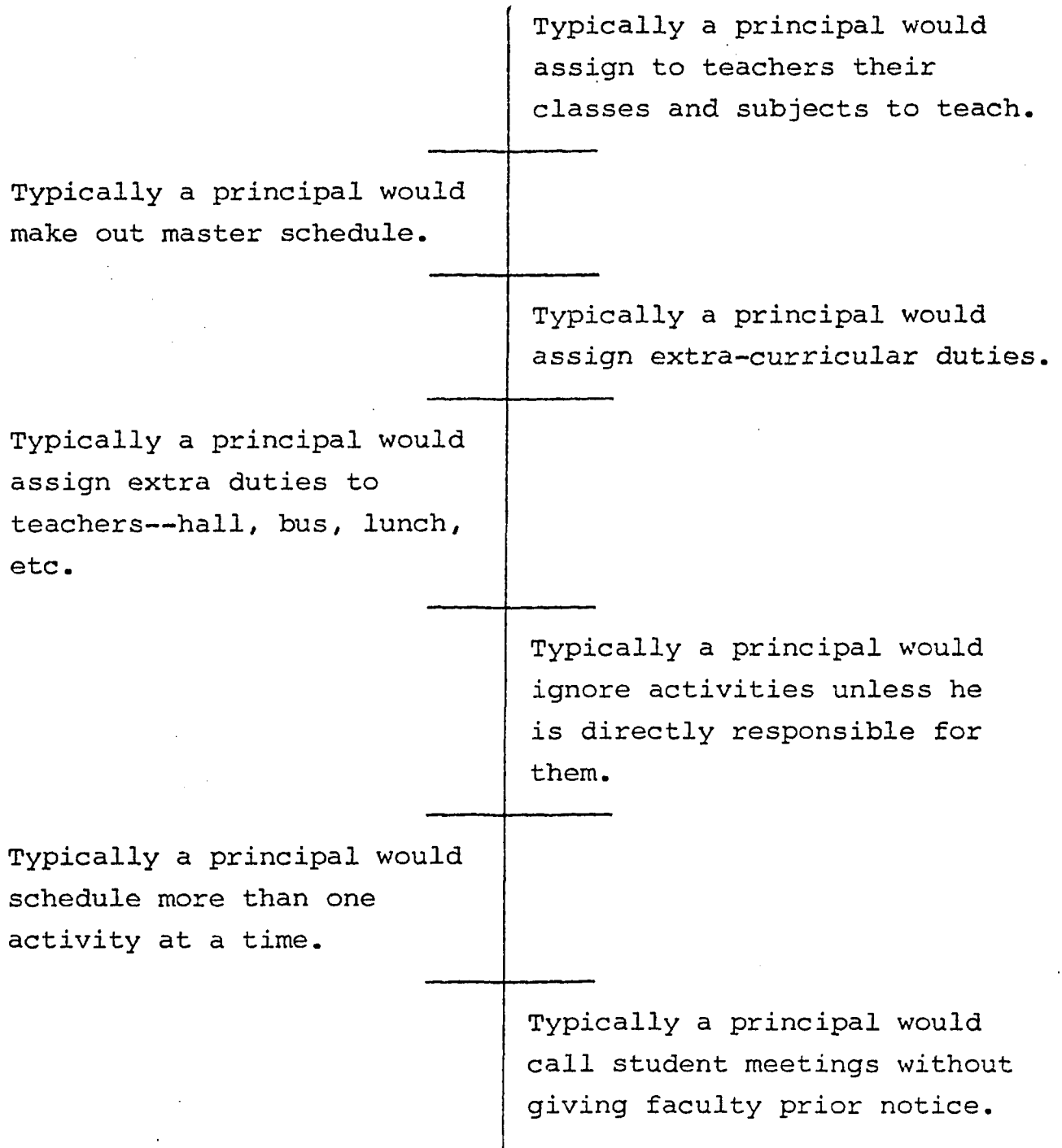


Figure 1.18 BARS for principals for the dimension of scheduling.

|  |  |
|--|--|
|  | Typically a principal would set up workshops for others in profession.                           |
| Typically a principal would keep up-to-date on issues and where materials may be obtained. |  |
|  | Typically a principal would prepare list of resource people and materials for classroom teacher. |
| Typically a principal would attend professional workshops, meetings, and conventions.      |  |
|  | Typically a principal would notify faculty of inservice opportunities.                           |
| Typically a principal would seek leadership positions in his organizations.                |  |
|  | Typically a principal would give reports.  |

Figure 1.19 BARS for principals for the dimension of resource person.



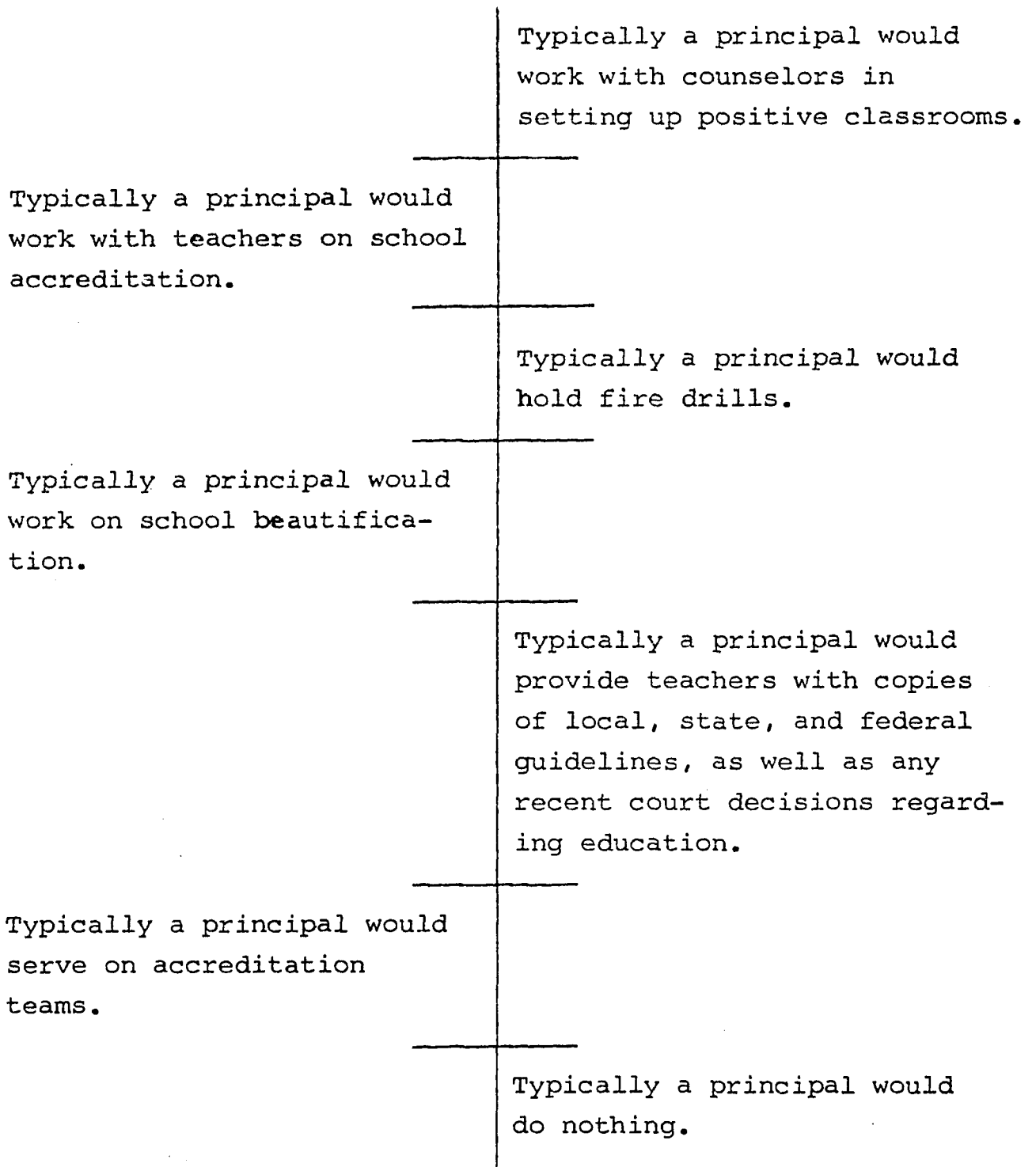


Figure 1.20 BARS for principals for the dimension of school improvement.

## Rating Sheet

|        | 7 | 6 | 5 | 4 | 3 | 2 | 1 |
|--------|---|---|---|---|---|---|---|
| Figure |   |   |   |   |   |   |   |
| 1.1    |   |   |   |   |   |   |   |
| 1.2    |   |   |   |   |   |   |   |
| 1.3    |   |   |   |   |   |   |   |
| 1.4    |   |   |   |   |   |   |   |
| 1.5    |   |   |   |   |   |   |   |
| 1.6    |   |   |   |   |   |   |   |
| 1.7    |   |   |   |   |   |   |   |
| 1.8    |   |   |   |   |   |   |   |
| 1.9    |   |   |   |   |   |   |   |
| 1.10   |   |   |   |   |   |   |   |
| 1.11   |   |   |   |   |   |   |   |
| 1.12   |   |   |   |   |   |   |   |
| 1.13   |   |   |   |   |   |   |   |
| 1.14   |   |   |   |   |   |   |   |
| 1.15   |   |   |   |   |   |   |   |
| 1.16   |   |   |   |   |   |   |   |
| 1.17   |   |   |   |   |   |   |   |
| 1.18   |   |   |   |   |   |   |   |
| 1.19   |   |   |   |   |   |   |   |
| 1.20   |   |   |   |   |   |   |   |

APPENDIX H  
REVISED INSTRUMENT FOR SECOND FIELD TESTING

## Demographic Information

Name of school: \_\_\_\_\_

Your present position: \_\_\_\_\_

Age: \_\_\_\_\_

Race: \_\_\_\_\_

Sex: \_\_\_\_\_

## Job Description for Principals

The job of public school principal is composed of seven dimensions, with several functions under each. Stated simply these are:

1. Educational leader--it is his responsibility to direct, guide and coordinate the total educational program within the school. His goal is the improvement of instruction. Evaluation is a vital part of this dimension.
2. Administrator--it is his responsibility to help people who make up the organization clarify objectives, identify problems, establish priorities, develop strategies and assess progress. In addition, he shares decision-making at various levels of involvement.
3. Interpreter--it is his responsibility to communicate the school's goals, procedures, and objectives. He presents the school to its many publics.
4. Conflict mediator--recognizing that conflict occurs in all organizations and often serves as an aid rather than a deterrent, it is the responsibility of the principal to serve as a mediator.
5. Educator of educators--the principal is a specialist in education. Therefore, it is his responsibility to serve as a resource person.
6. Ombudsman--it is the responsibility of the principal to provide counsel and assistance to all youth, teachers, parents, and challenge his own school when it restricts individual growth and aspiration.
7. Professional--it is his responsibility to participate in continuous study and research in education, attend functions of his professional organizations, contribute to programs, seek leadership positions, write articles, and give speeches, and to share his knowledge and understanding with his fellow principals.

Rating Code

|    |                       |
|----|-----------------------|
| —7 | Excellent performance |
| —6 | Very good performance |
| —5 | Good performance      |
| —4 | Average Performance   |
| —3 | Fair performance      |
| —2 | Poor performance      |
| —1 | Very poor performance |

## Instructions

The following instrument is designed for use in evaluating principals. Each page includes a set of behaviors falling under a specific job dimension. You are to rate the principal as to how well he performs, based on your observations. There is an answer sheet on the back based on a Likert-type scale of 7-1, with 7 indicating the highest performance; 1, the lowest; and 4, average. As an individual, you are asked to find the typical behavior of your principal in each case. This does not mean that a person whose behavior is rated "7" actually demonstrates all other six behaviors. It simply means that this is how he would typically behave.

There will be no total score, since this instrument is designed to spot strengths and weaknesses, instead of a composite score. This is a developmental approach to evaluation.

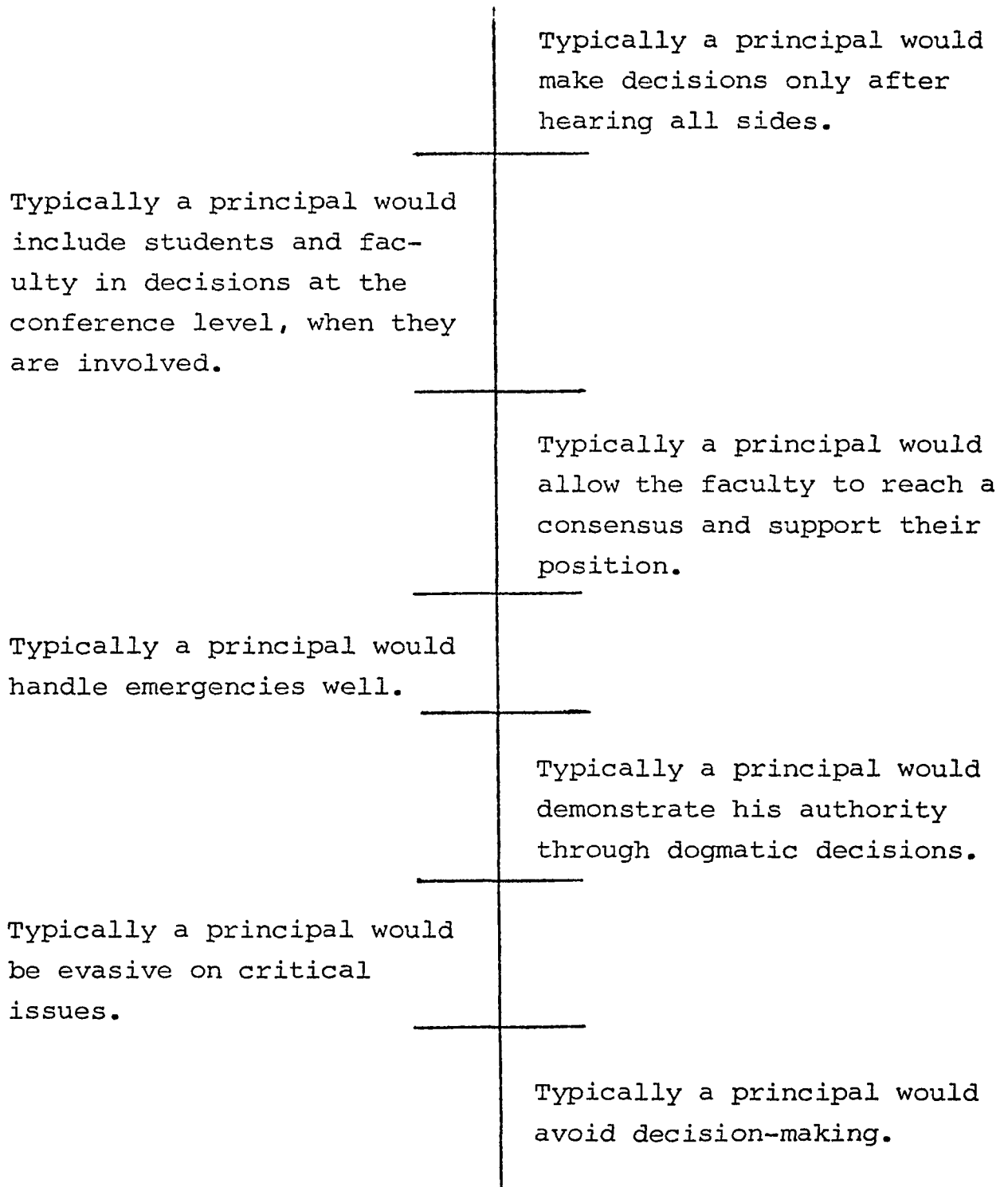


Figure 2.1 BARS for principals for the dimension of decision-making



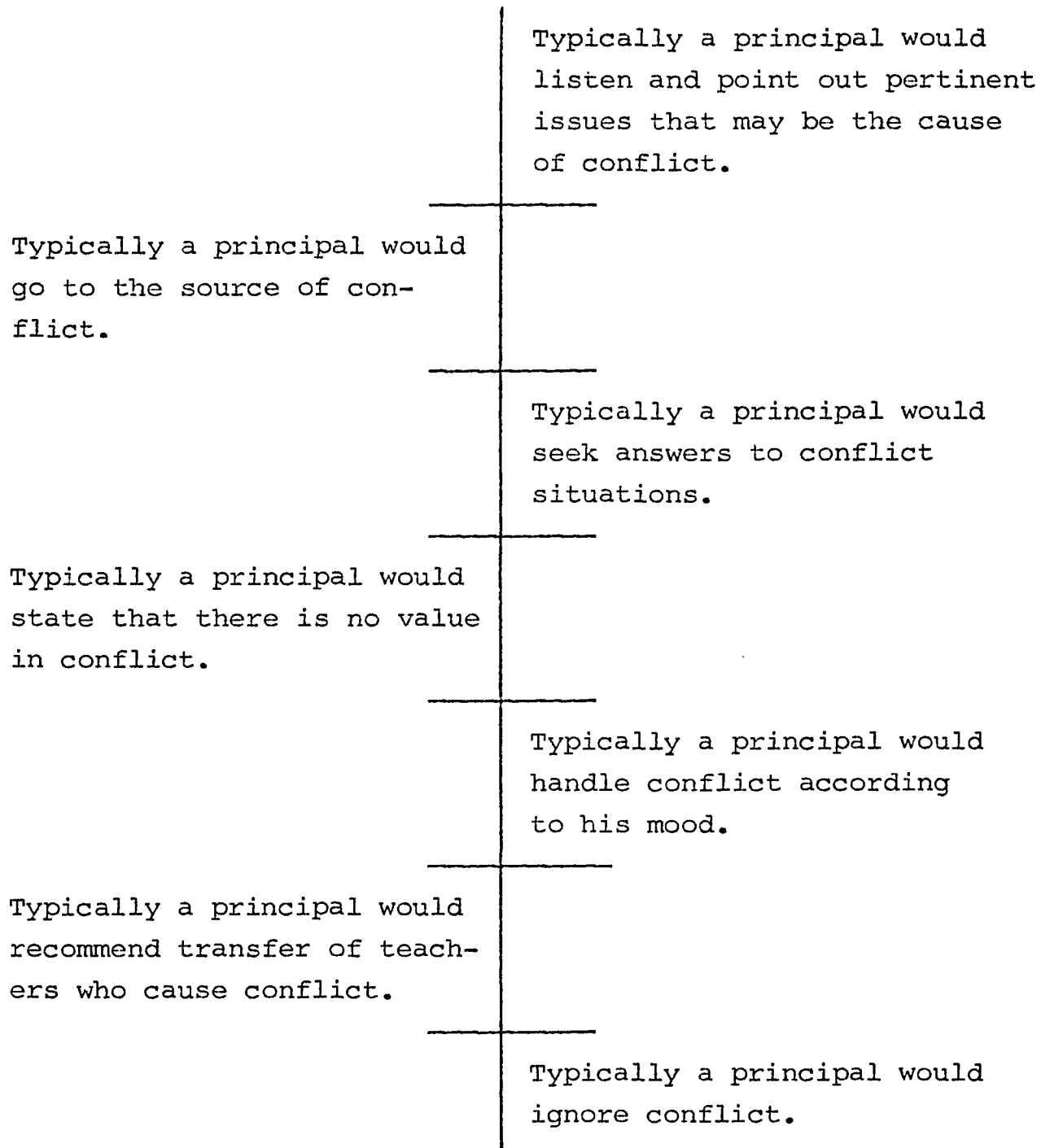


Figure 2.2 BARS for principals for the dimension of handling conflict.

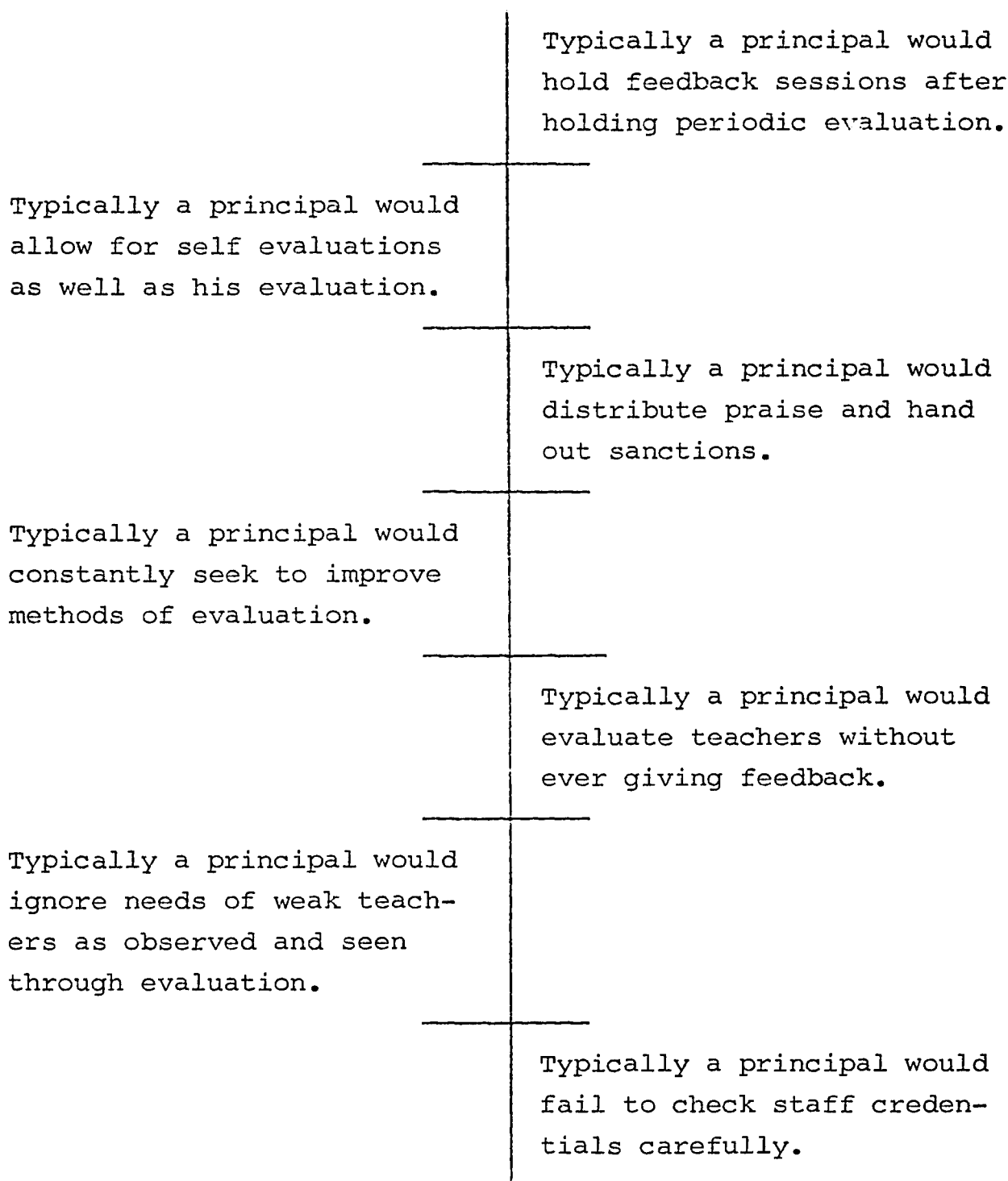


Figure 2.3 BARS for principals for the dimension of teacher evaluation.

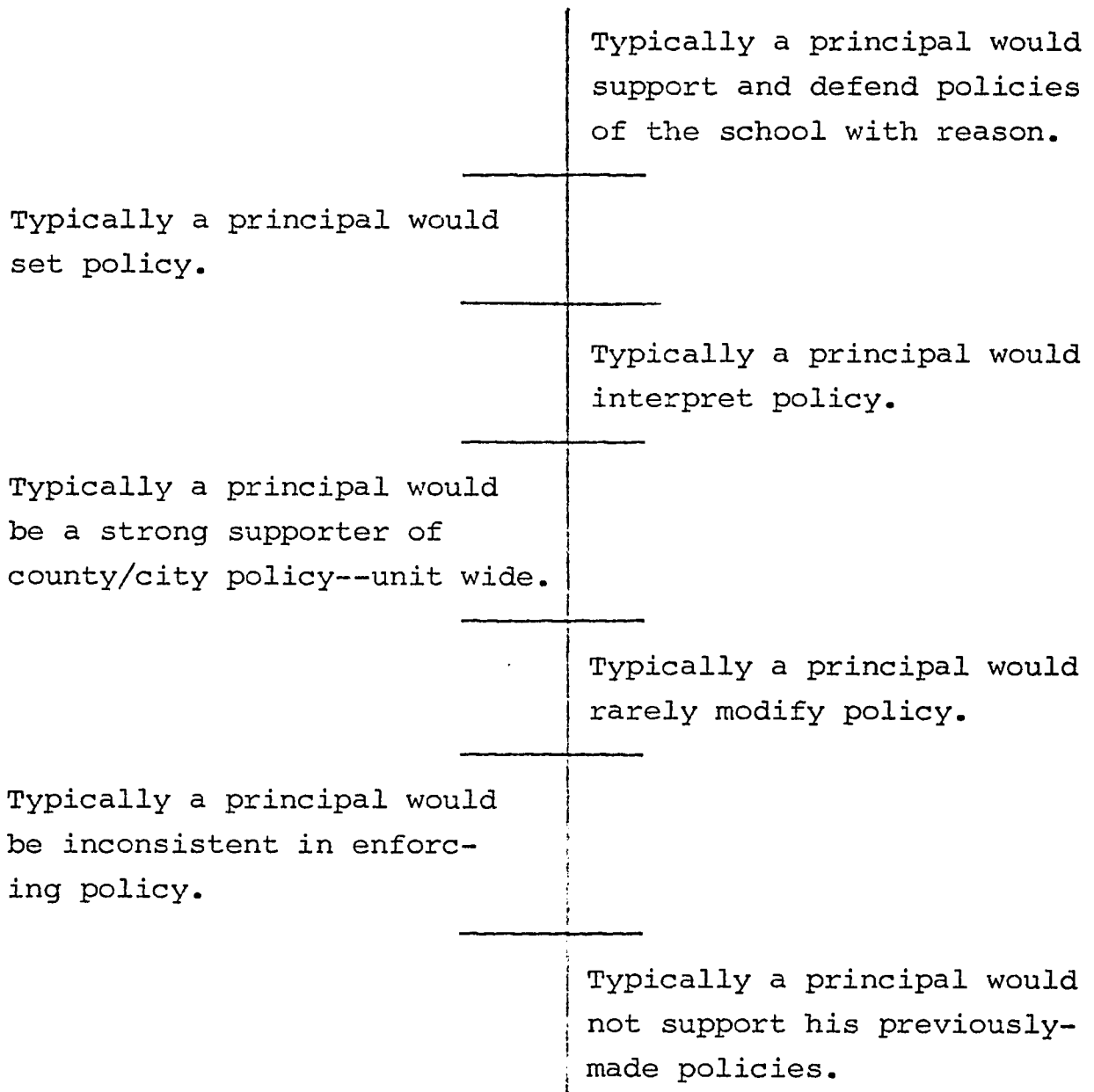


Figure 2.4 BARS for principals for the dimension of policy-making.

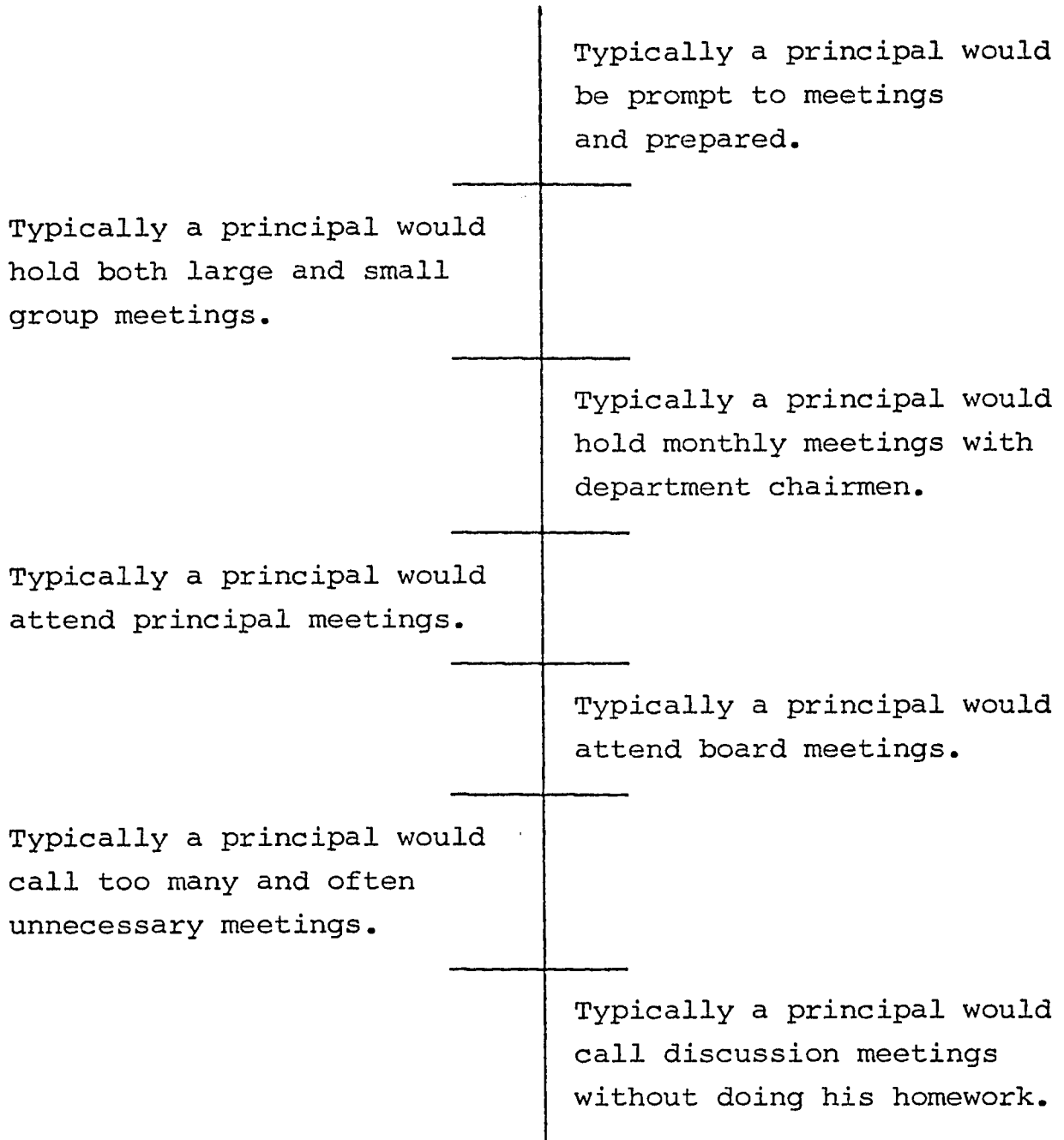


Figure 2.5 BARS for principals for the dimension of meetings.

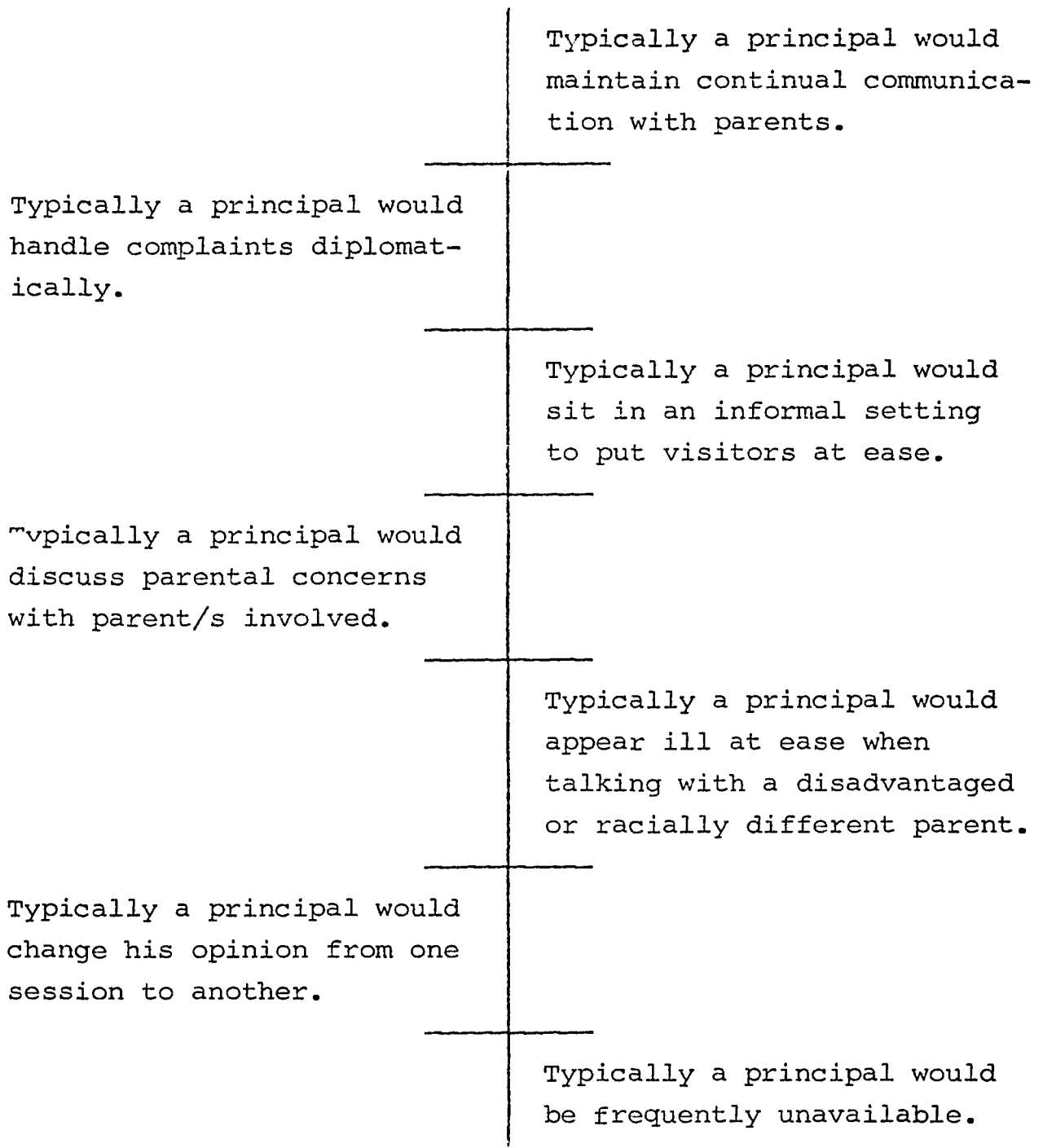


Figure 2.6 BARS for principals for the dimension of dealing with parents.

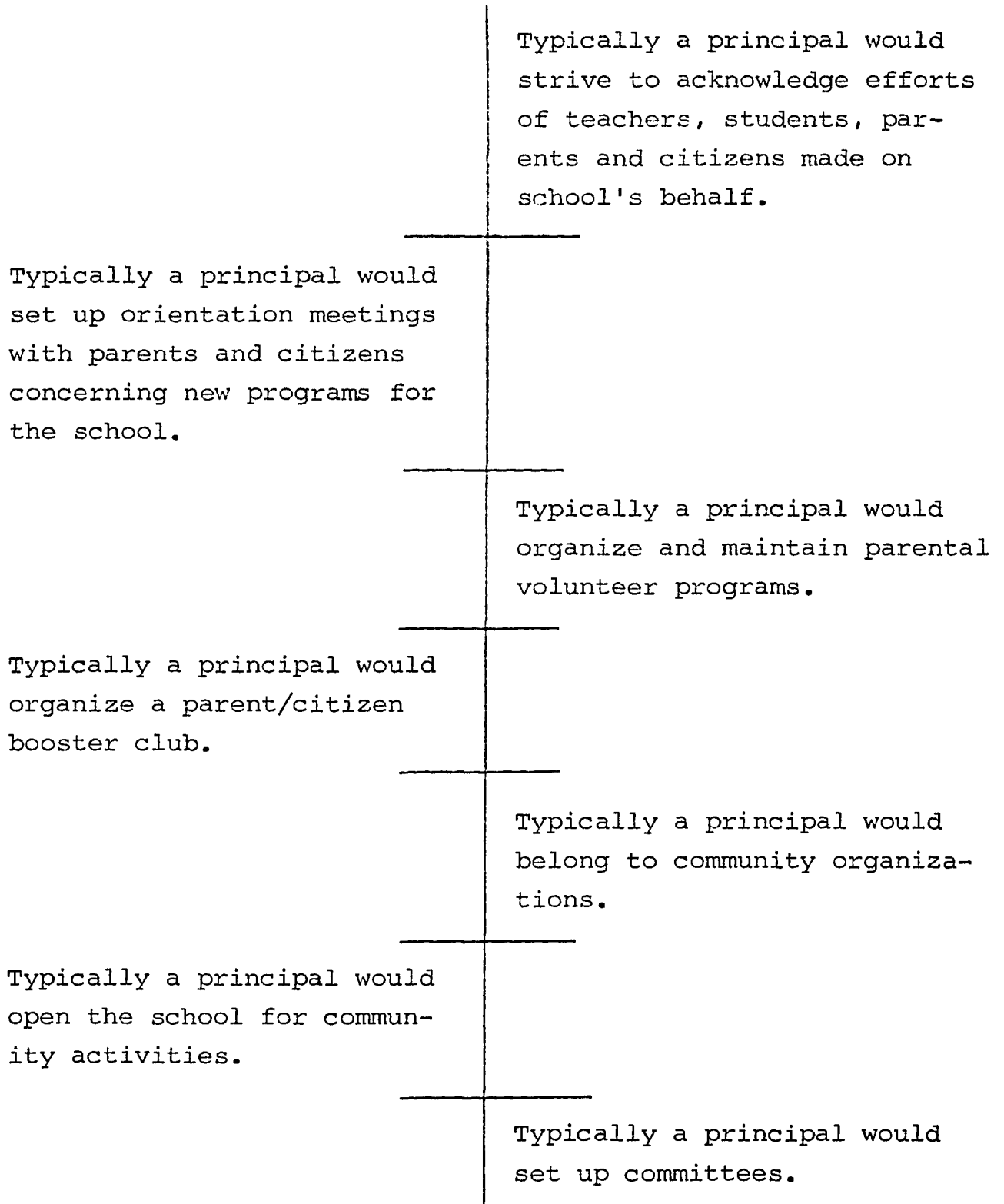


Figure 2.7 BARS for principals for the dimension of involvement in community activities and in involving the community in the school.

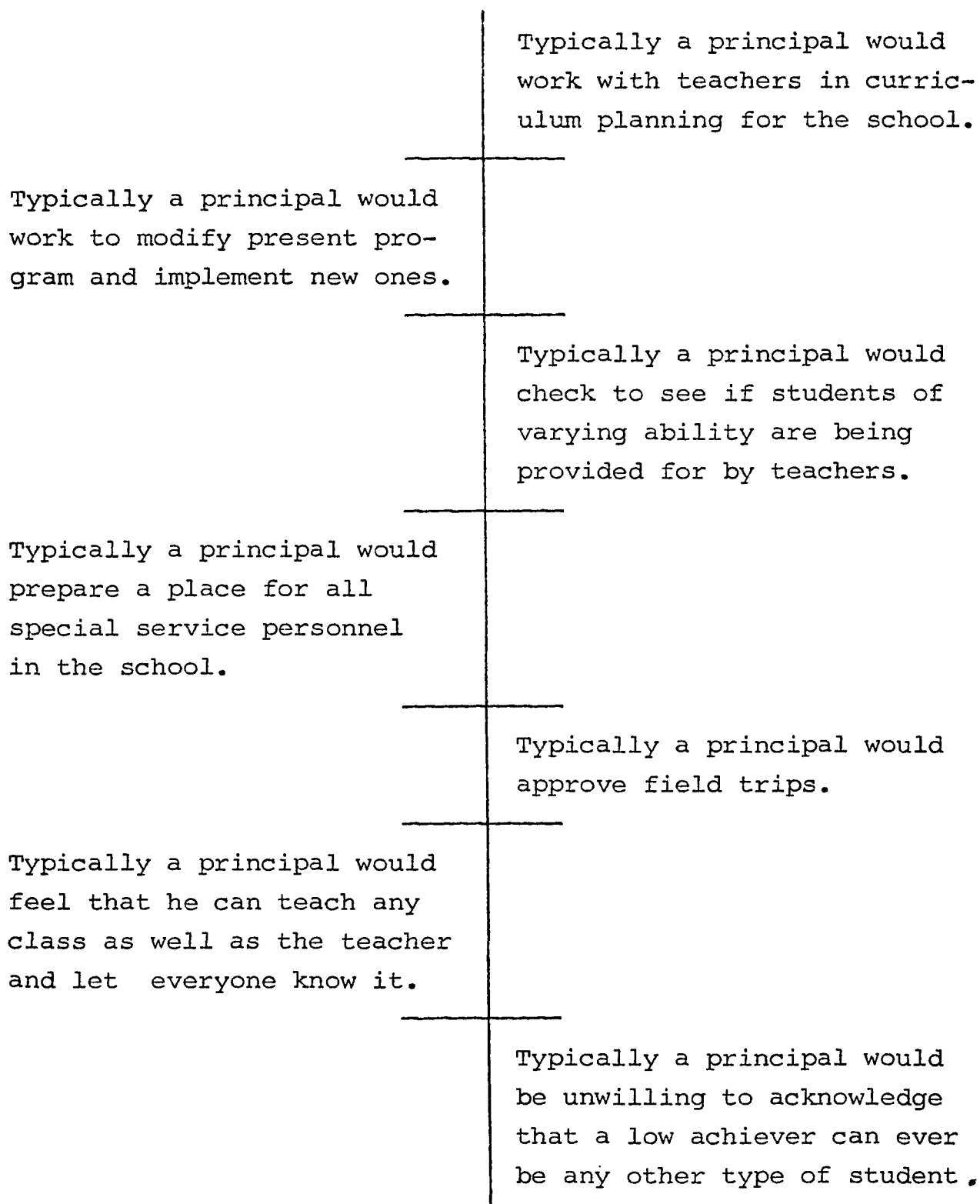


Figure 2.8 BARS for principals for the dimension of curriculum planning.

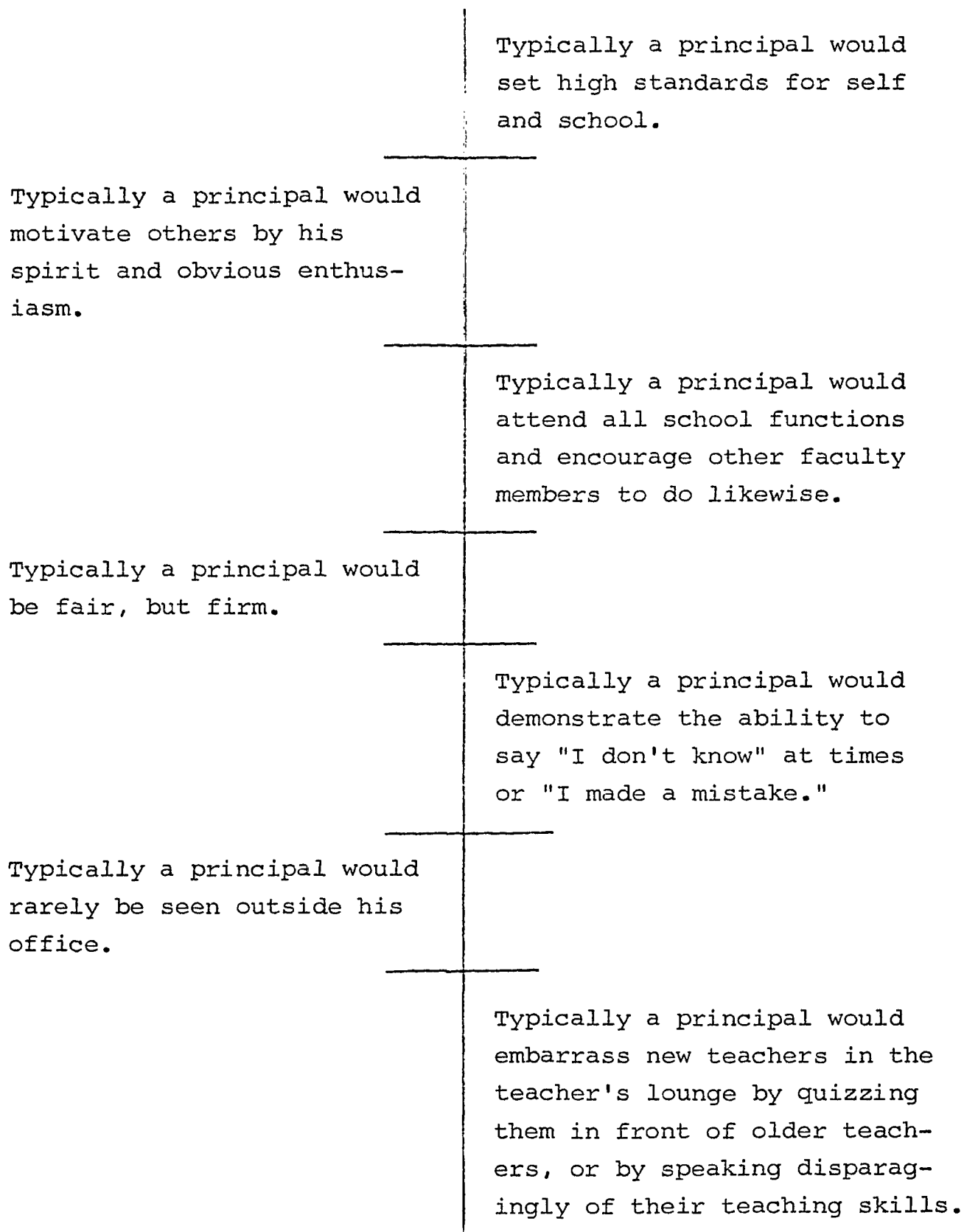


Figure 2.9 BARS for principals for the dimension of climatizing of school.



|  |  |
|--|--|
|  | Typically a principal would teach class for parents to foster better understanding of children.                |
| Typically a principal would encourage parental observation of classes.       |  |
|  | Typically a principal would smile and demonstrate a vivacious spirit both for school, education, and children. |
| Typically a principal would deal with law enforcement officers.              |  |
|  | Typically a principal would vocalize concern for an effective school.  |
| Typically a principal would walk over the campus and carry on informal talk. |  |
|  | Typically a principal would punish students for betting, while allowing faculty to bet on sporting events.     |

Figure 2.10 BARS for principals for the dimension of ombudsman.

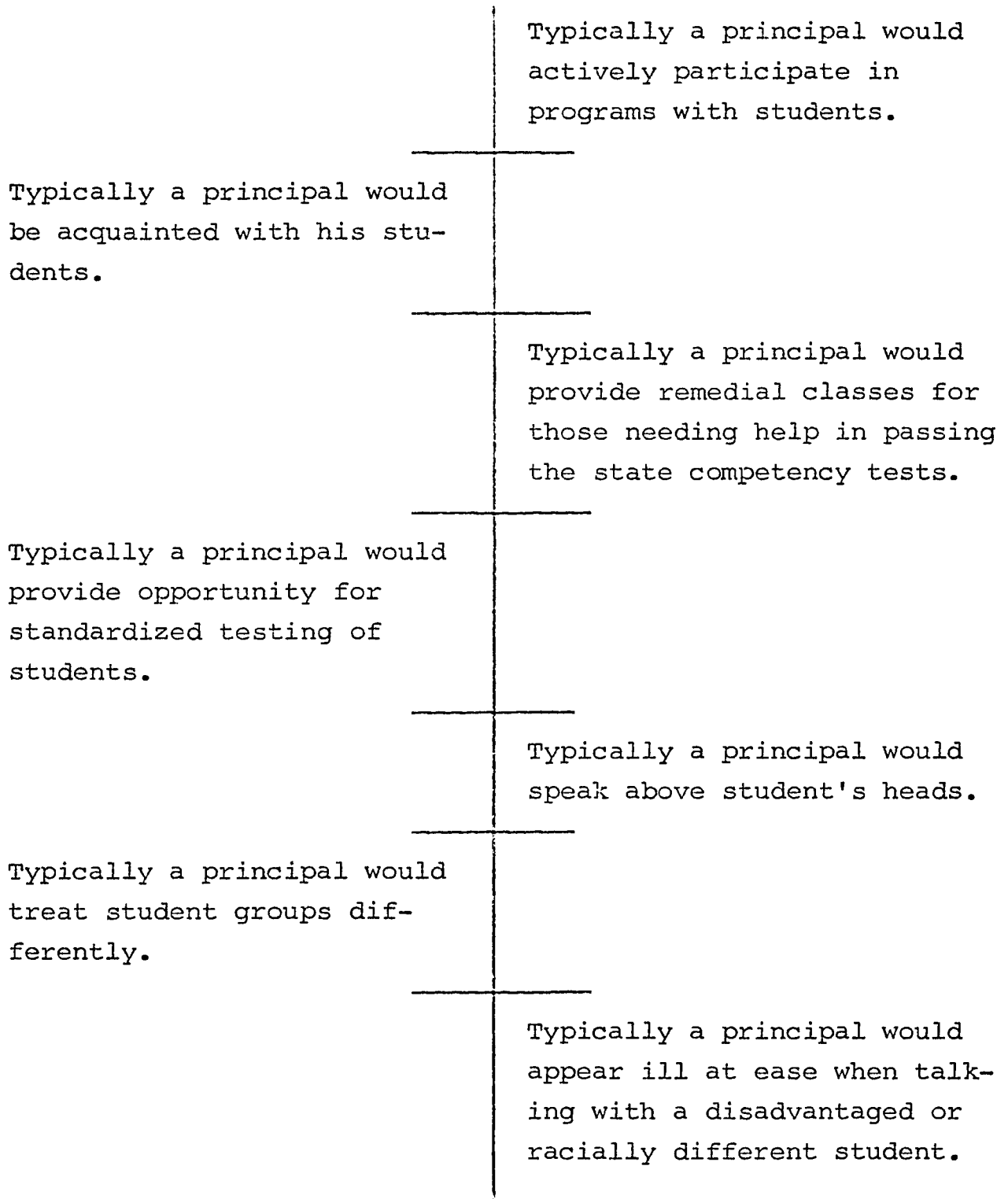


Figure 2.11 BARS for principals for the dimension of dealing with students.

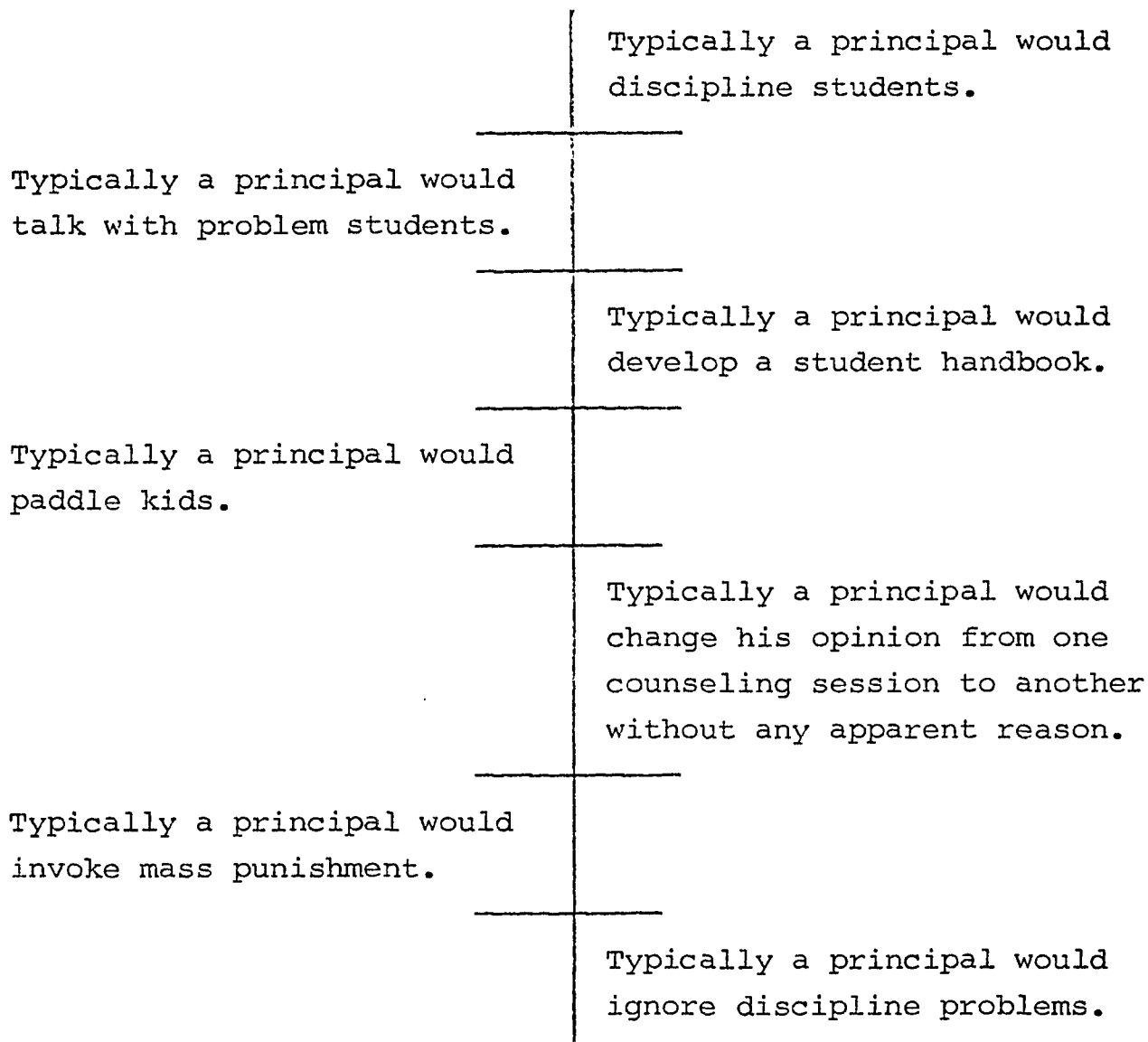


Figure 2.12 BARS for principals for the dimension of discipline.

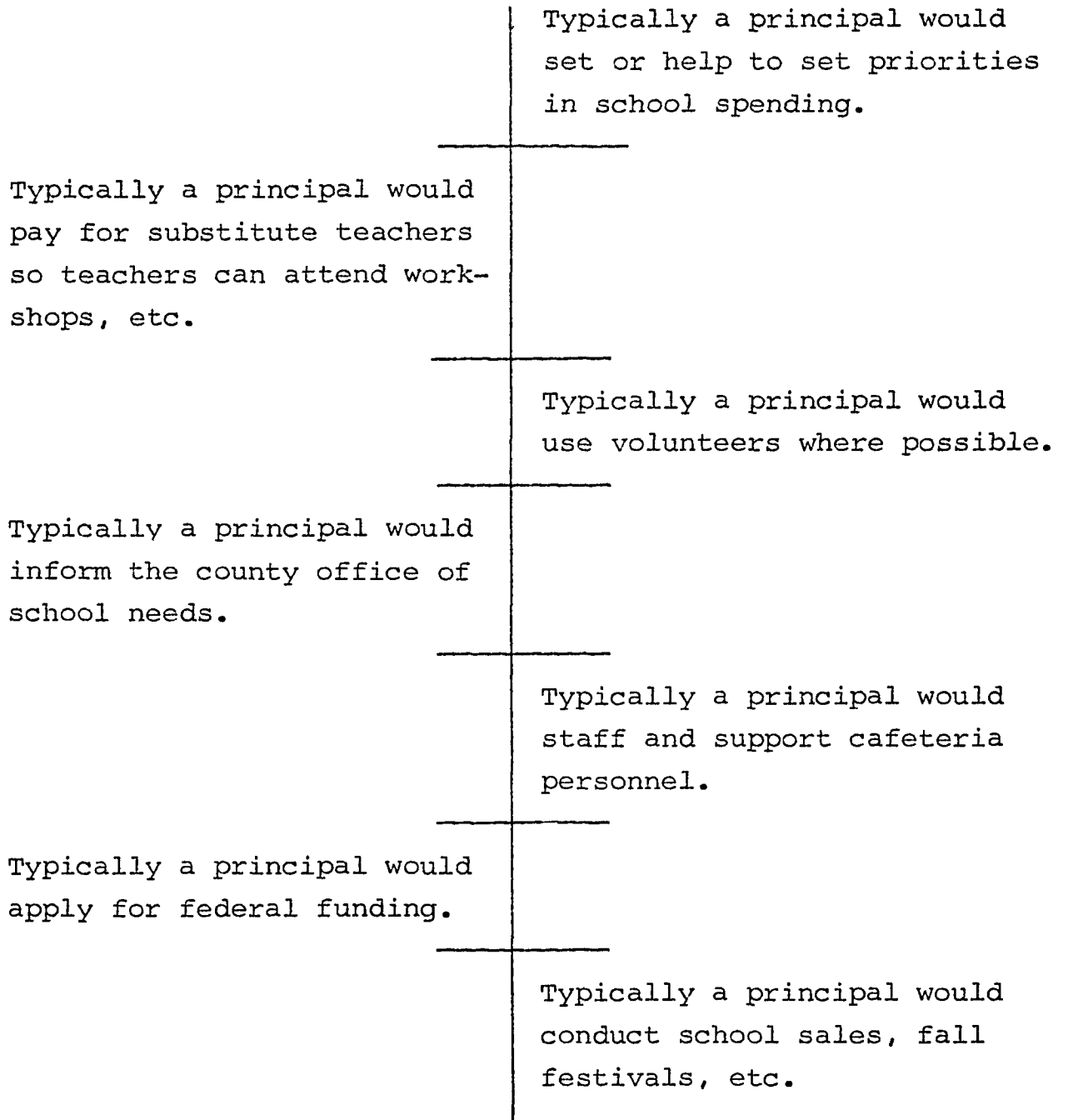


Figure 2.13 BARS for principals for the dimension of budgeting.

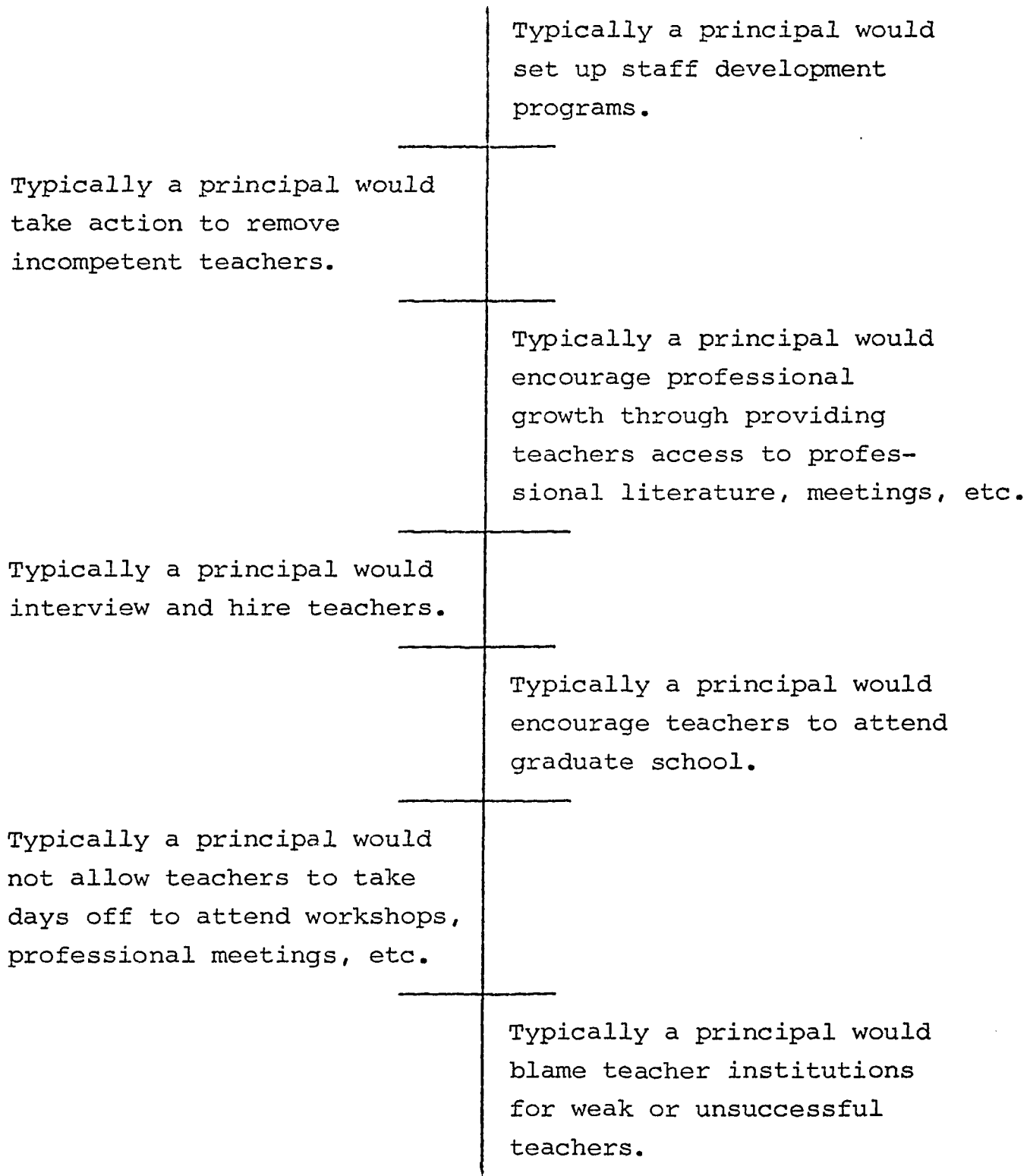


Figure 2.14 BARS for principals for the dimension of staff development.

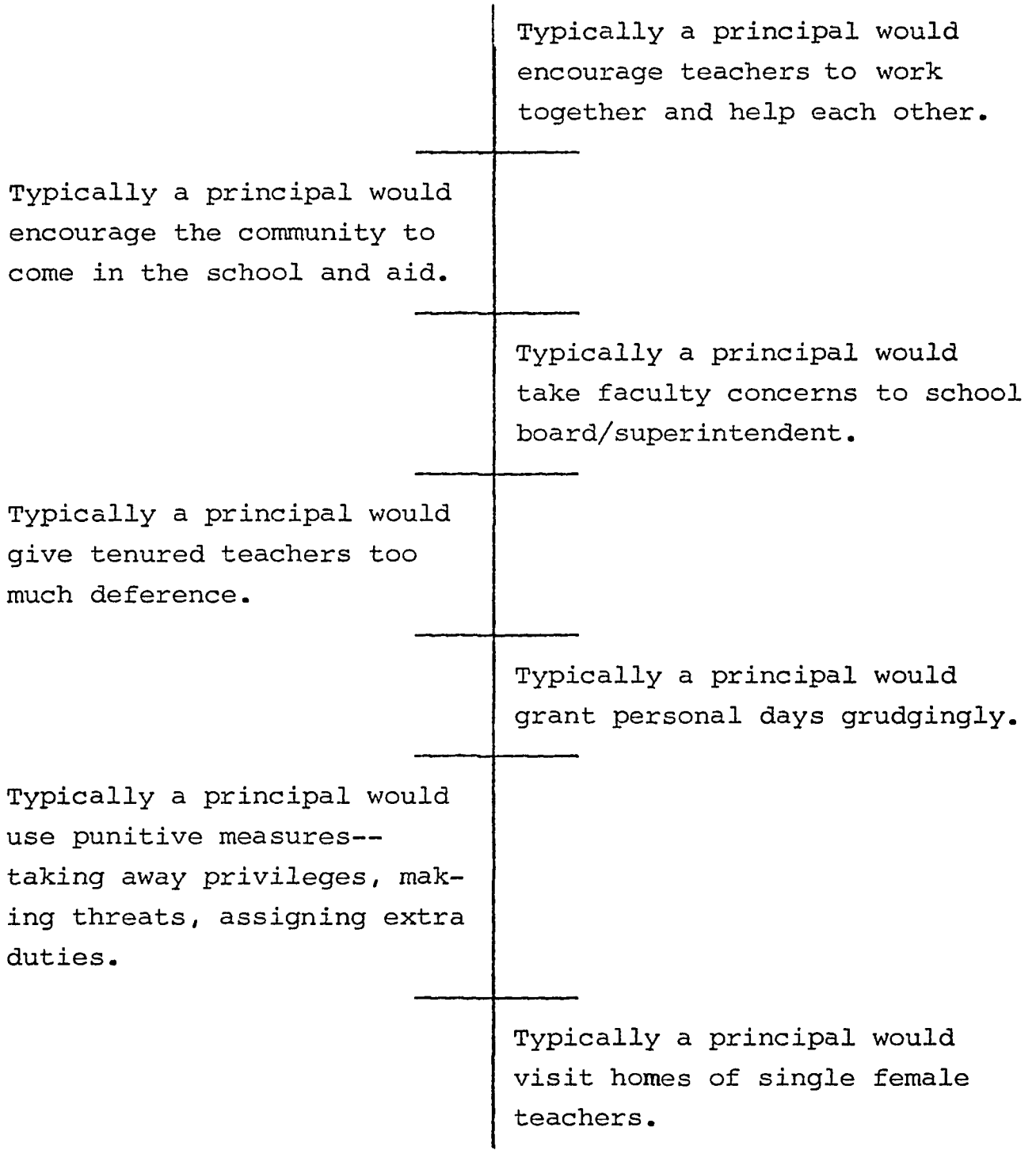


Figure 2.15 BARS for principals for the dimension of interpersonal relations.

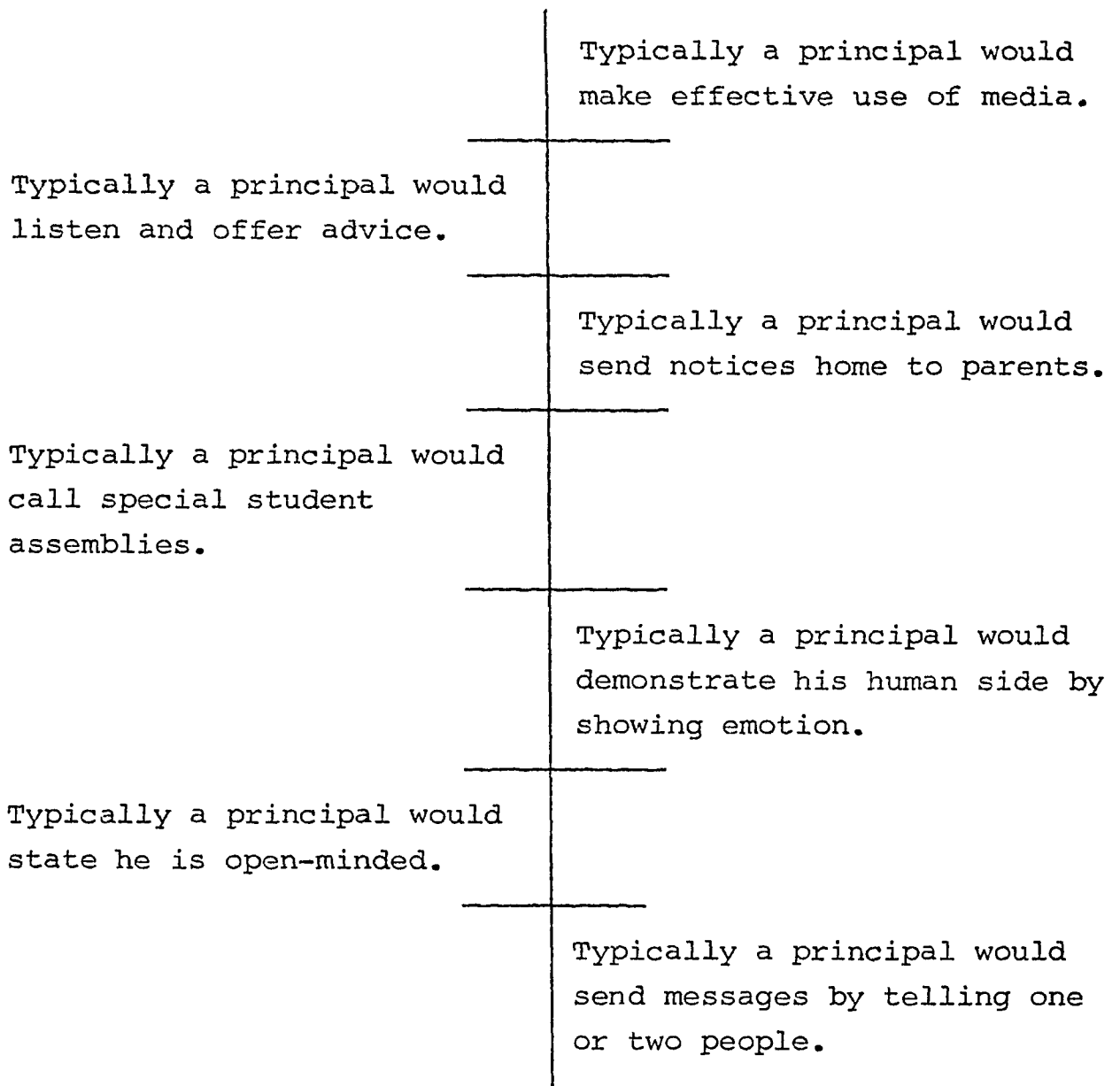


Figure 2.16 BARS for principals for the dimension of communications.

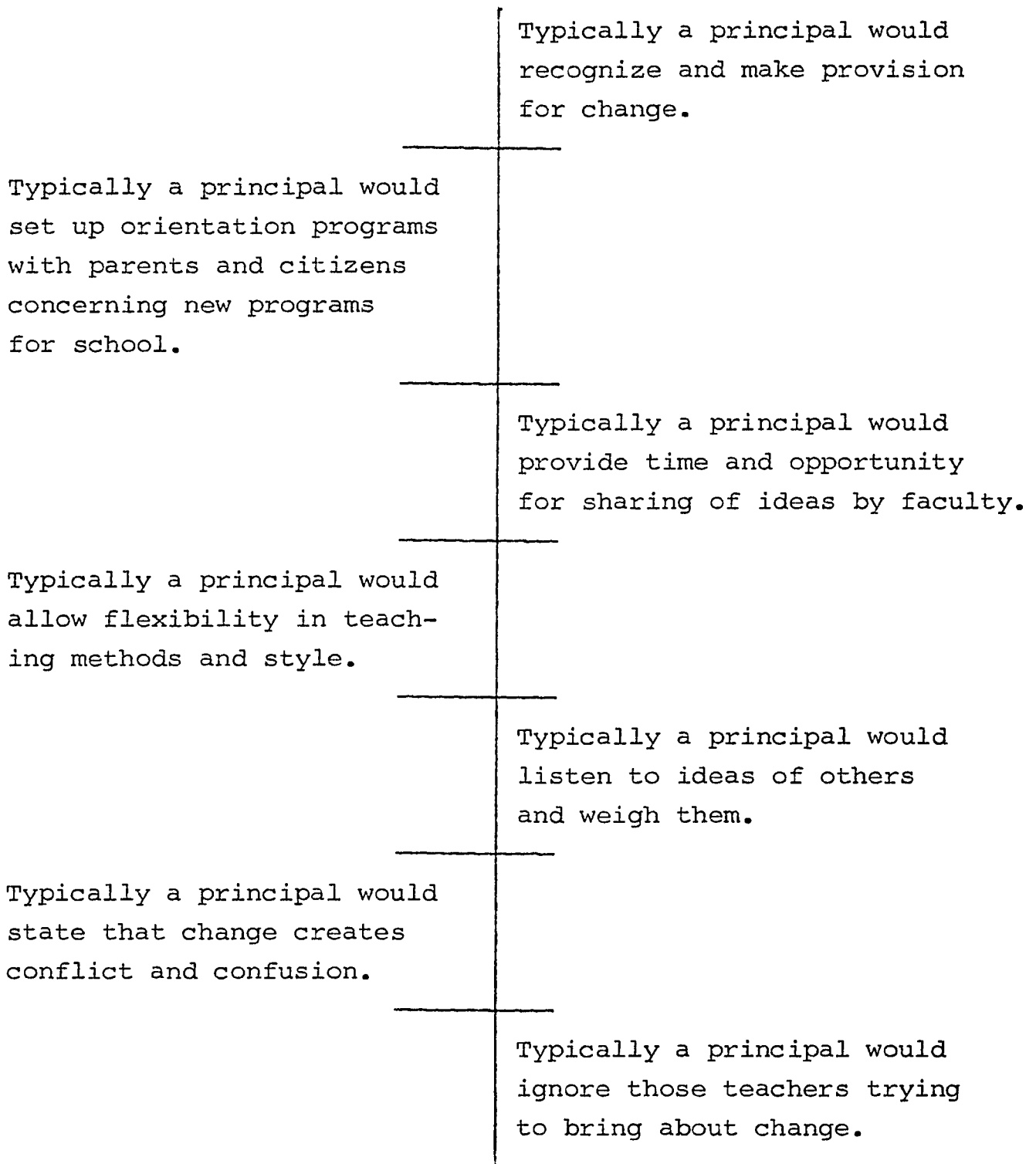


Figure 2 .17 BARS for principals for the dimension of change agent.



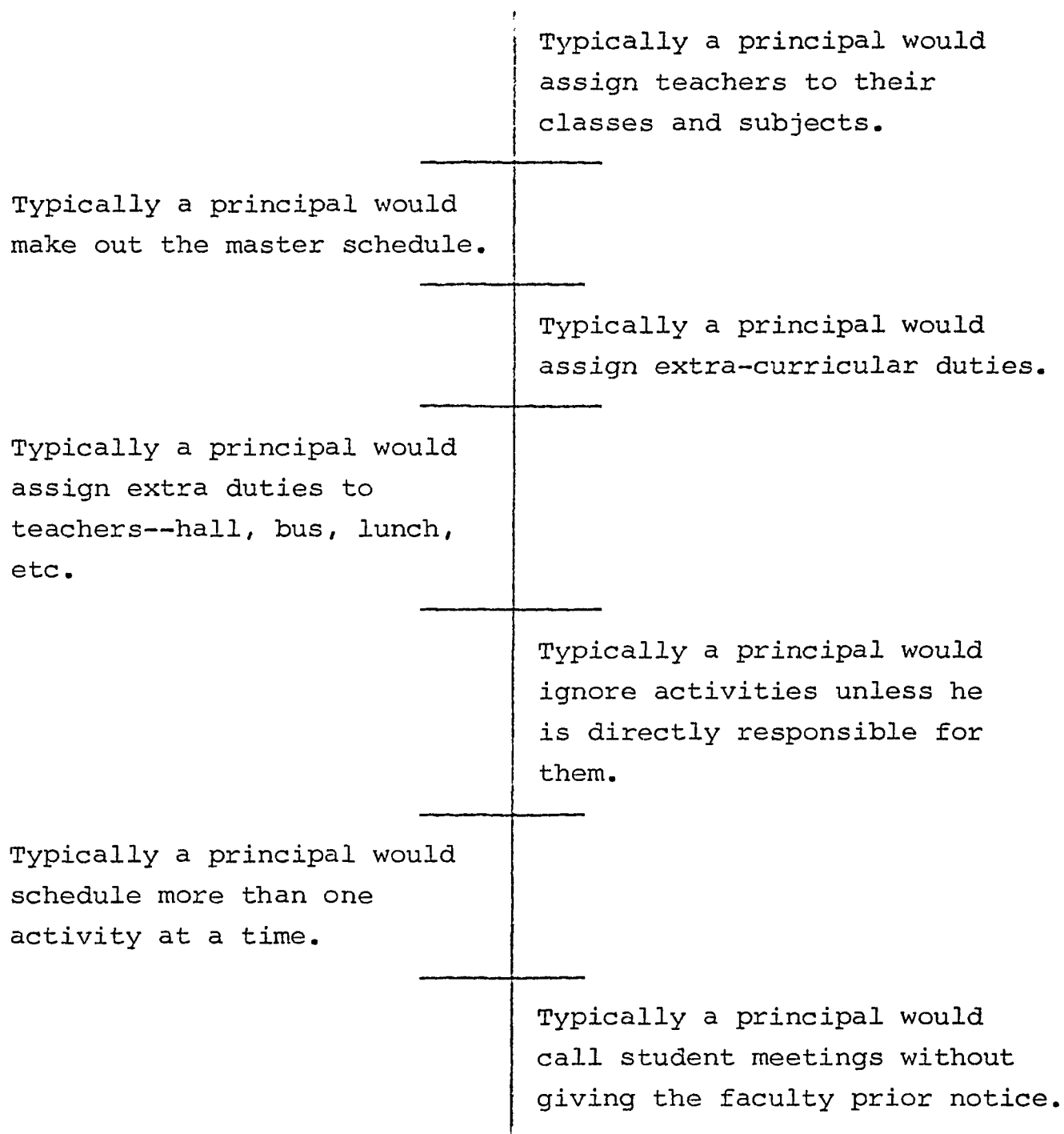


Figure 2.18 BARS for principals for the dimension of scheduling.

|   |   |
|---|---|
|   | Typically a principal would keep up-to-date on issues and where materials may be obtained.          |
| Typically a principal would set up workshops for others in the profession.            |   |
|   | Typically a principal would prepare a list of resource people and materials for classroom teachers. |
| Typically a principal would attend professional workshops, meetings, and conventions. |   |
|   | Typically a principal would notify the faculty of inservice opportunities.                          |
| Typically a principal would seek leadership positions in his organizations.           |   |
|   | Typically a principal would give reports.   |

Figure 2.19 BARS for principals for the dimension of resource person.

|  |   |
|--|---|
|  | Typically a principal would work with counselors in setting up positive classrooms. |
| Typically a principal would work with teachers on school accreditation.  |   |
|  | Typically a principal would work on school beautification.                          |
| Typically a principal would provide teachers with copies of local, state, and federal guidelines, as well as any recent court decisions regarding education. |   |
|  | Typically a principal would hold fire drills.                                       |
| Typically a principal would serve on accreditation teams.  |   |
|  | Typically a principal would do nothing.   |

Figure 2.20 BARS for principals for the dimension of school improvement.

## Rating Sheet

|        | 7 | 6 | 5 | 4 | 3 | 2 | 1 |
|--------|---|---|---|---|---|---|---|
| Figure |   |   |   |   |   |   |   |
| 2.1    |   |   |   |   |   |   |   |
| 2.2    |   |   |   |   |   |   |   |
| 2.3    |   |   |   |   |   |   |   |
| 2.4    |   |   |   |   |   |   |   |
| 2.5    |   |   |   |   |   |   |   |
| 2.6    |   |   |   |   |   |   |   |
| 2.7    |   |   |   |   |   |   |   |
| 2.8    |   |   |   |   |   |   |   |
| 2.9    |   |   |   |   |   |   |   |
| 2.10   |   |   |   |   |   |   |   |
| 2.11   |   |   |   |   |   |   |   |
| 2.12   |   |   |   |   |   |   |   |
| 2.13   |   |   |   |   |   |   |   |
| 2.14   |   |   |   |   |   |   |   |
| 2.15   |   |   |   |   |   |   |   |
| 2.16   |   |   |   |   |   |   |   |
| 2.17   |   |   |   |   |   |   |   |
| 2.18   |   |   |   |   |   |   |   |
| 2.19   |   |   |   |   |   |   |   |
| 2.20   |   |   |   |   |   |   |   |

APPENDIX I  
MEANS AND STANDARD DEVIATION FOR SCALE VALUE JUDGMENTS IN  
CHANGING BARS INSTRUMENT II TO III

Means and SD for Scale Value Judgments in  
Changing BARS Instrument II to III

| Dimension  | Test II |      | Test III |      |
|--|---------|------|----------|------|
|  | Mean    | SD   | Mean     | SD   |
| <b>Decision Making</b>   |         |      |          |      |
| *1. Typically a principal would include students and faculty in decisions at the conference level, when they are involved. |         |      | 5.21     | 1.32 |
| *2. Typically a principal would make decisions only after hearing all sides.   |         |      | 2.56     | .59  |
| 3. Typically a principal would allow the faculty to reach a consensus and support their position                           | 2.07    | 1.63 |          |      |
| 4. Typically a principal would handle emergencies well.  | 1.74    | 1.02 |          |      |
| *5. Typically a principal would be evasive on critical issues.   |         |      | 2.19     | 1.39 |
| *6. Typically a principal would demonstrate his authority through dogmatic decisions.                                      |         |      | 5.89     | 1.23 |
| *7. Typically a principal would avoid decision-making.   |         |      | 2.96     | 1.18 |
| <b>Handling Conflict</b>   |         |      |          |      |
| *1. Typically a principal would listen and point out pertinent issues that may be the cause of conflict.                   |         |      | 4.33     | .71  |
| *2. Typically a principal would go to the source of conflict.  |         |      | 5.64     | 1.10 |
| 3. Typically a principal would seek answers to conflict situations.  | 4.58    | 1.47 |          |      |

| Dimension   | Test II |      | Test III |      |
|---|---------|------|----------|------|
|   | Mean    | SD   | Mean     | SD   |
| *4. Typically a principal would state there is no value in conflict.                                |         |      | 2.79     | .91  |
| 5. Typically a principal would handle conflict according to his mood.                               | 5.07    | 1.72 |          |      |
| 6. Typically a principal would recommend transfer of teachers who cause conflict.                   | 2.25    | 1.51 |          |      |
| 7. Typically a principal would ignore conflict.   | 2.57    | 1.67 |          |      |
| 8. Typically a principal would differentiate between teachers.                                      |         |      | 3.07     | 1.15 |
| 9. Typically a principal would supervise closely conflict areas such as cheerleader selection, etc. |         |      | 1.57     | 1.10 |
| Teacher Evaluation  |         |      |          |      |
| 1. Typically a principal would hold feedback sessions after holding periodic evaluations.           |         |      | 5.44     | 1.31 |
| 2. Typically a principal would allow for self evaluations as well as his evaluation.                | 2.54    | 1.93 |          |      |
| 3. Typically a principal would distribute praise and hand out sanctions.                            |         |      | 6.37     | 1.84 |
| 4. Typically a principal would constantly seek to improve methods of evaluation.                    | 1.96    | 1.67 |          |      |
| 5. Typically a principal would evaluate teachers without ever giving feedback.                      | 2.46    | 1.40 |          |      |

| Dimension   | Test II |      | Test III |      |
|---|---------|------|----------|------|
|   | Mean    | SD   | Mean     | SD   |
| 6. Typically a principal would ignore the needs of weak teachers as observed and seen through evaluation.   | 3.04    | 1.58 |          |      |
| 7. Typically a principal would fail to check staff credentials carefully.   | 2.36    | 1.64 |          |      |
| 8. Typically a principal would distribute negative statements and verbally ridicule faculty members.  |         |      | 4.44     | 1.25 |
| 9. Typically a principal would blame teacher training institutions for weak or unsuccessful teachers.   |         |      | 2.26     | 1.24 |
| 10. Typically a principal would embarrass new teachers in the teacher's lounge by quizzing them in front of older teachers or by speaking disparagingly of their teaching skills. |         |      | 1.54     | 1.11 |
| Policy-Making   |         |      |          |      |
| 1. Typically a principal would support and defend policies of the school with reason.   | 5.21    | 1.62 |          |      |
| 2. Typically a principal would set policy.  | 5.52    | 1.70 |          |      |
| 3. Typically a principal would interpret policy.  |         |      | 6.50     | .76  |
| 4. Typically a principal would be a strong supporter of county/city policy--unit wide.  |         |      | 1.77     | .95  |
| 5. Typically a principal would rarely modify policy.  |         |      | 3.42     | .95  |



| Dimension   | Test II |      | Test III |      |
|---|---------|------|----------|------|
|   | Mean    | SD   | Mean     | SD   |
| 6. Typically a principal would be inconsistent in enforcing policy.                 |         |      | 2.36     | 1.22 |
| 7. Typically a principal would not support his previously made policies.            |         |      | 5.64     | 1.25 |
| Meetings  |         |      |          |      |
| 1. Typically a principal would be prompt to meetings and prepared.                  |         |      | 4.29     | .44  |
| 2. Typically a principal would hold both large and small group meetings.            | 1.43    | 1.20 |          |      |
| 3. Typically a principal would hold monthly meetings with department chairmen.      |         |      | 3.81     | .58  |
| 4. Typically a principal would attend principal meetings.                           | 4.04    | 1.80 |          |      |
| 5. Typically a principal would call too many and often unnecessary meetings.        | 4.11    | 1.57 |          |      |
| 6. Typically a principal would attend board meetings.                               |         |      |          |      |
| 7. Typically a principal would call discussion meetings without doing his homework. |         |      | 1.14     | .45  |
| 8. Typically a principal would conduct faculty meetings.                            |         |      | 6.37     | 1.12 |
| 9. Typically a principal would take issues to school board.                         |         |      | 5.32     | .75  |
| Dealing with Parents  |         |      |          |      |
| 1. Typically a principal would maintain continual communication with parents.       |         |      | 3.41     | .97  |

| Dimension   | Test II |      | Test III |      |
|---|---------|------|----------|------|
|   | Mean    | SD   | Mean     | SD   |
| 2. Typically a principal would handle complaints diplomatically.  |         |      | 5.71     | 1.49 |
| 3. Typically a principal would sit in an informal setting to put visitors at ease.  | 2.82    | 1.76 |          |      |
| 4. Typically a principal would discuss parental concerns with parent/s.   |         |      | 1.00     | 0.0  |
| 5. Typically a principal would appear ill at ease when talking with a disadvantaged or racially different parent.                 |         |      | 2.67     | 1.47 |
| 6. Typically a principal would change his opinion from one session to another.  | 2.04    | .77  |          |      |
| 7. Typically a principal would be frequently unavailable.   | 3.50    | 2.06 |          |      |
| 8. Typically a principal would answer questions put to him by parents, students, teachers, and citizens.                          |         |      | 5.29     | 1.28 |
| Involvement in community activities and involving the community in the school.  |         |      |          |      |
| 1. Typically a principal would strive to acknowledge efforts of teachers, students, parents and citizens made on school's behalf. | 6.15    | 1.35 |          |      |
| 2. Typically a principal would set up orientation meetings with parents and citizens concerning new programs in the school.       |         |      | 6.41     | .75  |

| Dimension  | Test II |      | Test III |      |
|--|---------|------|----------|------|
|  | Mean    | SD   | Mean     | SD   |
| 3. Typically a principal would organize and maintain parental volunteer programs.                                |         |      | 5.19     | .94  |
| 4. Typically a principal would organize a parent/citizen booster club.   |         |      | 2.46     | .94  |
| 5. Typically a principal would belong to community organizations.  |         |      | 2.00     | 1.04 |
| 6. Typically a principal would open the school for community activities.   | 2.11    | 1.25 |          |      |
| 7. Typically a principal would set up committees.  |         |      |          |      |
| Curriculum Planning  |         |      |          |      |
| 1. Typically a principal would work with teachers in curriculum planning for the school.                         | 2.70    | .91  |          |      |
| 2. Typically a principal would work to modify present programs and implement new ones.                           | 2.67    | 1.66 |          |      |
| 3. Typically a principal would check to see that students of varying ability are being provided for by teachers. | 5.97    | 1.58 |          |      |
| 4. Typically a principal would prepare a place for all special service personnel in the school.                  |         |      | 1.82     | 1.00 |
| 5. Typically a principal would approve field trips.  |         |      |          |      |
| 6. Typically a principal would feel he can teach any class as well as the teacher and let everyone know it.      |         |      | 4.68     | 1.44 |

| Dimension   | Test II |      | Test III |      |
|---|---------|------|----------|------|
|   | Mean    | SD   | Mean     | SD   |
| 7. Typically a principal would be unwilling to acknowledge that a low achiever can ever be any other type of student. | 2.93    | 2.13 |          |      |
| 8. Typically a principal would provide remedial classes for those needing help in passing the state competency test.  |         |      | 5.89     | 1.31 |
| 9. Typically a principal would require learning centers, bulletin boards, and that students' work be displayed.       |         |      | 2.93     | 1.30 |
| 10. Typically a principal would encourage and initiate personal goal setting for his teachers.                        |         |      | 6.36     | .73  |
| Climatizing of Schools  |         |      |          |      |
| 1. Typically a principal would set high standards for self and school.  |         |      | 4.30     | 1.88 |
| 2. Typically a principal would motivate others by his spirit and obvious enthusiasm.                                  | 3.72    | 1.67 |          |      |
| 3. Typically a principal would attend all school functions and encourage other faculty members to do likewise.        |         |      | 3.78     | .58  |
| 4. Typically a principal would be fair, but firm.   |         |      | 2.25     | 1.04 |
| 5. Typically a principal would demonstrate the ability to say "I don't know" at times or "I made a mistake."          | 1.79    | 1.29 |          |      |
| 6. Typically a principal would rarely be seen outside his office.   | 3.50    | 2.06 |          |      |

| Dimension   | Test II |      | Test III |      |
|---|---------|------|----------|------|
|   | Mean    | SD   | Mean     | SD   |
| 7. Typically a principal would embarrass new teacher in the teacher's lounge by quizzing them in front of older teachers or by speaking disparagingly of their teaching skills. | 1.54    | 1.11 |          |      |
| 8. Typically a principal would make positive statements in order to encourage positive thinking.  |         |      | 5.89     | 1.45 |
| 9. Typically a principal would demonstrate a willingness to help by listening or lending a helping hand.  |         |      | 1.46     | .96  |
| Ombudsman   |         |      |          |      |
| 1. Typically a principal would teach a class for parents to foster better understanding of children.  | 5.48    | 1.09 |          |      |
| 2. Typically a principal would encourage parental observation of classes.   |         |      | 2.21     | 1.29 |
| 3. Typically a principal would smile and demonstrate a vivacious spirit both for school, education, and children.   |         |      | 4.85     | 1.29 |
| 4. Typically a principal would deal with law enforcement officers.  | 3.46    | 1.53 |          |      |
| 5. Typically a principal would vocalize concern for an effective school.  |         |      | 3.71     | 1.41 |
| 6. Typically a principal would walk over the campus and carry on informal task.   |         |      | 5.31     | 1.41 |

| Dimension  | Test II |      | Test III |      |
|--|---------|------|----------|------|
|  | Mean    | SD   | Mean     | SD   |
| 7. Typically a principal would punish students for betting, while allowing faculty to bet on sporting events.        |         |      | 4.33     | 1.88 |
| Dealing with students  |         |      |          |      |
| 1. Typically a principal would actively participate in programs with students.                                       | 3.04    | 1.84 |          |      |
| 2. Typically a principal would be acquainted with his students.  | 5.64    | 1.22 |          |      |
| 3. Typically a principal would provide remedial classes for those needing help in passing the state competency test. | 5.89    | 1.31 |          |      |
| 4. Typically a principal would provide opportunity for standardized testing of students.                             |         |      | 4.85     | 1.06 |
| 5. Typically a principal would speak above the students' heads.  |         |      | 1.71     | 1.44 |
| 6. Typically a principal would treat student groups differently.   |         |      | 2.93     | 1.25 |
| 7. Typically a principal would appear ill at ease when talking with a disadvantaged or racially different student.   | 2.67    | 1.47 |          |      |
| 8. Typically a principal would attend male sporting events.  |         |      | 3.63     | 1.14 |
| 9. Typically a principal would counsel students.   |         |      | 6.25     | .7   |
| Discipline   |         |      |          |      |
| 1. Typically a principal would discipline students.  | 3.56    | 1.66 |          |      |

| Dimension   | Test II |      | Test III |      |
|---|---------|------|----------|------|
|   | Mean    | SD   | Mean     | SD   |
| 2. Typically a principal would talk with problem students.  |         |      | 5.79     | 1.17 |
| 3. Typically a principal would develop a student handbook.  |         |      | 1.56     | .80  |
| 4. Typically a principal would paddle kids.   | 5.96    | 1.11 |          |      |
| 5. Typically a principal would change his opinion from one counseling session to another without any apparent reason. | 2.96    | 1.24 |          |      |
| 6. Typically a principal would invoke mass punishment.  |         |      | 3.96     | 1.14 |
| 7. Typically a principal would ignore discipline problems.  | 1.96    | .89  |          |      |
| 8. Typically a principal would go to court.   |         |      | 6.50     | .65  |
| 9. Typically a principal would suspend/expel students.  |         |      | 2.58     | 1.36 |
| Budgeting   |         |      |          |      |
| 1. Typically a principal would set or help to set priorities in school spending.                                      |         |      | 5.11     | 1.31 |
| 2. Typically a principal would pay for substitute teachers so teachers can attend workshops, etc.                     |         |      | 2.14     | .77  |
| 3. Typically a principal would use volunteers where possible.   |         |      | 6.18     | .91  |
| 4. Typically a principal would inform the county office of school needs.  | 2.11    | .75  |          |      |
| 5. Typically a principal would staff and support cafeteria personnel.   |         |      | 4.32     | 1.19 |

| Dimension   | Test II |      | Test III |      |
|---|---------|------|----------|------|
|   | Mean    | SD   | Mean     | SD   |
| 6. Typically a principal would apply for federal funding.   |         |      | 3.00     | 1.36 |
| 7. Typically a principal would conduct school sales, fall festivals, etc.   | 2.42    | 2.10 |          |      |
| Staff Development   |         |      |          |      |
| 1. Typically a principal would set up staff development programs.   | 1.82    | .39  |          |      |
| 2. Typically a principal would take action to remove incompetent teachers.  |         |      | 1.11     | .42  |
| 3. Typically a principal would encourage professional growth through providing teachers access to professional literature, meetings, etc. |         |      | 5.04     | 1.16 |
| 4. Typically a principal would interview and hire teachers.   |         |      | 2.85     | 1.49 |
| 5. Typically a principal would encourage teachers to attend graduate school.  |         |      | 6.22     | 1.22 |
| 6. Typically a principal would not allow teachers to take days to attend workshops, professional meetings, etc.                           | 2.46    | 1.53 |          |      |
| 7. Typically a principal would blame teacher institutions for weak or unsuccessful teachers.  |         |      | 2.26     | 1.43 |
| Interpersonal Relations   |         |      |          |      |
| 1. Typically a principal would encourage teachers to work together and help each other.   |         |      | 5.74     | .95  |



| Dimension  | Test II |      | Test III |      |
|--|---------|------|----------|------|
|  | Mean    | SD   | Mean     | SD   |
| 2. Typically a principal would encourage the community to come in the school and aid.                                  |         |      | 6.14     | 1.21 |
| 3. Typically a principal would take faculty concerns to school board/superintendent.                                   | 6.39    | 1.13 |          |      |
| 4. Typically a principal would give tenured teachers too much deference.   |         |      | 3.93     | 1.02 |
| 5. Typically a principal would grant personal days grudgingly.   | 3.30    | 2.28 |          |      |
| 6. Typically a principal would use punitive measures-- taking away privileges, making threats, assigning extra duties. |         |      | 2.00     | 1.20 |
| 7. Typically a principal would visit homes of single teachers.   |         |      | 3.00     | 1.35 |
| Communications   |         |      |          |      |
| 1. Typically a principal would make effective use of the media.  |         |      | 6.60     | 1.29 |
| 2. Typically a principal would listen and offer advice.  |         |      | 4.09     | .73  |
| 3. Typically a principal would send notices home to parents.   |         |      | 6.36     | .76  |
| 4. Typically a principal would call special student assemblies.  |         |      | 4.96     | 1.07 |
| 5. Typically a principal would demonstrate his human side by showing emotion.  | 4.32    | 1.59 |          |      |
| 6. Typically a principal would state that he is open-minded.   | 5.26    | 1.51 |          |      |
| 7. Typically a principal would send messages by telling one or two people.   |         |      | 3.32     | 1.39 |

| Dimension   | Test II |      | Test III |      |
|---|---------|------|----------|------|
|   | Mean    | SD   | Mean     | SD   |
| Change Agent  |         |      |          |      |
| 1. Typically a principal would recognize and make provision for change.   | 2.93    | 1.49 |          |      |
| 2. Typically a principal would set orientation programs with parents and citizens concerning new programs for school. | 3.43    | 1.16 |          |      |
| 3. Typically a principal would provide time and opportunity for sharing of ideas by faculty.                          | 5.43    | 1.57 |          |      |
| 4. Typically a principal would allow flexibility in teaching methods and style.                                       |         |      |          |      |
| 5. Typically a principal would listen to new ideas of others and weigh them.  | 2.43    | 1.12 |          |      |
| 6. Typically a principal would state that change creates conflict and confusion.                                      |         |      | 2.25     | 1.30 |
| 7. Typically a principal would ignore those teachers trying to bring about change.                                    | 3.36    | 1.18 |          |      |
| 8. Typically a principal would support teachers willing to try innovative teaching methods.                           |         |      | 5.64     | 1.39 |
| 9. Typically a principal would keep up to date on issues and where material can be found.                             |         |      | 4.79     | 1.37 |
| 10. Typically a principal would initiate new programs: for example, start a reading incentive project.                |         |      | 2.56     | 1.45 |
| 11. Typically a principal would provide a place in the school for all special service personnel.                      |         |      | 1.82     | 1.00 |

| Dimension   | Test II |      | Test III |      |
|---|---------|------|----------|------|
|   | Mean    | SD   | Mean     | SD   |
| <b>Scheduling</b>   |         |      |          |      |
| 1. Typically a principal would assign teachers to their classes and subjects.   |         |      | 4.78     | 2.06 |
| 2. Typically a principal would make out the master schedule.  | 5.19    | 1.69 |          |      |
| 3. Typically a principal would assign extra-curricular activities.  | 2.72    | 1.14 |          |      |
| 4. Typically a principal would assign extra duties to teachers--hall, bus, lunch, etc.  |         |      | 2.92     | 1.40 |
| 5. Typically a principal would ignore activities unless he is directly responsible for them.  | 1.54    | .88  |          |      |
| 6. Typically a principal would schedule more than one activity at a time.   |         |      | 2.11     | 1.07 |
| 7. Typically a principal would call student meetings without giving the faculty prior notice.                                       | 3.58    | .96  |          |      |
| 8. Typically a principal would develop transportation routes.   |         |      | 5.58     | 1.46 |
| 9. Typically a principal would build time in the schedule for teachers to share ideas and make plans and/or observe other teachers. |         |      | 6.36     | 2.76 |
| <b>Resource Person</b>  |         |      |          |      |
| 1. Typically a principal would keep up-to-date on issues and where materials may be obtained.                                       |         |      | 4.79     | 1.37 |
| 2. Typically a principal would set up workshops for others in the profession.   |         |      | 2.39     | 1.20 |

| Dimension   | Test II |      | Test III |      |
|---|---------|------|----------|------|
|   | Mean    | SD   | Mean     | SD   |
| 3. Typically a principal would prepare a list of resource people and materials for classroom teachers.  | 2.52    | 1.78 |          |      |
| 4. Typically a principal would attend professional workshops, meetings, and conventions.  |         |      | 6.14     | .80  |
| 5. Typically a principal would notify the faculty of inservice opportunities.   | 2.63    | 1.47 |          |      |
| 6. Typically a principal would seek leadership position in his organizations.   |         |      | 5.25     | 1.35 |
| 7. Typically a principal would give reports.  |         |      | 3.19     | 1.10 |
| School Improvement  |         |      |          |      |
| 1. Typically a principal would work with counselors in setting up positive classrooms.  |         |      | 2.00     | .88  |
| 2. Typically a principal would work with teachers on school accreditation.  | 4.31    | 1.20 |          |      |
| 3. Typically a principal would work on school beautification.   |         |      | 4.36     | 1.25 |
| 4. Typically a principal would provide teachers with copies of local, state, and federal guidelines, as well as any recent court decisions regarding education. | 1.63    | 1.25 |          |      |
| 5. Typically a principal would hold fire drills.  |         |      | 2.92     | 1.26 |
| 6. Typically a principal would serve on accreditation teams.  |         |      | 3.89     | 1.34 |

| Dimension  | Test II |      | Test III |     |
|--|---------|------|----------|-----|
|  | Mean    | SD   | Mean     | SD  |
| 7. Typically a principal would do nothing.   | 2.40    | 1.09 |          |     |
| 8. Typically a principal would conduct school sales and school festivals in order to make money for school improvements. |         |      | 6.15     | .78 |

\* Items retained in final instrument.

APPENDIX J  
REVISED INSTRUMENT FOR THIRD FIELD TESTING

Behaviorally Anchored Rating Scale for Principals

by

Brenda Moon

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## Instructions

The following instrument is designed for use in evaluating principals. Each page includes a set of behaviors falling under a specific job dimension. You are to rate the principal as to how well he performs, based on your observations. There is an answer sheet on the back based on a Likert-type scale of 5-1, with 5 indicating the highest performance; 1, the lowest; and 3, average. As an individual, you are asked to find the typical behavior of your principal in each case. This does not mean that a person whose behavior is rated "5" actually demonstrates all other four behaviors. It simply means that this is how he would typically behave.

There will be no total score, since this instrument is designed to spot strengths and weaknesses, instead of a composite score. This is a developmental approach to evaluation.



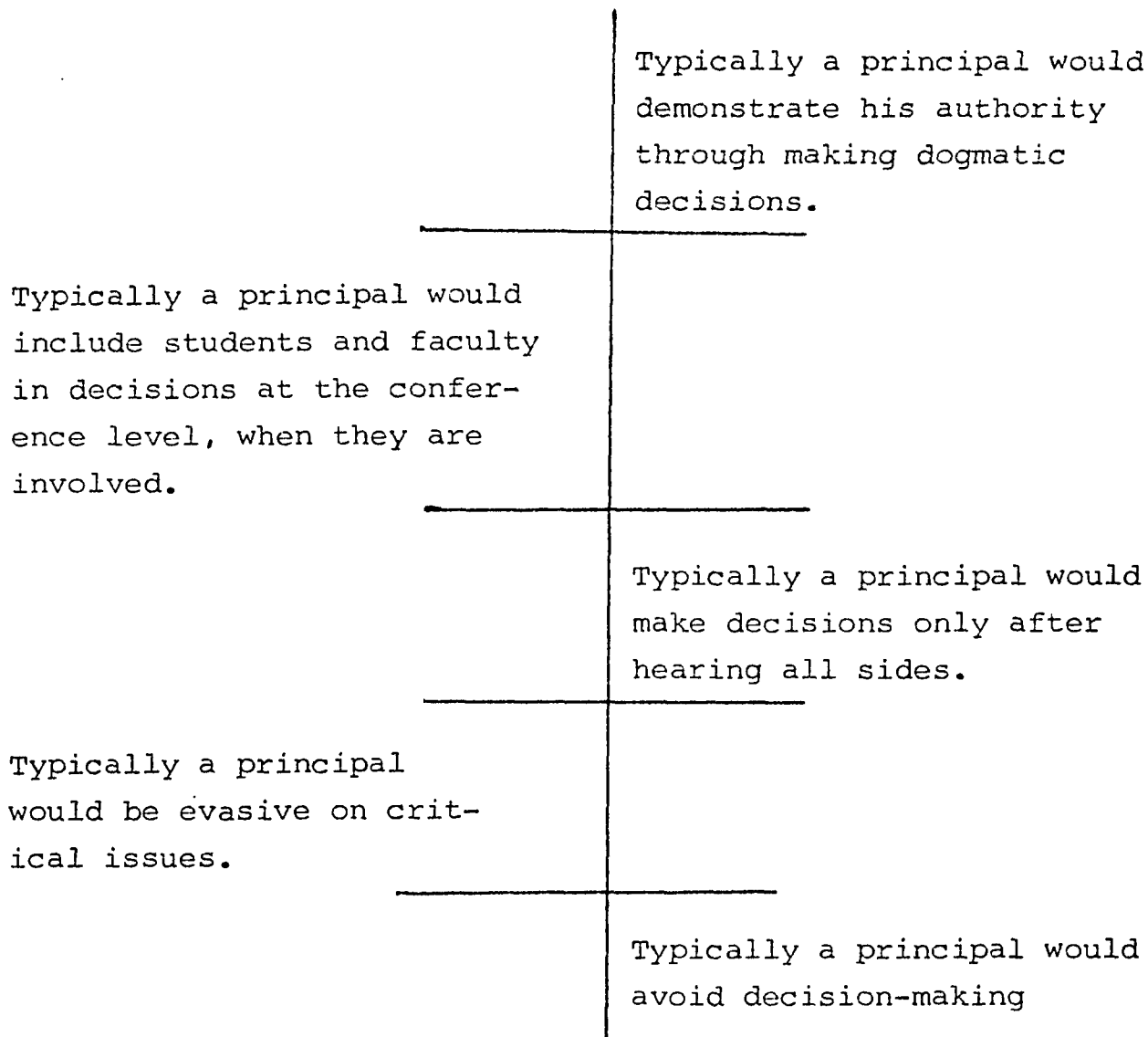


Figure 3.1 BARS for principals for the dimension of decision-making

|  |  |
|--|--|
|  | Typically a principal would go to the source of conflict.  |
| Typically a principal would listen and point out pertinent issues that may be the cause of the conflict. |  |
|  | Typically a principal would differentiate between teachers.                                      |
| Typically a principal would state that conflict has no value.  |  |
|  | Typically a principal would supervise closely conflict areas such as cheerleader selection, etc. |

Figure 3.2 BARS for principals for the dimension of handling conflict.

|  |   |
|--|---|
| Typically a principal would distribute negative statements and verbally ridicule faculty members.  | Typically a principal would distribute praise and hand out sanctions.   |
| Typically a principal would blame teacher training institutions for weak or unsuccessful teachers. | Typically a principal would hold feedback sessions after conducting a periodic evaluation.  |
|  | Typically a principal would embarrass new teachers in the teacher's lounge by quizzing them in front of older teachers or by speaking disparagingly of their teaching skills. |

Figure 3.3 BARS for principals for the dimension of teacher evaluation.

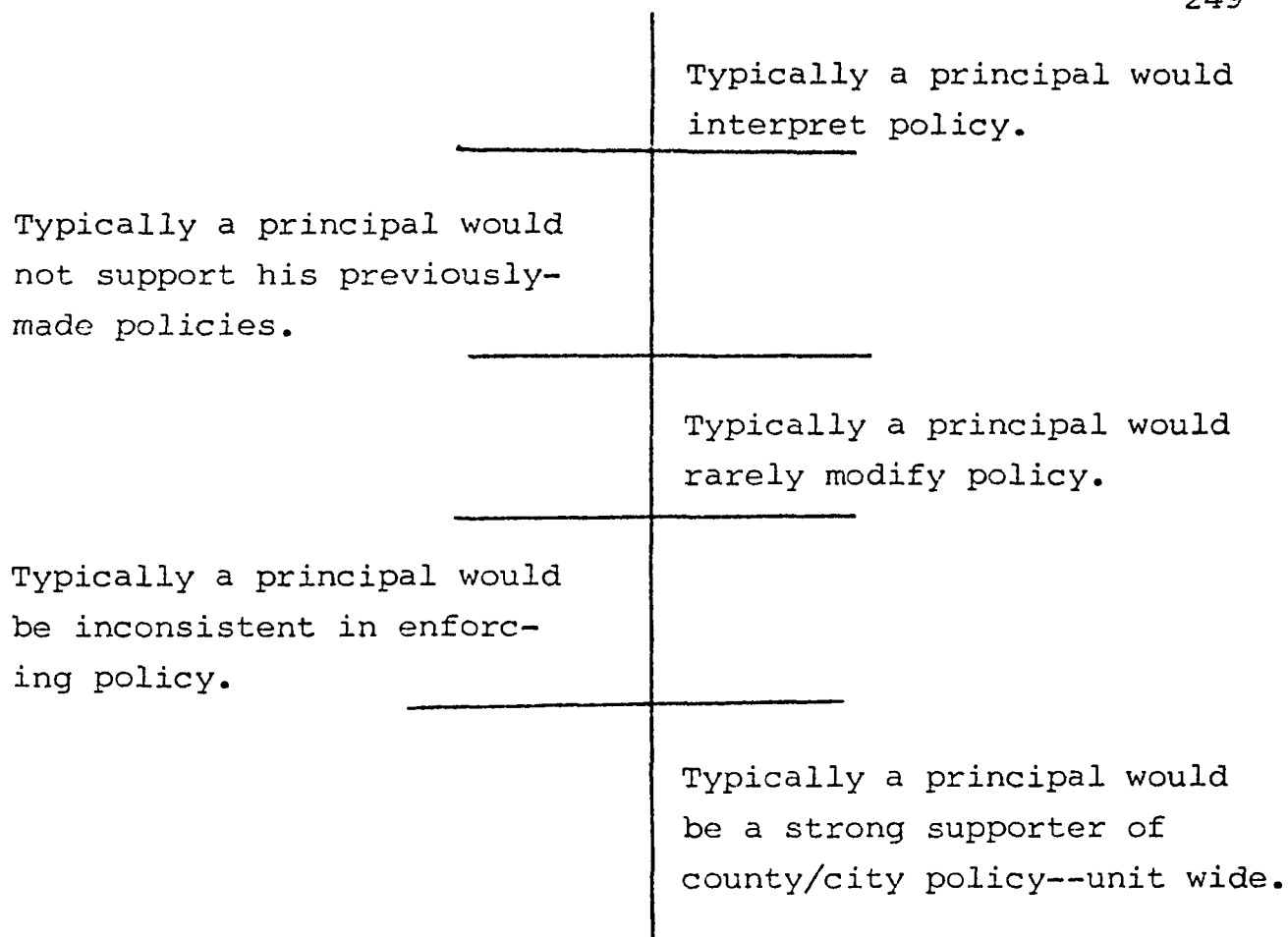


Figure 3.4 BARS for principals for the dimension of policy-making

|   |  |
|---|--|
| Typically a principal would take issues to school board meetings.           | Typically a principal would conduct faculty meetings.  |
| Typically a principal would hold monthly meetings with department chairmen. | Typically a principal would be prompt to meetings and prepared.                                  |
|   | Typically a principal would call discussion meetings without taking time to do his/her homework. |

Figure 3.5 BARS for principals for the dimension of meetings.

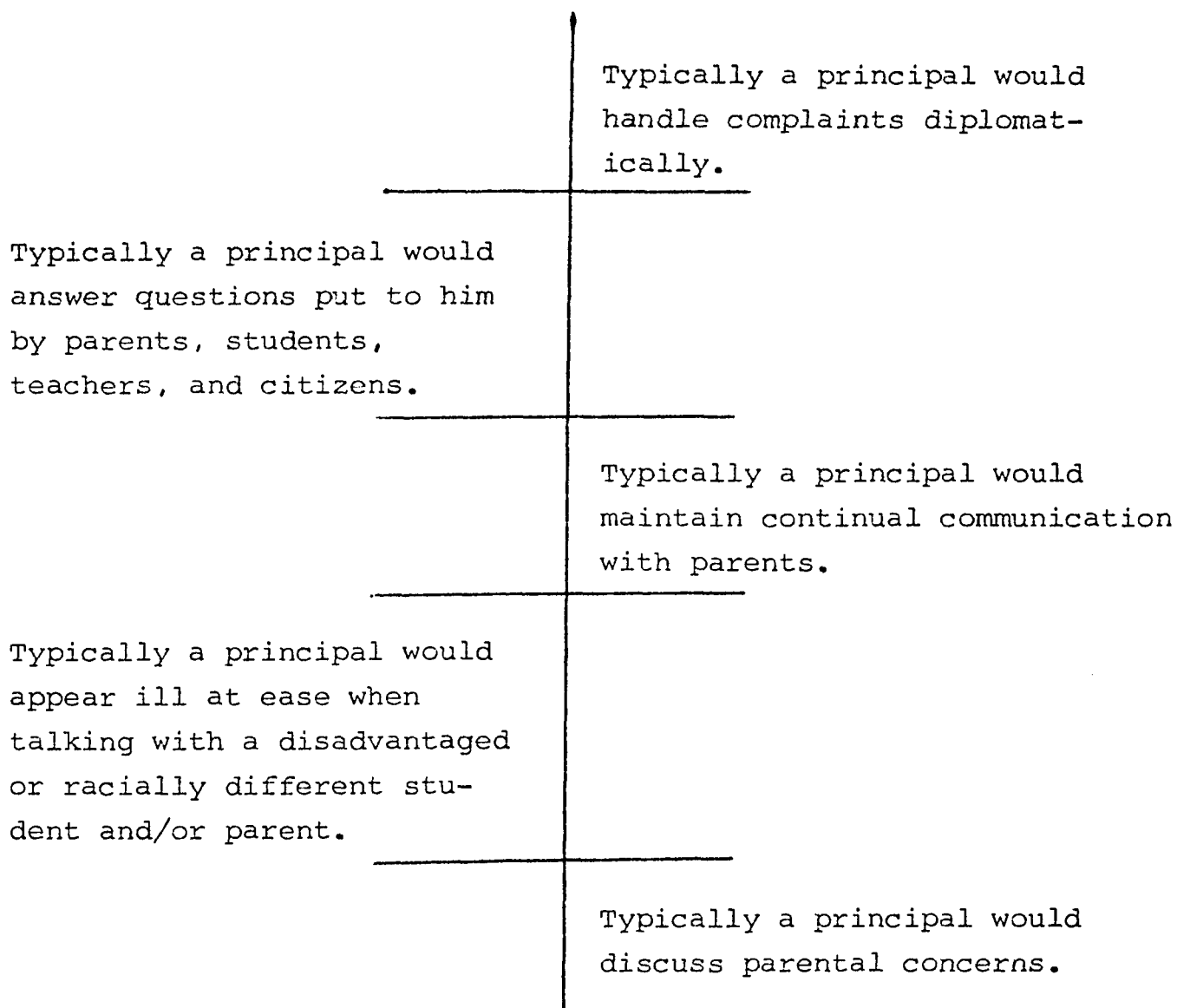


Figure 3.6 BARS for principals for the dimension of dealing with parents.

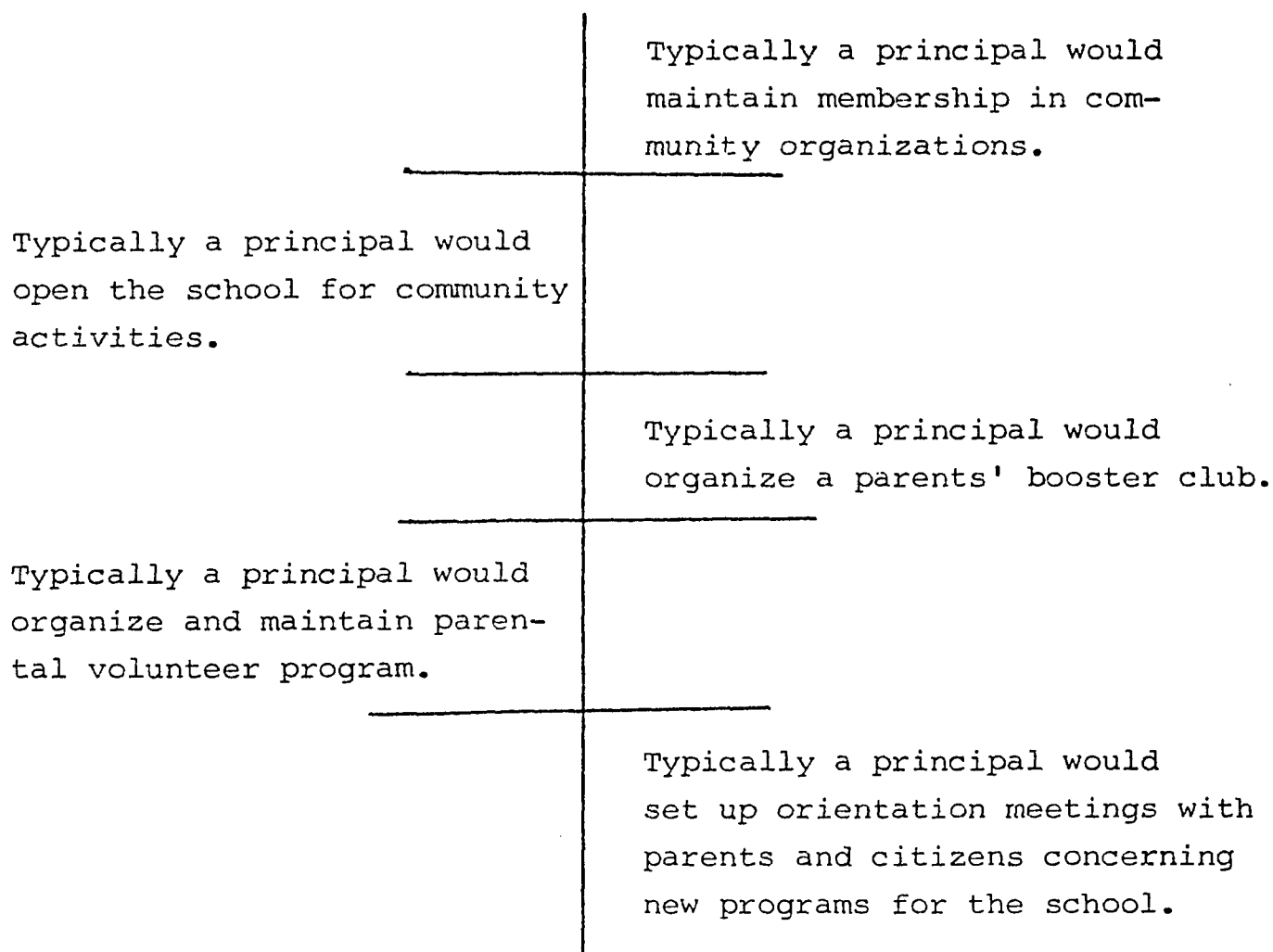


Figure 3.7 BARS for principals for the dimension of involvement in community activities and in involving the community in the school.

|   |  |
|---|--|
|   | Typically a principal would encourage and initiate personal goal setting for his teachers.                   |
| Typically a principal would provide remedial classes for those needing help in passing the state competency test. |  |
|   | Typically a principal would feel he/she can teach any class as well as the teacher and let everyone know it. |
| Typically a principal would require learning centers, bulletin boards, and that students' work be displayed.      |  |
|   | Typically a principal would prepare a place for all special service personnel in the school.                 |

Figure 3.8 BARS for principals for the dimension of curriculum planning.



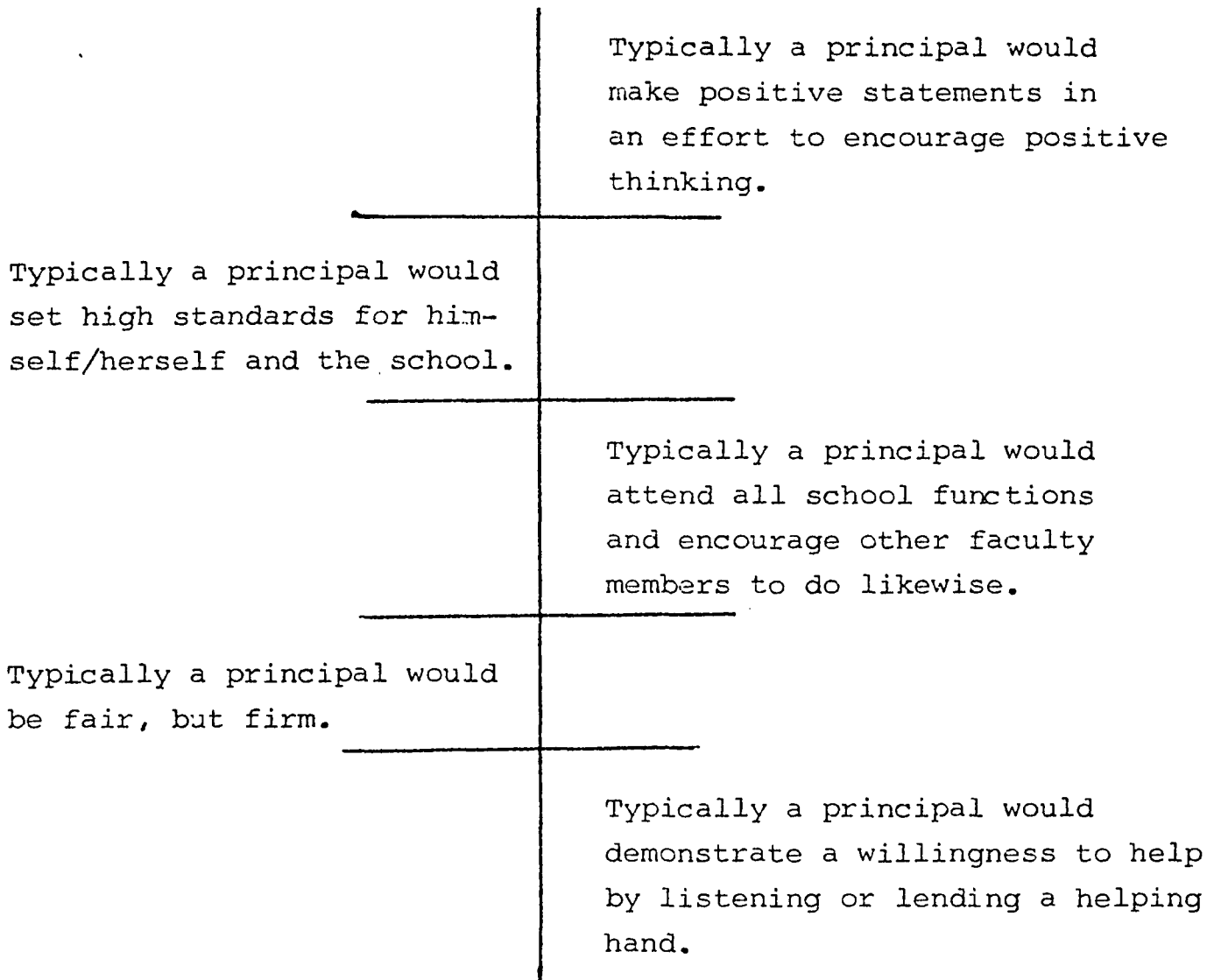


Figure 3.9 BARS for principals for the dimension of climatizing of school.

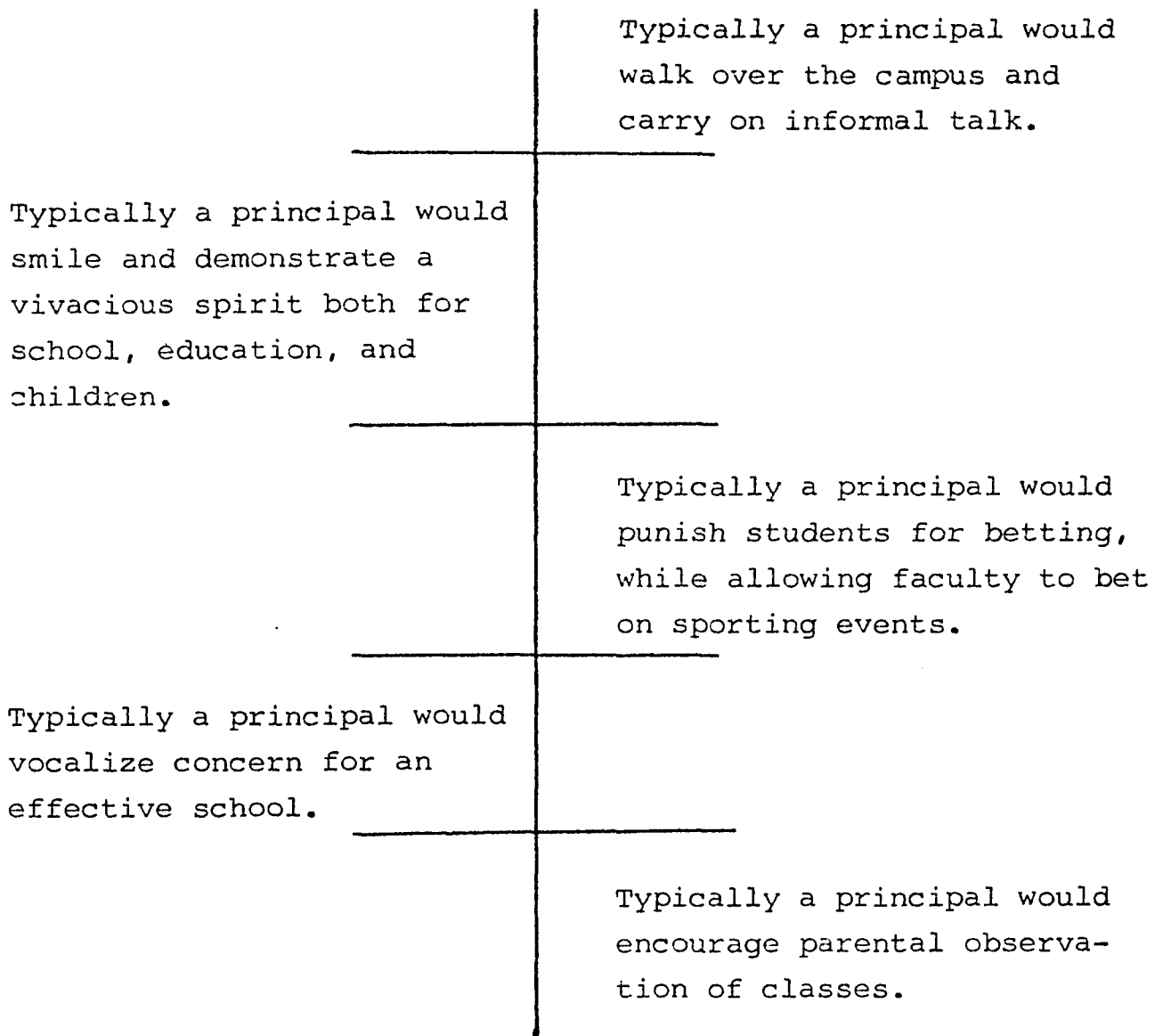


Figure 3.10 BARS for principals for the dimension of ombudsman.

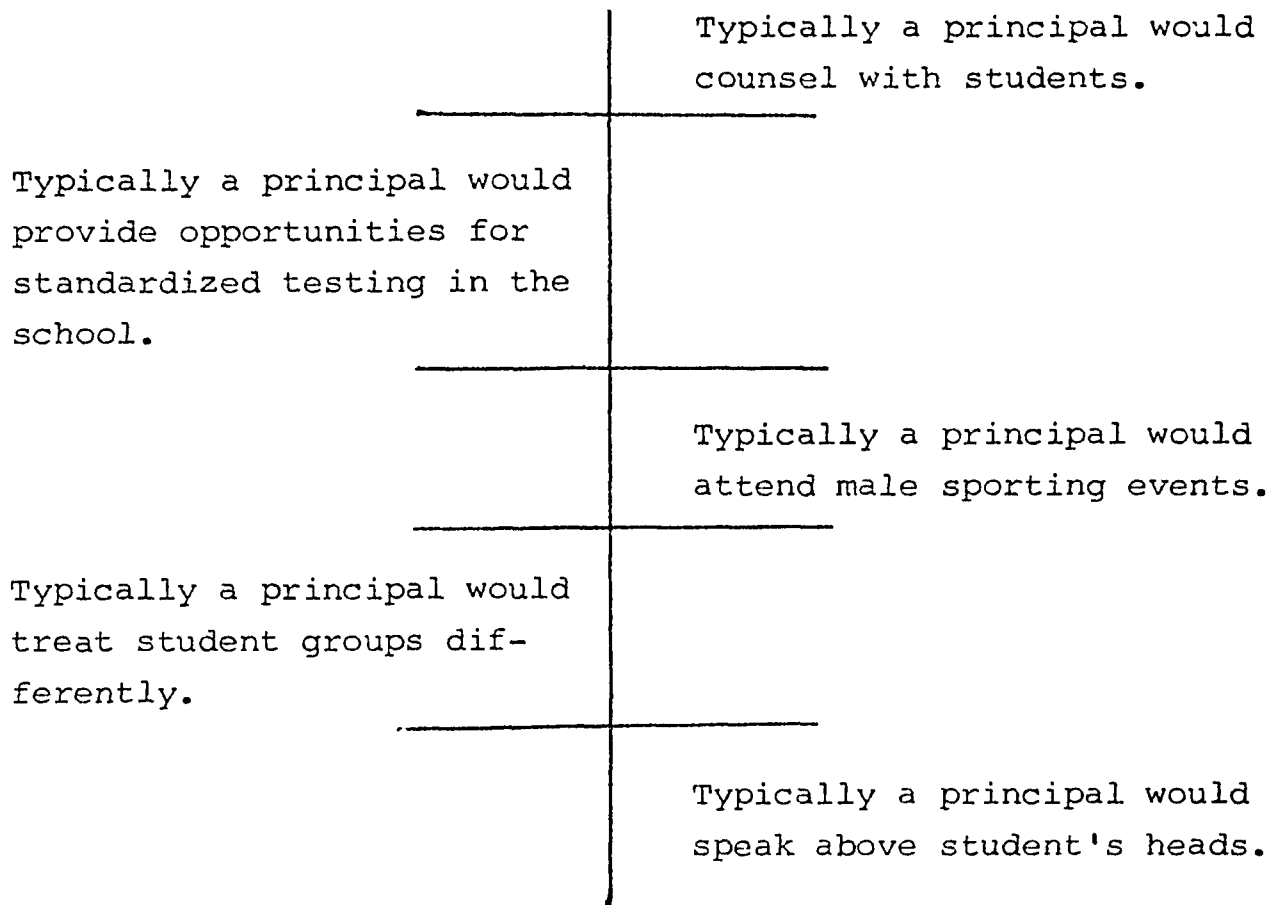


Figure 3.11 BARS for principals for the dimension of dealing with students.

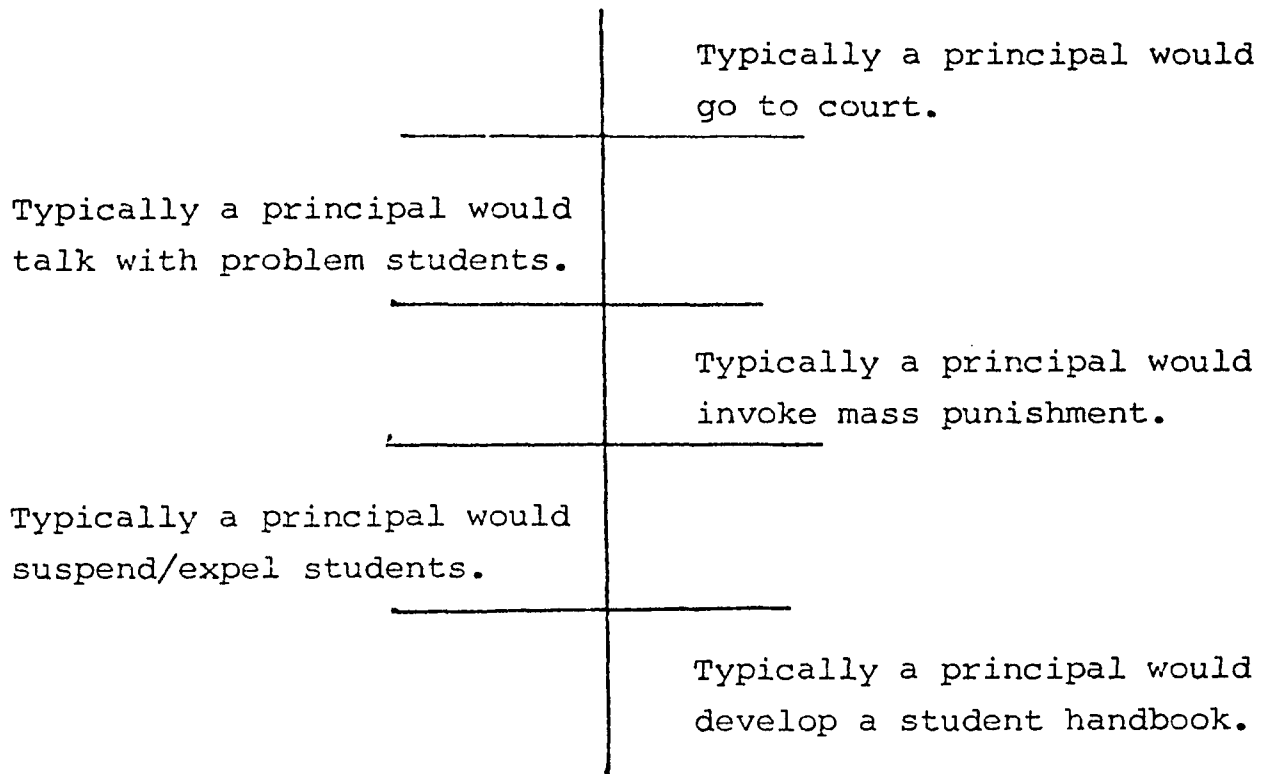


Figure 3.12 BARS for principals for the dimension of discipline.

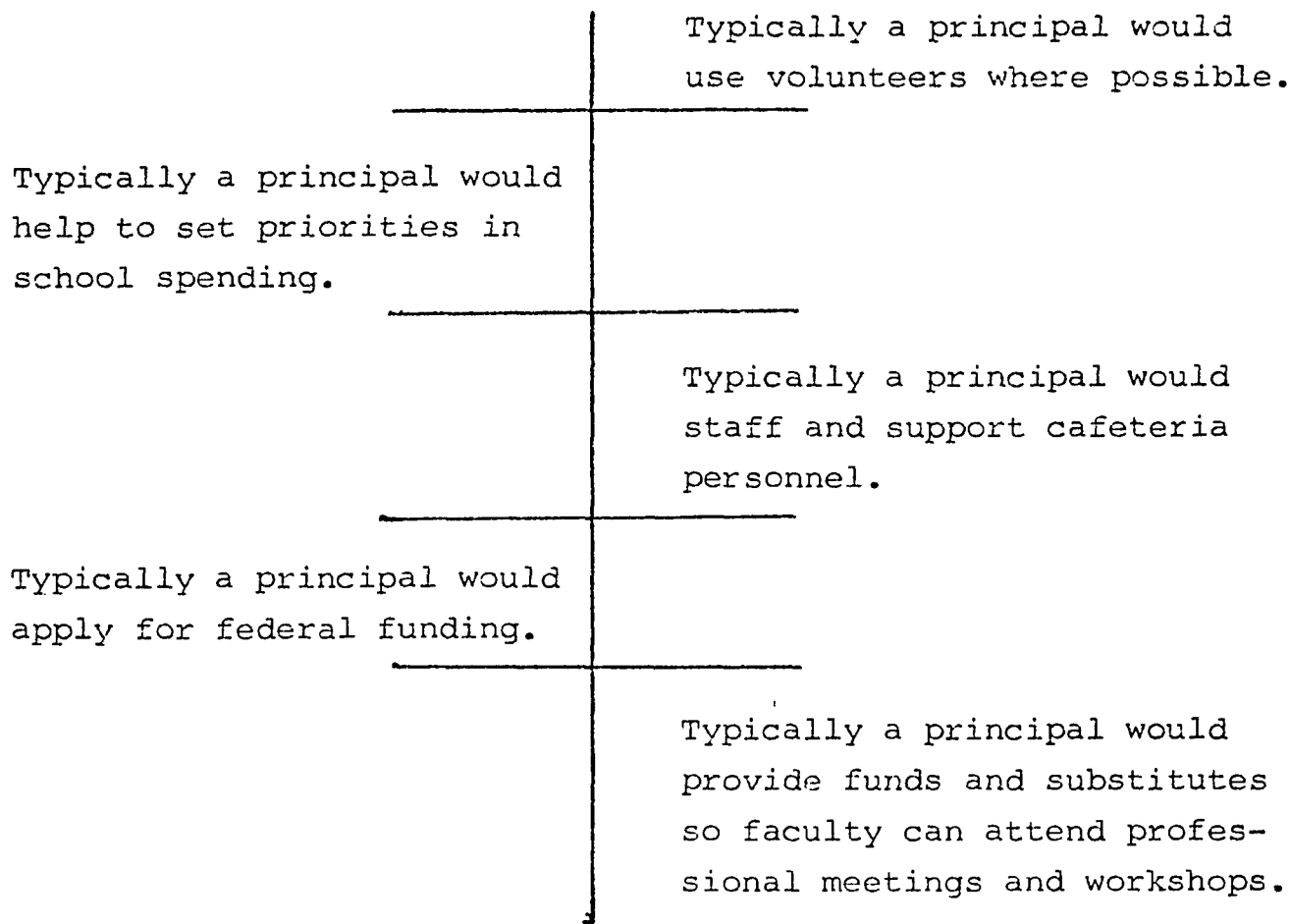


Figure 3.13 BARS for principals for the dimension of budgeting.

|   |   |
|---|---|
| Typically a principal would encourage professional growth through providing access to professional literature, meetings, etc. | Typically a principal would encourage teachers to attend graduate school. |
| Typically a principal would blame teacher training institutions for weak teachers.  | Typically a principal would interview and hire teachers.                  |
|   | Typically a principal would take action to remove incompetent teachers.   |

Figure 3.14 BARS for principals for the dimension of staff development.

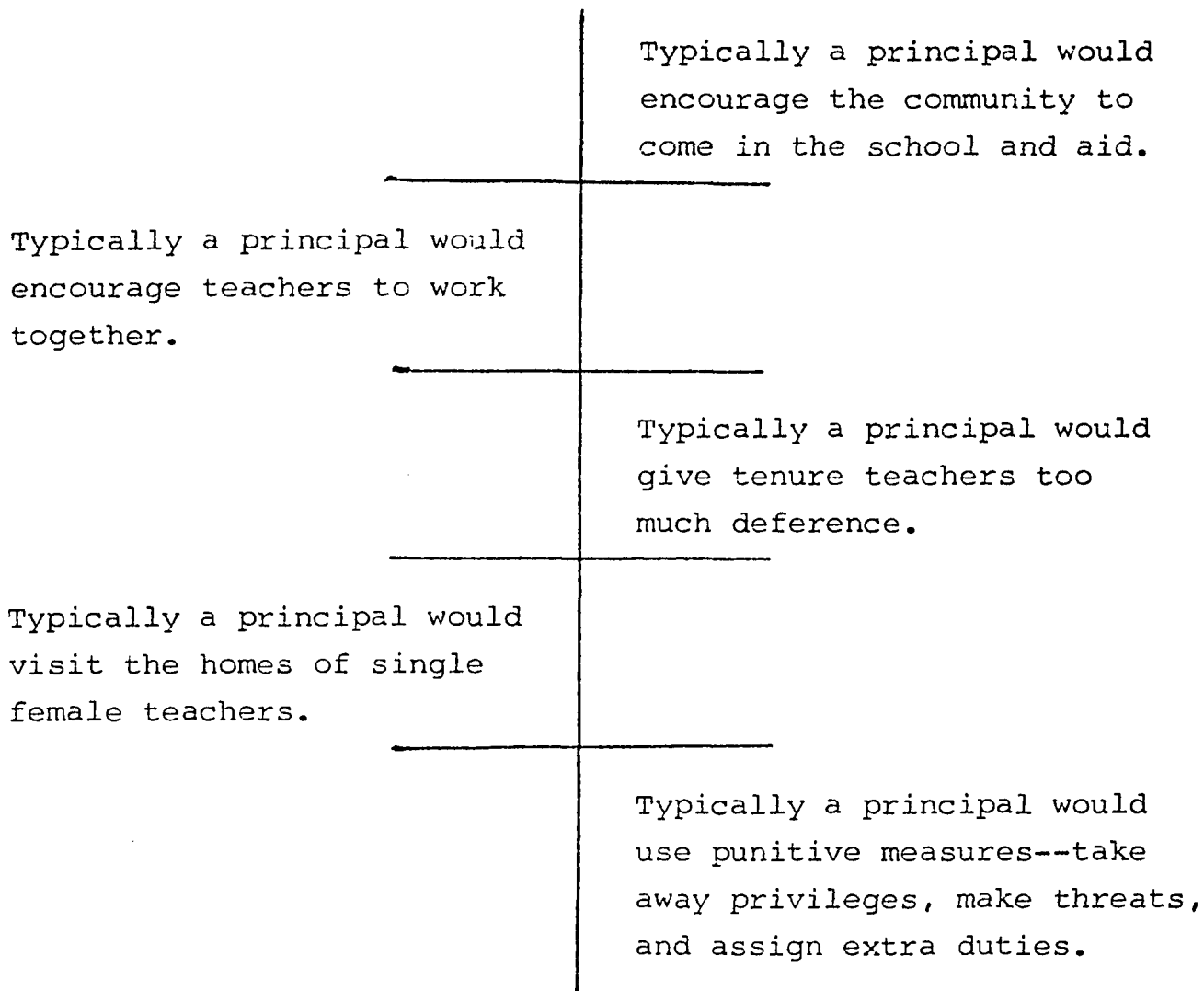


Figure 3.15 BARS for principals for the dimension of interpersonal relations.

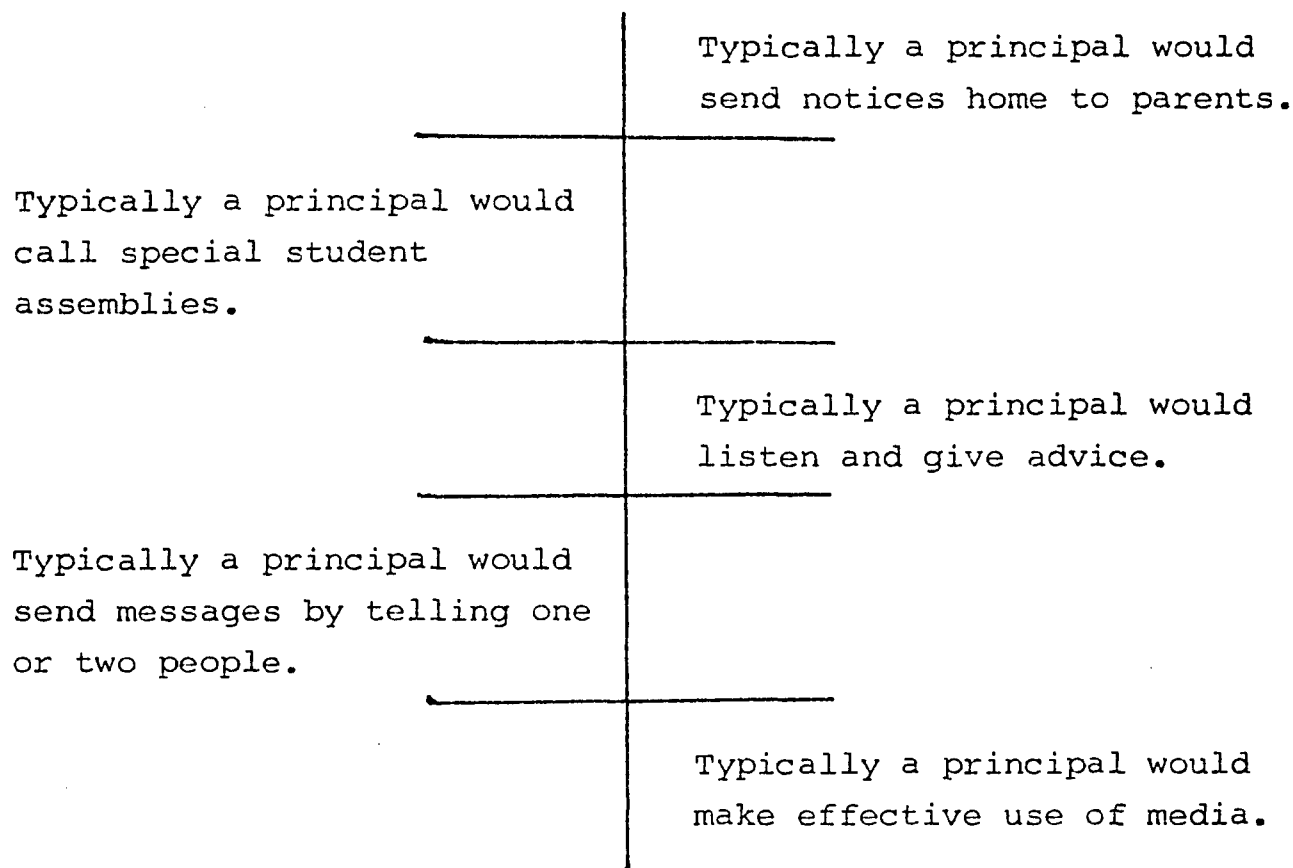


Figure 3.16 BARS for principals for the dimension of communications.



|  |  |
|--|--|
|  | Typically a principal would support teachers willing to try innovative teaching methods.           |
| Typically a principal would keep up-to-date on issues and where material can be found. |  |
|  | Typically a principal would initiate new programs; for example, start a reading incentive project. |
| Typically a principal would state that change creates conflict and confusion.          |  |
|  | Typically a principal would provide a place in the school for all special service personnel.       |

Figure 3.17 BARS for principals for the dimension of change agent.

|   |  |
|---|--|
| Typically a principal would develop transportation routes and make out the master schedule. | Typically a principal would build time in the schedule for teachers to share ideas and make plans and/or observe other teachers. |
| Typically a principal would schedule more than one activity at a time.                      | Typically a principal would assign extra duties.   |
|   | Typically a principal would ignore activities for which he/she is not directly responsible.                                      |

Figure 3.18 BARS for principals for the dimension of scheduling.

|  |  |
|--|--|
| Typically a principal would seek leadership positions in organization. | Typically a principal would attend professional workshop meetings, conventions.            |
| Typically a principal would give reports.                              | Typically a principal would keep up-to-date on issues and where materials may be obtained. |
|  | Typically a principal would set up workshops.  |

Figure 3.19 BARS for principals for the dimension of resource person.

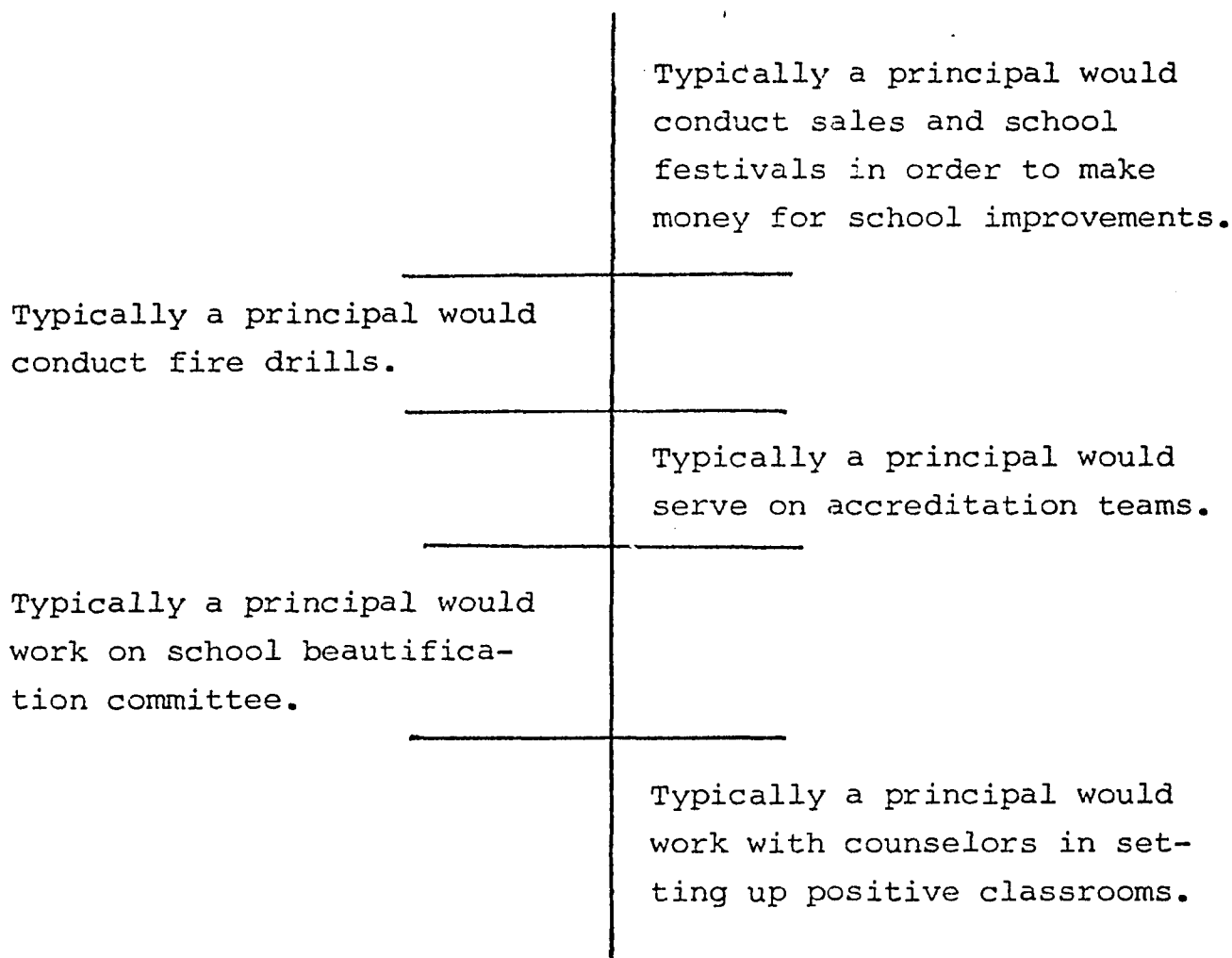


Figure 3.20 BARS for principals for the dimension of school improvement.

## Rating Sheet

|        | 5 | 4 | 3 | 2 | 1 |
|--------|---|---|---|---|---|
| Figure |   |   |   |   |   |
| 3.1    |   |   |   |   |   |
| 3.2    |   |   |   |   |   |
| 3.3    |   |   |   |   |   |
| 3.4    |   |   |   |   |   |
| 3.5    |   |   |   |   |   |
| 3.6    |   |   |   |   |   |
| 3.7    |   |   |   |   |   |
| 3.8    |   |   |   |   |   |
| 3.9    |   |   |   |   |   |
| 3.10   |   |   |   |   |   |
| 3.11   |   |   |   |   |   |
| 3.12   |   |   |   |   |   |
| 3.13   |   |   |   |   |   |
| 3.14   |   |   |   |   |   |
| 3.15   |   |   |   |   |   |
| 3.16   |   |   |   |   |   |
| 3.17   |   |   |   |   |   |
| 3.18   |   |   |   |   |   |
| 3.19   |   |   |   |   |   |
| 3.20   |   |   |   |   |   |