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MOORE, RICHARD EARL

A STUDY OF THE PRACTICES FOR EVALUATING ADMINISTRATORS IN
THE FOUR-YEAR PUBLIC AND PRIVATE COLLEGES AND UNIVERSITIES
OF NORTH CAROLINA

The University of North Carolina at Greensboro

ED.D. 1981

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A STUDY OF THE PRACTICES FOR EVALUATING
ADMINISTRATORS IN THE FOUR-YEAR
PUBLIC AND PRIVATE COLLEGES
AND UNIVERSITIES OF
NORTH CAROLINA

by

Richard E. Moore

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the Faculty of the Graduate School at
The University of North Carolina at Greensboro
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of the Requirements for the Degree of
Doctor of Education

Greensboro
1980

Approved by



Dissertation Adviser

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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The selected literature related to the evaluation of the performance of college and university administrators was reviewed. Following the review of the literature, a questionnaire was developed to ascertain the status of the evaluation of administrators in the four-year colleges and universities of North Carolina. The questionnaire was submitted to the forty-seven chief executives of these institutions. Thirty-six questionnaires were returned. As a part of the questionnaire, a request was made for a copy of the formal evaluation plan for the evaluation of administrators. Four evaluation forms were returned.

Findings

Forty-one percent of all the respondents indicated there was a formalized evaluation process in effect for their administrators.

Respondents from public and private colleges were in agreement that performance evaluation is a useful response to accountability.

Less than half of the responding chief executives without a formal plan, had a formal plan under discussion.

Use of the results of the evaluation to provide feedback on their subordinates' performance was rated at a level of high importance by the respondents.

Seventy-five percent of the respondents without formal evaluation procedures had no plans to institute formal plans within the next five years.

Boards of trustees or similar governing bodies exhibited only limited response in discussing the use of formal evaluation procedures.

Conclusions from the Study

1. Percentage comparisons between types of institutions, size and control, indicated that only size seemed to be a determinant in the use of formal evaluation procedures

2. A significant increase in the use of results-oriented evaluation approaches in the very near future is unlikely

3. Chief executives will have to become more knowledgeable about formal evaluation procedures, and will have to initiate more discussions about evaluation with their respective governing boards, if the use of formal administrator evaluation is to increase in higher education

4. A significant increase in the use of formal evaluation procedures in the next five years is unlikely

5. The need for formal administrator evaluation has been generally accepted, but there is still a reluctance by many chief administrators to put it into operation

6. Governing boards of colleges and universities of North Carolina have little interest in administrator evaluation, either formal or informal

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CHAPTER 1

INTRODUCTION TO THE STUDY

Purpose of the Study

In view of the importance of the subject of accountability, and in view of the probably increasing concern and demand for more formal evaluation of administrative performance, the purpose of this study was to describe practices of four-year colleges and universities of North Carolina in evaluating their administrators. Further, the purpose was to determine the utilization of the evaluation process for administrators and to indicate any variation in practice among institutions of different sizes and types.

If present practices can be accurately ascertained, if needs can be brought into focus, and if trends can begin to be identified in this study, then the direction of a procedure to be taken in the evaluation of administrative performance may be suggested.

Background of the Problem

The latter half of the twentieth century has been marked by a number of startling developments in the social institutions of the United States, and among these developments has been the use of sophisticated management systems. Constant technological innovations

and changes have combined to generate great pressures which now call for effective management, "the key to the success of any institutionalized enterprise."¹

There is increasing mention in the literature of the overall importance of the manager to the individual organization and an accompanying increase in the demand for some type of appraisal of what managers do.

The most important ingredient for assuring that the institution accomplishes its mission is leadership. The educational manager is accountable for making things happen and must expect to be measured by the results he achieves.²

In the 1970's, the emphasis on retrenchment and accountability has focused attention on the need for systematic performance evaluation of college administrators.

Clearly in a period of budget cuts and economic difficulties, faculty, trustees, and even the general public have a heightened interest in the fiscal management of institutions of higher education. Furthermore, as faculty positions are eliminated at some institutions, faculty members will not idly allow the faculty to be cut while the administrative staff remains intact and even unevaluated.³

Some type of evaluation generally takes place in organizations because people have opinions about the quality of work of others, and

¹Richard I. Miller, Developing Programs for Faculty Evaluation (San Francisco: Jossey-Bass Publishers, 1974), p. 11.

²Robert E. Lahti, Innovative College Management (San Francisco: Jossey-Bass Publishers, 1973), p. 84.

³Robert C. Nordvall, "Evaluation of College Administrators: Where Are We Now?" NASPA 16, no. 2 (February 1977):53.

these are expressed in some way.⁴ Organizations must make decisions about hiring, retention, promotion and salary. Where there is no formal evaluation system, an informal system provides the basis for these decisions.

The future of higher education will be influenced by the ability of educational managers to meet the challenges of administrator evaluation.

If higher education does not demonstrate this capability, then evaluation will be done by outside agencies, and change will be forced by political considerations and by budget control--with implications which one can only guess. However, if higher education is incapable of evaluating itself or is simply unwilling to do so, it deserves whatever fate ensues.⁵

Statement of the Problem

The problem of this study was to determine what practices were used in the four-year colleges and universities of North Carolina to evaluate administrators. An analysis of the problem revealed several major components as indicated by the following questions:

1. What formal procedures are being used to evaluate the performance of college and university administrators?
2. What is the attitude of the chief executive of the institution toward the need for formal administrator evaluation?
3. What effect has the emphasis on accountability had on the use of formal procedures for administrator evaluation?

⁴Robert C. Nordvall, Evaluation and Development of Administrators, American Association for Higher Education Research Report No. 6, (Washington, D. C., 1979), p. 13.

⁵Paul L. Dressel, Handbook of Academic Evaluation (San Francisco: Jossey-Bass Publishers, 1976), p. 456.

4. What is the attitude of boards of trustees toward the need for formal administrator evaluation?⁶

Henry noted that the measurement of performance is linked to the purposes and objectives of the organization, and added that "without a clear-cut and specific statement of purposes, measurement is meaningless."⁷ Porter emphasized that the individual and the organization both have several goals in the appraisal situation, and that these goals are sometimes in conflict. To accomplish its purposes, the organization needs complete and valid data about the nature of the individual's ability and performance.⁸

Evaluation does not have to be viewed by administrators as a negative process. Although many possible reasons for evaluation are suggested in current literature, the main rationale seems to emerge as two-fold: administrative growth and development, and accountability to the institution as well as to its various publics.⁹

The president or other chief executive of higher education institutions must demonstrate commitment to evaluation if the process is to be successful.¹⁰

⁶Robert E. Lahti, "Managerial Performance and Appraisal," in Developing and Evaluating Administrative Leadership, ed. Charles F. Fisher (San Francisco: Jossey-Bass Publishers, 1977), p. 3.

⁷David P. Henry, "Accountability: To Whom, For What, By What Means?," Educational Record 53 (Fall 1972):278.

⁸Lyman W. Porter, Edward E. Lawler, III, and J. Richard Hackman, Behavior in Organizations (New York: McGraw-Hill Book Company, 1975), pp. 318-319.

⁹Carolyn Winschel, "Administrative Evaluation," Administrator's Update 1 (July 1979):2.

¹⁰William J. Genova and others, Mutual Benefit Evaluation of Faculty and Administrators in Higher Education (Newton, Massachusetts: Ballinger Publishing Company, 1936), p. 134.

Van de Visse stated that the president has the control and the power, and needs to be seen as sympathetic to the concept of evaluation, if he is to use this control and power to the benefit of the institution and the people working for it.¹¹

Need for the Study

A literature search revealed that administrators in higher education have not readily accepted nor have they advocated evaluation from within or without the university. State governing boards and legislators have also been slow in generating programs in relation to evaluation of administrative performance. Eble reported that a grave lack in colleges and universities is that of any systematic evaluation of administrators: presidents, vice presidents, deans, and chairpersons.¹² As in the case of the public schools, there may be an increasing interest in evaluation on the part of the lay public and state legislators. Regardless of the development of unionization and tenure concerns, the demand for the evaluation of college faculties has been increasing. Demand for the evaluation of college administrators may be the next request.

There is growing evidence of interest throughout the United States in the more formal evaluation of college and university leadership, and a broader acceptance of the need for their continued professional development.¹³

¹¹Martin Van de Visse, "The Evaluation of Administrative Performance in Higher Education," (Ed. D. dissertation, Kent State University, 1974), p. 16.

¹²Kenneth E. Eble, The Art of Administration (San Francisco: Jossey-Bass Publishers, 1978), pp. 121-122.

¹³Ruthann E. Williams, Presidential Evaluation (State University of New York at Buffalo: ERIC DOCUMENT Reproduction Service, ED 143 643, 1977), p. 1.

In addition to the projected increased pressures from above, the demand for accountability from government and institutional constituencies will make formal administrative evaluation essential or at least highly desirable in the future. Since there has been no survey of the state of administrative evaluation in North Carolina, and no significant study elsewhere within the past five years, the present study seemed timely and needed.

Increased public pressure is also generating a demand for more and better college administrator evaluation techniques for accountability in the classroom as well as in other facets of the university.

All enterprises need to understand and accommodate new accountability expectations such as demonstration of social benefit, efficient use of resources, cost effectiveness, affirmative action, protection of the environment and truthful reporting of all activities.¹⁴

Built into the process of attempting to improve university governance is the continued search for better ways of evaluating the performance of administrators.

As with faculty evaluation, the overall aim of administrator evaluation is a continual maintenance and improvement of the quality of teaching, learning, research and service.¹⁵

In a list of professional standards for administrators adopted by the American Association of University Administrators in 1975, evaluation is suggested as a prime career consideration.

An administrator has the right, under the conditions established by the institution's board to regular and formal evaluation of

¹⁴John Millett, "Higher Education Management Versus Business Management," Educational Record 56, no. 4 (Fall 1975):22.

¹⁵Miller, Developing Programs, p. 3.

job performance, to participation in the evaluation process, and to receipt of timely knowledge of the results of such evaluation.¹⁶

The AAUA also suggested that particulars of performance should be specified in any procedures for the employment of university administrators.¹⁷

Uehling predicted that in the 1980's, even more measurable results will be required, "evidence of tangible changes in behavior, attitudes and values which result from higher education. Indeed the concern will be very great that these changes be positive as judged by society."¹⁸

An increasing scarcity of fiscal support for higher education is also signaling a need for better administration evaluation systems.

Miller made this observation:

Scarcity of resources means fewer new positions and some existing ones phased out. Making these difficult decisions requires a broad and sound data base, and systematic faculty evaluation can serve as one data base.¹⁹

Institutions which would embrace evaluation programs face a difficult task, but there is little doubt that college administrators should be evaluated, just as faculty are evaluated.

¹⁶American Association of University Administrators, Professional Standards for Administrators in Higher Education (Buffalo, New York, 1975).

¹⁷American Association of University Administrators, "AAUA Guide to the Development of Policies and Procedures for the Employment of University Administrators." Buffalo, New York, 1978. (Mimeographed).

¹⁸Barbara S. Uehling, "Meeting the Demands of the Future," Educational Record 59, no. 4:377.

¹⁹Miller, Developing Programs, p. 3.

Nordvall pictured the general advantages of a program of evaluation as being:

1. improvement of individual performance
2. rewarding of superior performance
3. validation of selection and promotion process.
4. evidence of adequacy and inadequacy in programs and services for planning
5. provision of basis for planning for individual growth and development²⁰

Van de Visse stated that as in the case of public schools, there may be an increasing interest in evaluation on the part of the lay public and state legislators.

Regardless of the development of unionization and tenure concerns, the demand for the evaluation of college faculties has been increasing. Demand for the evaluation of college administrators may be the next request.²¹

The Association of Governing Boards of Universities and Colleges reported growing interest in administrator evaluation. The association was awarded a \$159,600 grant from the W. K. Kellogg Foundation to conduct a national study of the selection and evaluation of college presidents.²² Nancy Axelrod, assistant director of the project, spoke about this interest in administrator evaluation:

²⁰Nordvall, "Where Are We," p. 53.

²¹Van de Visse, p. 7.

²²Press Release from the Association of Governing Boards, Washington, D. C., May 29, 1979.

We have received an increasing interest for a system to design and implement assessment procedures. It's not just from trustees, but a lot of presidents and chancellors are asking their governing bodies to do this.²³

Any search of the literature reveals very little in the way of substantive material about administrative evaluation. A study by Genova revealed that most of the current administrator evaluation programs consist of a rating scale.²⁴

There will have to be continued research for new possibilities for evaluating administrators. Although the problems of educational management may differ from those of the private sector, many observers believe that there is much to be learned from performance evaluation programs being used in industry.

Perhaps some of the management principles involved in industrial performance appraisal can be isolated and applied by managers in higher education. Colleges and universities, like business and industry, must become more concerned with the professional development of their administrators through analysis of their performance and its results. To do this, educators will have to move beyond informal evaluation. Barry Munitz pictured formal evaluation as a way of reducing confusion and lack of control:

The time for pleading the advantages of completely informal, non-rational modes of assessment, tied in some oblique manner

²³Interview with Nancy Axelrod, assistant director of Study of Presidential Assessment and Selection, Association of Governing Boards, Washington, D. C., 29 May 1979.

²⁴William J. Genova, Mutual Benefit, p. 131.

to the tradition of amateur practitioners of the administrative art, has passed; if indeed it ever made sense to present such an argument.²⁵

This study will be of significance to:

1. college administrators in their efforts to initiate evaluation programs or re-examine their current administrator evaluation practices
2. students in the fields of higher education or business and others seeking current research in the general area of performance evaluation
3. legislators and members of state governing boards for higher education

Questions To Be Investigated

Because of the time-consuming and complex nature of administrator evaluation, the process demands the involvement of both the evaluator and the evaluated. Hence, the following questions will be considered by this study:

1. To what extent are formal procedures used for the evaluation of college and university administrators
2. Do chief executives of colleges and universities perceive a need for formal administrator evaluation procedures
3. Is there a particular relationship between the perception of the need for evaluation and the extent of direct action taken by a higher education institution to implement the need through some form of an evaluative program
4. Is there a relationship between the size and type of the institution and the type of administrator evaluation program
5. To what extent have boards of trustees shown an interest in administrator evaluation

²⁵Barry Munitz, "Presidential Evaluation: An Assessment of Institutional Leadership," (Champaign, Illinois: University of Illinois, March 1976), p. 9. (Mimeographed).

6. What is the primary purpose of administrator evaluation in colleges and universities

Limitations of the Study

This study is limited to the ability of the questionnaire to derive information pertinent to the research. The study is further limited by the willingness of the respondents to supply data that are accurate and complete.

The population for the study consisted of 47 four-year colleges and universities as listed in the North Carolina section of the Education Directory, Colleges & Universities 1978-79.²⁶ Of the 47 institutions, 16 are public universities and constituent institutions of the University of North Carolina system, two are independent colleges, and 29 are private and church-supported colleges and universities. Wingate College was included since that institution offered its first four-year degrees in May of 1979.

The study did not include evaluation programs of the 57 junior colleges and technical institutes in North Carolina. Excluded from the study was the evaluation of administrative assistants, clerical staff, and maintenance staff. The study did not include informal administrator evaluation programs. Ultimately, this study was not intended to measure the effectiveness of administrator evaluation programs.

²⁶Arthur Podolsky and Carolyn R. Smith, Education Directory, Colleges & Universities 1978-79 (Washington, D. C.: National Center for Education Statistics, 1979), pp. 290-308.

Definition of Terms

The following terms are defined as they apply specifically to this research:

1. Evaluation: The process in which an educator's fulfillment of his/her professional responsibilities is examined and judged
2. Rating Scale: An appraisal form containing one or more ranges of performance qualities and characteristics
3. Behavioral-Anchored Rating Scale: A technique used to define anchors for specific performance scales in job-behavior-related terms
4. Performance Evaluation: The formal process whereby employees are reviewed periodically through the use of criteria and procedures adopted by the organization or institution to determine what and how well the employee is doing within a defined role in the institution
5. Administrators: Persons who serve as presidents, chancellors, division directors, department chairpersons, college deans, and directors of service-related activities for a college or university
6. Essay: Usually open-ended questions regarding the employee's good and bad points, plus training needs and potential
7. Critical Incidents: The systematic recording of actual instances of significantly good or significantly poor performance as it occurs
8. Checklist: A list of statements describing employee behavior. The rater checks only those statements which accurately describe the performance of the employee being rated
9. Forced-choice: An appraisal form in which the rater chooses between pairs of equally positive or equally negative statements. The results are usually tabulated by personnel department staff
10. Employee Comparison: The comparison of employees resulting in a rank ordering from best to worst in the order of their relative performance

11. Management by Objectives (Results-Oriented): The appraisal of results achieved compared with quantifiable and measurable performance goals or standards established in advance. The goals may be set by the employer, employee, or both
12. Administration: Directing and managing an organization or an organizational unit toward effective realization of stated goals and objectives
13. Non-teaching Professional: An individual who serves the institution in an administrative capacity

Research Design and Procedures

This research involved studying the policies and practices of administrator evaluation in the colleges and universities of North Carolina. The questionnaire and the personal interview seemed to be the most desirable methods of data gathering due to the widely separated areas in which the institutions are located. The first phase of the study was a review of literature by authorities in the field of administrator evaluation. The second phase was the sending of a questionnaire to the chief administrators of each four-year college and university in North Carolina. The questionnaire was developed from a review of pertinent literature and existing instruments and focused on:

1. Instruments used in administrator evaluation
2. Factors considered in administrator evaluation
3. Sources of data for administrator evaluation

Organization of the Study

In this chapter, the purpose of the study, its background and the statement of the problem were described. This was followed by the need of this study, and questions to be investigated and defined. Next

were limitations of this study, definition of terms, and research design and procedures.

In Chapter II, the pertinent literature is reviewed. This includes studies and information about the history and development of college administrators, the development of management appraisal, and theories and examples of evaluation in higher education. Frequently used programs including management by objectives are explained.

The design of the study is described in Chapter III. The formulation of the instrument used, the pilot study conducted, the population and sample of the study, and the nature of the analysis of the data are also described.

Chapter IV contains an analysis of the data. A presentation of the research questions and the related data are included as well as an interpretation of the results.

Chapter V will contain summary, conclusions, and recommendations.

CHAPTER II
REVIEW OF RELATED LITERATURE

An Overview

A review of the literature is presented in the following six sections: (1) history and development of administration in higher education; (2) the development of management appraisal; (3) objectives of performance appraisal; (4) guidelines and procedures for evaluating college administrators; (5) practices used in evaluating college administrators; and (6) summary.

History of the Development of
College Administrators

The history of higher education in America dates back to October, 1636, when Harvard College was established.²⁷ Administratively, the early collegial structures were very simple. The form for governing Harvard was established by the act of the General Court of the colony in 1642. This act created a Board of Overseers, taking authority away from faculty and students who had generally governed the earlier European universities.²⁸

The creation of the Corporation in 1650 completed the early administrative organization. Harvard's charter called for the creation

²⁷Frederick Rudolph, The American College and University: A History (New York: Vintage Books, 1962), p. 4.

²⁸Richard Hofstadter and Wilson Smith, American Higher Education: A Documentary History (Chicago: University of Chicago Press, 1961), p. 11.

of a Corporation consisting of seven persons, a President, five Fellows and a Treasurer or Bursar.²⁹ That group was given power to elect officers and transact other necessary business.

As Lindsay and Holland pointed out:

The theory of university administration upon which Harvard was founded is the theory of the modern American university, though the form is not always the same. Not all have the Board of Overseers . . . but the principle of centralized administrative authority, responsible to powers outside the institution, obtains in practically all American institutions of higher learning today.³⁰

According to Fisher, the early college administration was the president alone, and the essential, if not the only qualification for the position was that he be a scholar.³¹

Clement confirmed this viewpoint:

The early colleges were governed by an external source of power, i.e., boards of trustees. They ruled the institutions through the president . . . he taught, kept books, disciplined students, and controlled faculty.³²

However, the time came when the president could not basically manage the college alone. He needed additional administrators to help operate the organization. Rudolph discovered that the first

²⁹Ibid.

³⁰E. E. Lindsay and E. O. Holland, College and University Administration (New York: The MacMillan Company, 1930), p. 13.

³¹Charles E. Fisher, "The Evaluation and Development of College and University Administrators," ERIC Research Currents (Washington, D. C.: American Association for Higher Education, March 1977), p. 1.

³²John Robert Clement, "A Study of Job Satisfaction of Administrators at United Methodist Related Colleges" (Ph.D. dissertation, University of Kentucky, 1963), p. 3.

administrative officer other than the president was the librarian.³³ His duties were simple: carry the book room key and make sure that the room was tightly locked. Rudolph noted that before the Civil War, most institutions had managed with a president, a treasurer, and a part-time librarian.³⁴

The acceleration of academic record keeping, a result of the coming of the elective system in the last quarter of the nineteenth century, helped to give rise to the position of registrar.³⁵ Later came the positions of academic dean, deans of men and women, business manager and director of admissions. Rudolph found that the median number of administrators in an American college in 1860 was 4; by 1933 it had climbed to 30.5, with one institution admitting 137 administrators.³⁶

A number of rapid and intense societal changes such as the specialization and expansion of knowledge, the addition of many services, and the development of research has led to institutions of higher education with complex administrative organizations.

Bolton and Genck summed up this development:

The management requirements of universities have expanded dramatically in recent years, mainly because of the universities' growth in size and the complexities of the issues now confronting higher education. Growth in the size of universities is evident. The development of gigantic state higher education complexes, such as those in New York and California, has been paralleled by the growth in size and complexity of many individual campuses.³⁷

³³Rudolph, The American College, p. 434.

³⁴Ibid. ³⁵Ibid. ³⁶Ibid.

³⁷Earl C. Bolton and Fredric H. Genck, "Universities and Management," Journal of Higher Education 42, no. 4 (April 1971):279.

The Development of Management Appraisal

According to Cardwell, managers made judgements about their employees long before there were formal systems for evaluating performance.³⁸ They rated their employees and inventoried their abilities. The introduction of systematic evaluation procedures during the 1850's was intended to make these ratings more comprehensive and fairer to all concerned.

The use of structured appraisal techniques of administrative performance was found to be quite old. Whisler pointed out in his book that formal appraisal activity began as early as 221-265 A. D. when emperors of the Wei Dynasty were aided by an imperial rater, who appraised the performance of the members of the official family.³⁹

Meyer reported that in the sixteenth century, Saint Ignatius of Loyola employed a performance-evaluation system remarkably similar to many being used today.⁴⁰ The combination reporting and rating system was intended to provide a comprehensive portrait of each Jesuit's activities and potential. The system included self-rating and reports by supervisors.

³⁸Carolyn Cardwell, "An Analysis of Performance Evaluation Programs for Certificated Personnel in Fifty-one Selected North Carolina Administrative School Units, 1973-74" (Ed. D. dissertation, University of North Carolina at Greensboro, 1975), p. 14.

³⁹Thomas L. Whisler and Shirley F. Harper, Performance Appraisal: Research and Practice (New York: Holt, Rinehart and Winston, 1962), p. 423.

⁴⁰Herbert E. Meyer, "The Science of Telling Executives How They're Doing," Fortune 89, no. 1 (January 1974):104.

Robert Owen described a type of evaluation system he used around 1800.⁴¹ Owen used character books and blocks in his Scottish cotton mills. Blocks, which were colored differently on each side to represent an evaluation of the worker for the preceding day, were displayed at his work station. Owen was impressed with the improved performance and behavior of the employees resulting from the use of the silent monitors.⁴²

The introduction of formal performance appraisal techniques in the United States has been traced to the 1850's where federal government offices were reported to have utilized personnel rating forms.⁴³ Even earlier in 1842, the Congress passed a law requiring the heads of executive departments to make an annual report "stating among other things whether each clerk had been usefully employed and whether the removal of some to permit the appointment of others would lead to a better dispatch of the public business."⁴⁴ During the following decades, a number of other evaluation systems were tried by the federal government.

Meyer stated that it was the military that developed the most precise, workable performance-rating system.⁴⁵ In 1889, President

⁴¹Robert Owen, The Life of Robert Owen (New York: Augustus M. Kelley Publishers, 1967), pp. 80-81.

⁴²Ibid.

⁴³Whisler, Performance Appraisal, p. 423.

⁴⁴Meyer, "The Science of Telling," p. 104.

⁴⁵Ibid., p. 105.

Benjamin Harrison issued an executive order requiring federal agencies to adopt the evaluation system being used then by the military.

The entrance of Frederick Taylor onto the American Scene in the fall of 1910 came at a time when the nation was becoming more efficiency-conscious.⁴⁶ American business proceeded with great dispatch to develop formal evaluation systems for its executives as early as 1918.⁴⁷

Taylor said that his principles of efficiency and scientific management could be applied with equal force to all social activities.⁴⁸ Demands for more efficient operation of the public schools caused educational administrators to respond to scientific management. By 1913 educators in a number of large cities were working out elaborate plans to rate their teachers.⁴⁹

In 1919, Adams called for a yardstick to measure the results of the teacher's efforts.⁵⁰ He suggested that teachers be evaluated on teaching power, executive ability, personality, and scholarship.

Some public-school systems have included the evaluation of administrators and supervisors along with the teaching personnel since

⁴⁶Raymond E. Callahan, Education and the Cult of Efficiency (Chicago: University of Chicago Press, 1962), p. 39.

⁴⁷Meyer, "The Science of Telling," p. 105.

⁴⁸Frederick W. Taylor, The Principles of Scientific Management (New York: Harper and Row, 1911), pp. 19-58.

⁴⁹Callahan, Education and the Cult, p. 40.

⁵⁰William T. Adams, "Superintendent's Rating of Teachers," Journal of Education 90 (September 25, 1919):288.

the early 1950's, but it was not until after 1967 that several states enacted statutes requiring school systems to evaluate all personnel.⁵¹

Hayes reported that thirty-two states had legislation demanding some kind of performance appraisal system for the school districts in those states.⁵²

The literature revealed some interest in the evaluation of college faculty more than thirty-five years ago. In his book, The Academic Man, Wilson called a proper evaluation of faculty the most critical problem confronting colleges and universities.⁵³ The subject of the widespread evaluation of faculty performance was documented in an extensive study in 1967 by Astin and Lee⁵⁴ and again in 1974 by Seldin and Wakin.⁵⁵

Lazovik stated that the decade of the seventies brought to the academic community a renewed interest in improving teaching; the evaluation of teaching, as one means to this goal, received a tremendous surge of attention.⁵⁶

⁵¹George G. Redfern, "Legally Mandated Evaluation," National Elementary Principal 52 (February 1973):45-50.

⁵²James L. Hayes, "Blame Me, Not the System," American School and University 47 (July 1975):8.

⁵³Logan Wilson, The Academic Man (New York: Oxford University Press, 1942), p. 99.

⁵⁴Alexander W. Astin and Calvin B. T. Lee, "Current Practices in the Evaluation and Training of College Teachers," Improving College Teaching (Washington, D. C.: American Council on Education, 1967).

⁵⁵Peter Seldin and Edward Wakin, "How Deans Evaluate Teachers," Change 6, no. 9 (November 1974):48.

⁵⁶Grace French-Lazovik, "Evaluation of College Teaching," (Washington, D. C.: Association of American Colleges, 1975), monograph, p. 2.

McKeachie and Kulik agreed with Lazovik's assessment:

Teaching effectiveness has become one of the most controversial issues in higher education, as pressures of student riots in the 1960's were followed by financial pressures from legislatures and donors.⁵⁷

Formal evaluation of college administrators has been slow in being tried or accepted. According to Genova et al., research and practice in administrator evaluation really dates within recent years.⁵⁸ Genova believes that administrator evaluation, like faculty evaluation, has as its overall aim the continual maintenance and improvement of the quality of teaching, learning, research, and service.⁵⁹

As of 1967, Plumer had found no material in the literature that dealt directly with administrative effectiveness in higher education.⁶⁰ Although higher education as an academic field has been in the college curriculum since 1893, the literature which deals with the professional development needs of college administrators is relatively new and sparse.⁶¹ Dressel reported that the few analytical studies of higher education administration have been directed to understanding the peculiar nature of governance and the varieties of existing patterns rather than to evaluation.⁶²

⁵⁷Wilbert J. McKeachie and James A. Kulike, "Effective College Teaching," Review of Research in Education 3 (1975):210.

⁵⁸Genova et al., Mutual Benefit, p. 131.

⁵⁹Ibid.

⁶⁰Stephen B. Plumer, "Evaluation of Administrative Effectiveness," paper presented at the 22nd meeting of the American Association for Higher Education, Chicago, 7 March 1967.

⁶¹Fisher, p. 1.

⁶²Dressel, p. 376.

Richard I. Miller in his book, Developing Programs for Faculty Evaluation, stated:

We have a rich literature of research and experience in student evaluation, very little on service personnel, and still less on administrators.⁶³

In an attempt to validate Miller's statement, Surwill and Heywood initiated two searches for information concerning the evaluation of top administrators that would be useful to them in their own institution.⁶⁴ One search produced sixty-four separate entries, but not one study pertained to evaluating administrators in higher education. A second search was carried out through DATRIX, a branch of University Microfilms International, Ann Arbor, Michigan. Ten references were reported, but none dealt specifically with administrator evaluation.

Surwill and Heywood concluded:

That the topic of evaluating administrators in higher education is of vital concern to institutions all over the United States; and there is very little information available.⁶⁵

The review of previous studies and dissertations on the subject of evaluation of administrative performance in higher education revealed very little. A series of case studies done in 1963 concerned evaluation, but only of public school personnel at elementary and secondary school

⁶³Miller, p. 77.

⁶⁴Benedict J. Surwill and Stanley J. Heywood, "Evaluation of College and University Top Brass: The State of the Art," Washington, D. C., American Association of State Colleges and Universities, August, 1976.

⁶⁵Ibid.

levels.⁶⁶ Perry's dissertation, completed in 1964, was concerned with public higher education and administrative techniques.⁶⁷ James Thomas Ford's doctoral dissertation presented a comprehensive study for the evaluation of the department chairperson in higher education.⁶⁸

Jandris attempted to develop a valid instrument and procedure for the evaluation of administrators of college and university physical education. The study was based on information gathered from four hierarchical groups: Superordinates, administrators, subordinates and support.⁶⁹ He concluded that a multi-hierarchical instrument was not valid for use in the evaluation of administrators of college and university physical education departments.⁷⁰

Van de Visse concluded a study in 1974 to determine the extent of awareness and the extent of understanding by chief administrators of evaluation of administrative performance in higher education.⁷¹ The study also sought to determine the extent of evaluative practices in the colleges of Ohio.

⁶⁶G. H. Daniel, "Planned Evaluation of the Effectiveness of Public School Administration and Supervisory Personnel" (Ph. D. dissertation, Columbia University, 1963), abstract passim.

⁶⁷R. R. Perry, "Appraisal of Criteria for Evaluation of Executive Administrative Performance in Public Higher Education" (Ph. D. dissertation, University of Toledo, 1964), abstract passim.

⁶⁸James Thomas Ford, "The Development of an Instrument to Describe Administrative Processes at the Department Level of Higher Education" (Ed. D dissertation, Auburn University, 1974).

⁶⁹Jandris, "A Model for Evaluating Administrators of Physical Education in Colleges and Universities" (Ph. D. dissertation, University of Minnesota, 1978).

⁷⁰Ibid., p. 109.

⁷¹Van de Visse, "Performance in Higher Education."

A similar study was conducted in 1978 by O'Mahoney.⁷² Regionally accredited colleges and universities in Idaho, Oregon, Washington and Alaska were surveyed to determine what practices existed in the evaluation of their administrators, and the bases upon which the evaluations were formed. This survey included 64 colleges including 22 two-year colleges. It was concerned only with non-teaching administrators.

A review of studies on administrative evaluation revealed that the interest in administrator evaluation seems to be growing. The past two years have seen the emergence of a number of papers and speeches on the topic. In 1976, Surwill and Heywood reported a survey of the 321 member institutions of the American Association of State Colleges and Universities.⁷³ The results indicate that 17 percent of the AASCU institutions formally evaluate academic deans; 14 percent evaluate their presidents; 13 percent evaluate department heads, academic vice presidents, and directors; and 9 percent evaluate admission officers, registrars, and placement officers. Fisher gave a brief overview of some of the current considerations relevant to the evaluation and development of college and university administrators. He concluded that the traditional approach to evaluation has been the use of instruments

⁷²William J. O'Mahoney, Jr., "A Study of Practices for Evaluating Administrators in Selected Colleges and Universities of Four States" (Master's thesis, Washington State University, 1978).

⁷³Surwill and Heywood, "Evaluation of College."

for rating the various desirable characteristics or activities. Another approach is that of the evaluation committee.⁷⁴

In another paper in 1977, Ruthann E. Williams observed that the evaluation of college and university presidents can be advantageous to the institution.

She stated:

Evaluation can provide an institution with the opportunity to review the office of the presidency to delineate more carefully the roles, responsibilities, and expectations for its chief administrative officer.⁷⁵

Nordvall prepared a lengthy report on evaluation. He stated that broad participation is the key element in gaining support of an evaluation program.⁷⁶

Charles F. Fisher edited an issue of the New Directions for Higher Education series on evaluation. His study suggested that evaluation of college and university administrators should be an integral and ongoing process.⁷⁷

Johnson presented a paper on "Evaluation of Administrators" at a seminar sponsored by the American Association of University

⁷⁴Fisher, "The Evaluation and Development," p. 4.

⁷⁵Ruthann E. Williams, "Toward Quality Administration: Presidential Assessment at Northern Virginia Community College as a Means of Professional Development for the President," Fairfax, Virginia, 1977, p. 3. (Mimeographed.)

⁷⁶Robert C. Nordvall, Evaluation and Development of Administrators, Higher Education Research Report, No. 6 (Washington, D. C.: American Association for Higher Education, 1979), p. 25.

⁷⁷"Developing and Evaluating Administrative Leadership," New Directions for Higher Education series, vol. 6, no. 2, 1978, edited by Charles F. Fisher.

Administrators in Mobile, Alabama on April 4, 1977.⁷⁸ The study recommended that evaluations be used to increase the efficiency of the college and to apprise the individual of his strengths and weaknesses.

Jandris reported that the administrator behavior of the department chairperson seemed to be receiving the most attention.⁷⁹ Hoyt designed the DECA system for evaluating chairpersons.⁸⁰ The system permits faculty to report anonymously on the work of chairpersons in personnel management, departmental planning, and development. The instrument (See Appendix I) asks faculty to identify fifteen activities handled by department chairpersons, based on a Likert-type, five-point scale ranging from "poor" to "outstanding." The evaluator is then asked to respond to thirty-three items which describe typical administrative behavior. The evaluator rates each item based on his or her perception of the degree to which the chairperson performs each given activity.

Enrle described a design for evaluating department chairpersons, which embraces uniform procedures, a written set of performance criteria, and basic input from faculty on performance with respect to

⁷⁸Archie B. Johnson, "Evaluation of Administrators," paper presented at the meeting of American Association of University Administrators, Mobile, Alabama, 4 April 1977.

⁷⁹Jandris, p. 12.

⁸⁰Donald P. Hoyt, A Manual for Improving Administrative Effectiveness (Manhattan, Kansas: Center for Faculty Evaluation and Development in Higher Education at Kansas State University), 1976.

communication, decision making, operations, delegation of responsibility, problem solving, relations with students and colleagues and public relations.⁸¹

Objectives of Performance Appraisal

Well designed and properly used appraisal systems are essential to the effective functioning of most organizations.⁸²

Locher and Teel listed eleven traditional appraisal functions:

1. Compensation
2. Performance improvement
3. Feedback
4. Promotion
5. Documentation
6. Training
7. Transfer
8. Manpower planning
9. Discharge
10. Research
11. Layoff⁸³

In a survey of 696 organizations in Southern California, Locher and Teel reported that performance appraisals are by far most widely

⁸¹Elwood B. Ehrle, "Selection and Evaluation of Department Chairment," Educational Record 56 (1975):29-38.

⁸²Alan H. Locher and Kenneth S. Teel, "Performance Appraisal: A Survey of Current Practices," Personnel Journal 6 (May 1977):246.

⁸³Ibid.

used as bases for compensation decisions and individual performance improvement programs.⁸⁴ Small organizations make significantly greater use of appraisals in compensation and promotion decisions, while large organizations make greater use of appraisals for performance improvement and feedback.

Fournies indicated that another objective of performance appraisal as reported by companies is for management development--that is, preparation for advancement, coaching and training, and for measurement--that is, for objective assessment or for judging the employee's worth.⁸⁵

In a survey of the state of the art of management performance appraisal systems in 293 companies, Lazer and Wikstrom added that another objective of evaluation is "communications to provide a format for dialogue between superior and subordinate or to improve understanding of personal goals and concerns."⁸⁶

Cardwell reported that many companies link performance evaluation to long-range planning efforts. Through studying the evaluation reports, the chief executive gets an understanding of the strong and weak points, parts of the organization in the area of personnel.⁸⁷

⁸⁴Ibid.

⁸⁵F. F. Fournies, Management Performance Appraisal: A National Study (Somerville, N. J.: F. F. Fournies Associates, 1973), p. 9.

⁸⁶Robert I. Lazer and Walter S. Wikstrom, Appraising Managerial Performance: Current and Future Directions (New York: The Conference Board, Inc., 1977), p. 9.

⁸⁷Cardwell, "An Analysis of Performance," p. 20.

Bolton pointed out other purposes of evaluation, including supplying information for the modification of assignments, and protecting the individual and the university from a legal standpoint.⁸⁸

Karman indicated that evaluation programs can also serve to validate the hundreds of thousands of dollars administrators may expend for an individual's salary over many years.⁸⁹

According to Genova et al., evaluation of college and university administrators can be used for the following purposes:

1. Establishing and attaining institutional goals
2. Helping individual administrators to improve their performance
3. Making decisions on retention, salary and promotion
4. Increasing the effectiveness and efficiency of the administration as a team
5. Keeping an inventory of personnel resources for reassignment or retraining
6. Informing the governing body and administration of the degree of congruence between institutional policy and institutional action
7. Sharing governance
8. Informing internal and external audiences on administrative effectiveness and worth
9. Conducting research on factors related to administrator effectiveness⁹⁰

⁸⁸U. S. Department of Health, Education, and Welfare, Teacher Evaluation, by Dale L. Bolton, PREP Report No. 21 (Washington, D. C.: Government Printing Office, 1972).

⁸⁹Thomas A. Karman, "Faculty Evaluation," Liberal Education 55, no. 4 (1969):539-544.

⁹⁰Genova et al., Mutual Benefit, p. 128.

Guidelines and Procedures for Evaluating
College Administrators

Brown stated that the task of evaluating the performance of administrators and supervisors in order to improve performance is complex.⁹¹ Therefore, in order to accomplish this task effectively, the primary needs, goals, and concerns of the evaluator, the evaluated, and the organization must be considered.⁹² Brown emphasized that the common goals of the evaluation of performance should contribute positively to a performance level which is gratifying to the subordinate and to his superior.⁹³

A survey of the literature revealed that publications concerned with college administrative evaluation have had their advent only during the past few years.⁹⁴ Van de Visse, in a 1974 dissertation, stated:

Much has been written particularly in the past 10 years, about the concepts, the problems, the advantages, and the limitations of evaluations of personnel performance in education . . . only in the past few years has part of this literature focused on administrative performance in higher education in particular.⁹⁵

Professor Harold Koontz identified five requirements for an effective appraisal system:

1. The program must measure the right things
2. The program should be operational
3. The program should be as objective as possible

⁹¹William L. Brown, "A Model for the Evaluation of Administrative and Supervisory Personnel in North Carolina School Systems" (Ed. D. dissertation, Duke University, 1977), p. 201.

⁹²Ibid., p. 42. ⁹³Ibid. ⁹⁴Ibid.

⁹⁵Van de Visse, The Evaluation of Administrative, p. 54.

4. The program should be acceptable to the personnel involved
5. The program should be constructive⁹⁶

Miller suggested seven guidelines for administrative evaluation in higher education. They were:

1. The evaluative system should be rooted in the tradition, purposes, and objectives of each college or university
2. The overall purpose of evaluation should be to improve the quality of administration and its basic approach should be positive rather than punitive
3. Performance should be evaluated against expectations, which require that job descriptions exist and are current and reasonably specific
4. The procedures for evaluation should employ objective measures as well as subjective ones
5. Evaluations should be sought from those in a position to make valid judgements, with immediate supervisors having the major responsibility
6. Evaluation should take place with the evaluated's full knowledge of the procedures, timetable, and results
7. Confidentiality should be maintained throughout, with distribution of results clearly understood and controlled⁹⁷

Genova described operating principles, summarized research, and displayed exemplary practices.⁹⁸ He listed the five operating principles of what he called mutual benefit evaluation:

1. Multipurpose: Given the wide variety of institutional purposes and demands, faculty and administrator evaluation programs should serve a variety of purposes for those evaluated, their constituencies, and the institution as a whole

⁹⁶Harold Koontz, Appraising Managers as Managers (New York: McGraw-Hill, 1971), pp. 12-15.

⁹⁷Miller, Developing Programs, p. 80-81.

⁹⁸Genova et. al., Mutual Benefit.

2. Multifaceted: In the interest of fairness and completeness, faculty and administrators should be evaluated on a broad range of their activities and responsibilities, which are weighted regarding their importance
3. Multisource: Those affected by and informed about the actions of particular faculty and administrators should participate in the evaluation of those administrators
4. Multimethod: Because of the range of appropriate faculty and administrative acts and styles, different methods of assessment must be combined
5. Institutional Context-Related: The evaluation of faculty and administrators must be related to the particular purposes, needs, and stage of development of the institution⁹⁹

Genova suggested that an administrator be evaluated by analyzing the effectiveness of his or her actions in four areas: goal formation, goal attainment, resource acquisition and membership satisfaction. He further suggested that the appropriateness of these actions be judged within three contexts: institutional climate, institutional authority patterns and institutional stage of development. In order to make the process of administrator evaluation acceptable, Genova recommended that an institution start its program with an evaluation of the president, and perhaps, the president's immediate professional staff.¹⁰⁰

He listed eight steps for the evaluation of a president:

1. Form evaluation committee
2. Select evaluation process
3. Identify current goals
4. Evaluate goal effectiveness
5. Describe institutional context
6. Evaluate goal appropriateness

⁹⁹Ibid., pp. 4-5. ¹⁰⁰Ibid., p. 134.

7. Form new goals

8. Begin new goal attainment/evaluation cycle¹⁰¹

Genova further suggested that the goals formed in steps seven and eight be used in the evaluation of other administrators.

Nordvall mentioned that ideally, all administrators should be subject to evaluation. He suggested that the president should be evaluated by the board of trustees, that there should be a program of administrative evaluation by supervisors for all administrators below the presidential level, and that any administrative unit within an institution could initiate its own program.¹⁰²

According to Fisher, implicit in most of the administrator evaluation programs, and explicit in a few, is the inherent relationship between personnel evaluation and professional development.

Higher Education is beginning to consider them both sides of the same coin, realizing that they are concurrent and continuously interacting processes, whether systematic or informal and whether public or personal.¹⁰³

Jandris cited the need of a multi-hierarchical approach to evaluation.¹⁰⁴ Fenker also suggested the development of instruments for "upward, downward, and parallel evaluation of faculty and administrators."¹⁰⁵

¹⁰¹Ibid., pp. 134-142.

¹⁰²Nordvall, "Evaluation of College," p. 54.

¹⁰³Fisher, "The Evaluation and Development," p. 2.

¹⁰⁴Jandris, p. 56.

¹⁰⁵Richard M. Fenker, "The Evaluation of University Faculty and Administrators: A Case Study," Journal of Higher Education 46 (November/December 1975):665-86.

The introduction of student and peer input into the evaluation of teaching was cited by Fisher as introducing upward and parallel factors.¹⁰⁶ Traditionally, evaluation has been a downward process with its inception at the lower end of the hierarchy and with faculty evaluating students, and administrators evaluating faculty.

The literature reflected increasing interest in faculty participation in administrator evaluation. Rasmusser proposed a system for evaluating the academic dean.¹⁰⁷ He explained that questionnaires or rating scales "have failed to recognize that the professional values of the administrator and evaluators may be quite different."¹⁰⁸ Rasmusser suggested that qualities describing the role of the academic dean are leadership, good relations with others, and management skills.¹⁰⁹

Fisher pointed out that most administrators prefer the traditional, confidential, evaluation interview with their supervisors. He suggested that there is every reason to believe that the utilization of all possible sources for evaluation information will result in fairer judgment.¹¹⁰

Miller indicated that the faculty should be involved in the evaluation of the president or chief executive officer, the executive vice president, college deans and department chairmen.¹¹¹

¹⁰⁶Fisher, "The Evaluation and Development," p. 2.

¹⁰⁷Glen R. Rasmusser, "Evaluating the Academic Dean," Developing and Evaluating Administrative Leadership (San Francisco: Jossey-Bass Inc., 1978), pp. 23-40.

¹⁰⁸Ibid., p. 26. ¹⁰⁹Ibid.

¹¹⁰Fisher, "The Evaluation and Development," p. 3.

¹¹¹Miller, Developing Programs, pp. 96-103.

G. Lester Anderson, director of the Center for the Study of Higher Education at Pennsylvania State University, presented and interpreted a model for periodically assessing and evaluating the key academic administrators of the Pennsylvania state colleges and universities.¹¹² It could be used for evaluating presidents, vice presidents and deans. The model made use of an ad hoc evaluation committee of trustees, other academic administrators, faculty, students and alumni. The ad hoc committee was to prepare an assessment portfolio, which contained a self-evaluation statement by the person under review, descriptive and evaluative statements representing the valid interests of various constituencies, and a consensus statement as well as a dissenting or minority statement, if any.¹¹³

At the conference on "Running Higher Education" in 1977, Gross presented a paper on the use of growth contracts for assessing administrator performance and growth.¹¹⁴ He suggested that growth contracts are based upon several principles:

1. Growth contracts should be designed according to the particular needs and abilities of each individual participant
2. Growth contracts should include plans for both personal and professional enrichment
3. Growth contracts are self-imposed

¹¹²G. Lester Anderson, "The Evaluation of Academic Administrators: Principles, Processes, and Outcomes," document prepared by the Center for the Study of Higher Education, University Park, Pa., 1976.

¹¹³Ibid., p. 7-8.

¹¹⁴Richard F. Gross, "Facilitating Administrator Development Through Growth Contracts," a paper presented at the conference, "Running Higher Education," Warrenton, Virginia, 4 February 1977.

4. Evaluation is an inherent part of the growth contract process
5. Growth contracts should be related to the institutional reward system¹¹⁵

The growth contract system called for the participant to name a committee of three persons as his evaluation committee. The committee was to assist the participant in developing a final draft of the growth contract, meet periodically with the participant to assess his or her progress, and prepare a written summary assessment of outcomes in light of goal and evaluation criteria.¹¹⁶

Dressel presented an extensive range of traits, characteristics and procedures which enter into the evaluation of college administrators.¹¹⁷ He explained that the major problems in evaluating administrators include the difficulty of defining exactly what administration is, the complexity of delineating the power of administrators, the lack of clear and generally accepted criteria of success, and the fact that administrators often purposely communicate in ambiguous ways.¹¹⁸ Dressel's thesis was that the evaluation of administrative effectiveness must be based, to some extent, upon the organizational pattern or model of a given institution.¹¹⁹

Genova stated that colleges and universities are "hybrid combinations" of three types of organizational authority patterns. They are part bureaucratic, characterized by a vertical authority; they are part collegial, where authority is shared among individuals irrespective

¹¹⁵Ibid., p. 304. ¹¹⁶Ibid., p. 5.

¹¹⁷Dressel, Handbook of Academic, pp. 376-400.

¹¹⁸Ibid. ¹¹⁹Ibid., p. 382.

of positions; and they are part political, where various forms of authority are exercised by various interest groups.¹²⁰ Dressel observed that although several organizational models have been developed or applied to institutions of higher education, none fully applies to any one institution.¹²¹

Genova stated that an effective college or university administrator acts in ways that are appropriate to the authority pattern of the college.¹²² He pointed out that the appropriateness of administrator actions to form and attain goals, acquire resources, and achieve membership satisfaction also depends, in part, on the stage of development of the institution. A newly developing institution with inexperienced staff may require a more autocratic president. An established institution may need a more democratic president.¹²³

Porter suggested that factors influencing the outcomes of performance evaluation include the type of measure used, the time between appraisals, subordinate participation, relationship of appraisal to reward system, and whether or not the individual is evaluated in terms of activities he performs or the outcomes those activities produce.¹²⁴

¹²⁰Genova et al., Mutual Benefit, p. 133.

¹²¹Dressel, Handbook of Academic, p. 382.

¹²²Genova et al., Mutual Benefit, p. 133.

¹²³Ibid., p. 134.

¹²⁴Lyman W. Porter, Edward E. Lawler, III, and J. Richard Hackman, Behavior Organizations (New York: McGraw-Hill Book Company, 1975), pp. 324-338.

Porter concluded that performance appraisal is difficult to make because of the important psychological processes which are present when evaluation takes place.¹²⁵ He stated that making a performance appraisal correctly means the following:

1. Measures are used that are inclusive of all the behaviors and results that should be performed
2. The measures used are tied to behavior and as far as possible are objective in nature
3. Moderately difficult goals and standards for future performance are set
4. Measures are used that can be influenced by an individual's behavior
5. Appraisals are done on a time cycle that approximates the time it takes the measures to reflect the behavior of the persons being evaluated
6. The persons being evaluated have an opportunity to participate in the appraisal process
7. The appraisal system interacts effectively with the system¹²⁶

Management by Objectives

In addition to the various behavioral or trait-rating approaches used in evaluation, programs stressing management by objectives (MBO) have come into increased use in recent years. These programs typically involve superior and subordinate agreement on specific performance objectives and on how achievement of these objectives is to be measured.

Lahti stated that the goal-setting approach has the greatest potential for a sound program of administrative appraisal.

Goal setting encourages mutual participation and peer respect, focuses on the more appropriate aspects of individual performance

¹²⁵Ibid., p. 339. ¹²⁶Ibid.

and behavior, stresses the assignment of managerial tasks that are integrated with the needs of the organization, and emphasizes the importance of staff development and sound personal practices.¹²⁷

Peter Drucker was an early exponent of management by objectives, and he saw the technique's relationship to executive evaluation.

The performance that is expected of the manager must be derived from the performance goals of the business, his results must be measured by the contribution they make to the success of the enterprise.¹²⁸

According to Odiorne, the definition of goals as a preliminary step to action seems to have permeated most management theory.¹²⁹ He pointed out that results-oriented management could be observed in many of the early organizers of great corporations in the United States. Odiorne also wrote of the use of MBO in evaluation:

It is easily proven to be job related rather than related to class, or personality. MBO makes achievement easier to distinguish when it occurs and helps solve some chronic areas of concern in management, such as rewarding performance, appraising performance, training to increase performance levels, and coaching people to do better.¹³⁰

According to Frank Gray, MBO in education began with boards of education setting system-wide goals and priorities based on input from citizens, staff and students.¹³¹ Performance appraisal was an important

¹²⁷Lahti, Innovative College, p. 6.

¹²⁸Peter F. Drucker, The Practice of Management (New York: Harper and Row Publishers, 1954), p. 121.

¹²⁹George S. Odiorne, "MBO: A Backward Glance," Business Horizons 21 (October 1978):15.

¹³⁰Ibid., p. 24.

¹³¹Frank Gray, "Performance Appraisal of Management," paper presented at the annual meeting of the American Association of School Administrators, 17-20 September 1978.

part of MBO, since management was held accountable for the accomplishment of the goals. In order to evaluate the employees, the employer needed to assess the degree to which they accomplished their individual job objectives.

Van de Visse agreed that evaluation is an integral part of MBO:

This includes evaluation of goals, of purposes, of procedures, of projects, of progress, of results and equally important, of people--but in terms of performance rather than personality.¹³²

Nordvall suggested that ideally an MBO program should have all of the following steps:

1. Define the mission of the institution
2. Establish institutional goals for a specific year and as far as is possible have these endorsed by the institution's constituencies
3. Have each sub-unit define its purposes and how these fit into the goals of the whole institution
4. Establish job descriptions for all positions in the organization; these must be agreed upon by the supervisor and his or her subordinate
5. Each subordinate must then establish major performance objectives for the coming year in measurable terms with specific deadline dates
6. The supervisor and subordinate should enter into a joint review of a mutually agreed upon set of objectives
7. A schedule should be established for a review of progress toward such objectives
8. The employee should prepare a yearly a report of major accomplishments and variances between the results expected and the results achieved and present this to the supervisor

¹³²Van de Visse, "The Evaluation of Administrative," p. 66.

9. This annual summary report should be discussed by the supervisor and the subordinate
10. A new set of objectives should be established for the subordinate for the next year through mutual agreement with the supervisor
11. Long-range objectives should be reviewed and periodically adjusted¹³³

Even though MBO has gained wider appeal in the business and educational worlds, Gray warned that it is not a panacea.

MBO holds great potential as a management tool. It is, however, just a process. The model must be adjusted to each setting.¹³⁴

Harvey designed an administrative evaluation system using management by objectives.¹³⁵ Harvey recommended that the president of the college be held accountable by the board of trustees for achieving the one-year objectives of the college.

Below the president, each administrator would be accountable for his or her one-year objectives which are tied and coded directly to the goals and objectives of the institution. These objectives would be negotiated with the administrator's superior before the year began and become the major point of the evaluation system. The administrator and his superior could review them quarterly and have a final evaluation session at the end of the year.¹³⁶ Harvey constructed a

¹³³Nordvall, Evaluation and Development, p. 56.

¹³⁴Gray, "Performance Appraisal," p. 12.

¹³⁵James Harvey, Managing Colleges and Universities by Objectives (Wheaton, Ill.: Ireland Educational Corporation, 1976), pp. 72-79.

¹³⁶Ibid., p. 75.

Likert-type scale to gather data upon which the administrator could be rated on his or her efficiency and effectiveness at the end of the academic year. (See Appendix E).¹³⁷

Teel advocated a combination approach, involving the use of graphic rating scales along with self-appraisal. He reported that the program helped to eliminate disagreements over specific aspects of performance, because ground rules were established prior to the appraisal interview.¹³⁸ Porter wrote that setting specific goals and objectives for future performance should lead to increased motivation since goals can motivate behavior.¹³⁹

In spite of the widespread use of performance appraisal in government, business and public education, the practice has drawn tremendous criticism. Traditionally, evaluation involved certain instruments that were completed by the evaluator. These usually contained certain desirable traits or activities of an employee and also a scale indicating the extent to which the employee manifested such traits.¹⁴⁰ Teel summed up the distaste for performance appraisal:

The performance appraisal is regarded by most supervisors as an unpleasant and ineffective necessity.¹⁴¹

DeVaughn, who has written a great deal about evaluation in the field of public education, supported Teel's assessment:

¹³⁷Ibid.

¹³⁸Kenneth S. Teel, "Self-Appraisal Revisited," Personnel Journal 57 (July 1978):364-367.

¹³⁹Porter, Behavior in Organizations, p. 329.

¹⁴⁰Nordvall, Evaluation and Development, p. 55.

¹⁴¹Teel, "Self-Appraisal," p. 364.

Most appraisal procedures and instruments have been inadequate and highly subjective and have been administered under an assumption that the superior somehow possessed the required competence to make the correct judgment, usually without involvement of the evaluatee in the process through self-appraisal, when the evaluatee perhaps best knows his professional need if invited to do so in an open, relatively threat-free climate.¹⁴²

Practices Used in Evaluating College Administrators

Kauffman reported that most colleges and universities still do not have any systematic evaluation of administrators or presidents.¹⁴³ However, some trends in evaluation of college administrators can be found in the literature.

A 1976 survey of approximately 400 American colleges and universities by Berquist and Tenbrink reported six procedures generally used in the evaluation of administrators:

1. The unstructured narration or essay appraisal
2. Unstructured documentation
3. Structured narration
4. Rating scales
5. Structured documentation
6. Management by Objectives¹⁴⁴

¹⁴²DeVaughn, "Policies, Procedures and Instruments," p. 2.

¹⁴³Joseph F. Kauffman, "Presidential Assessment and Development," Developing and Evaluating Administrative Leadership (San Francisco: Jossey-Bass, Inc., 1978), p. 62.

¹⁴⁴W. H. Berquist and G. J. Tenbrink, "Evaluation of Administrators," International Encyclopedia of Higher Education, vol 4 (San Francisco: Jossey-Bass, 1978), pp. 1493-1498.

Miller made reference to specific programs for administrator evaluation at the University of Redlands, Cantonsville Community College in Maryland, the University of Tennessee, Yale University and the State University of New York.¹⁴⁵ A comprehensive evaluation plan was instituted at William Rainey Harper College in Illinois by Robert E. Lahti.¹⁴⁶ The plan was called a goal-setting approach and was centered on the improvement of job performance through future oriented appraisal procedures and the development of people for career advancement. The Harper College System established five primary steps:

1. The supervisor and subordinate discuss the job description and come to agreement on major duties for which the subordinate is held accountable
2. The subordinate establishes specific, measurable, realistic performance objectives
3. The subordinate and supervisor agree on the performance objectives, the results they both desire, and the expected level of achievement to be accomplished
4. At least three appraisal interviews are established as check points for evaluation of progress
5. The supervisor is expected to concentrate on coaching and development during the interviews¹⁴⁷

Haverford College has conducted evaluations of its president, the dean of the college, the director of admissions, and the athletic director.¹⁴⁸ The evaluation of the president was conducted by a

¹⁴⁵Miller, Developing Programs, pp. 81-99.

¹⁴⁶Robert E. Lahti, "Managerial Performance and Appraisal," in Developing and Evaluating Administrative Leadership, ed. Charles F. Fisher (San Francisco: Jossey-Bass, 1978), pp. 6-7.

¹⁴⁷Ibid., p. 490.

¹⁴⁸Report of the Presidential Evaluation Committee of the Board of Managers (Haverford, Pa.: Haverford College, 1973).

committee of the College's Board of Managers. The committee was asked to evaluate the president's performance and to make a recommendation to the board with respect to the desirability of his continuing to lead the college in the years ahead.¹⁴⁹ The study was conducted by soliciting comments on the president from the faculty, the students, the administration and staff, and the alumni.

Gary D. Hays described the well-known "Minnesota Plan" for evaluating a college or university president.¹⁵⁰ The procedures called for each president in the Minnesota State University System to be evaluated during the third year and again during the first half of the fifth year of each five-year term.¹⁵¹ The focus of the plan was to evaluate administrative effectiveness in relation to those job responsibilities agreed on by the board and the president.¹⁵² The Minnesota model made use of four steps:

1. The selection by the board of an evaluation team, preferably external to the university, and involving presidents, board members, faculty, and executives outside of education
2. The preparation of a self-assessment by the president
3. The institutional visit by the evaluation team
4. The exit interview with the president by the evaluation team and preparation of the final report¹⁵³

¹⁴⁹Ibid., pp. 1-5.

¹⁵⁰Gary D. Hays, "Evaluating a President: The Minnesota Plan," AGB Reports, September-October 1976.

¹⁵¹Ibid., p. 8.

¹⁵²Gary D. Hays, "Evaluating a President: Criteria and Procedures," AGB Reports, November-December 1976, p. 46.

¹⁵³Ibid., pp. 44-45.

Hays emphasized that evaluation should not be used as a way to "get" a president, but to assist the president to improve his or her administrative team and the effectiveness of institutional management.¹⁵⁴

Another institution which employed performance evaluation was Benedictine College in Kansas.¹⁵⁵ The administrator to be evaluated submitted a job description to the Administrative Review Committee. Reactions were solicited from teaching personnel, students, and other administrators about the administrator.

The chairman of the College Senate of Buffalo at the State University of New York and others developed an evaluation instrument to sample the attitudes, opinions and beliefs of the faculty, staff, and student body regarding the performance of the college's president.¹⁵⁶ The president was to be evaluated based on the following criteria:

1. Academic and administrative leadership and management
2. Internal and external relationships
3. The institutional tone set by the president
4. Sensitivity to the needs of the campus and to the concerns of the faculty, staff, and students, and the college's image in the community¹⁵⁷

A questionnaire consisting of ninety items was developed. The Buffalo College system referred to factors the President identified as

¹⁵⁴Ibid., p. 46.

¹⁵⁵"Administrative Effectiveness Appraisal," Benedictine College, Atchison, Kansas, 1978.

¹⁵⁶Stanley Dickson, Review of a College President (Buffalo, New York: ERIC Document Reproduction Service, ED 131 786).

¹⁵⁷Ibid., p. 1.

positive characteristics of his administration and characteristics identified as variables related to successful college presidents. The questionnaire attempted to assess the performance of the offices for Academic Affairs, Student Affairs, and Finance and Management. The performance of the deans was also evaluated. A final section referred to general factors of importance to the college. The last two items of this section were:

1. Overall, I believe the President has served this institution effectively, and I would like to see him continued
2. Overall, I believe the President has served this institution effectively, but I would recommend we make a change¹⁵⁸

The Board of Trustees of the University of Illinois at Urbana-Champaign in 1978 adopted a policy requiring the evaluation of administrators. The policy required the evaluation of heads/chairpersons once every five years. The chancellor of the university delegated to the vice chancellor for academic affairs the task of evaluating the deans of the colleges, directors of schools and departmental chairpersons. The policy also required that as one component of the evaluation, views should be solicited from the entire faculty of the school or similar campus unit.¹⁵⁹

Van de Visse reported that at the state level, no legislation has been enacted regarding performance evaluation of college and

¹⁵⁸Ibid., p. 5.

¹⁵⁹Morton W. Weir, "The Evaluation and Reappointment of Administrators," Memorandum prepared for the administrators of the University of Illinois at Urbana-Champaign, 20 January 1978.

university administrators or faculty. Many states have either statutes or regulations about evaluation of elementary and secondary school personnel.¹⁶⁰

King summarized several new and emerging state laws calling for the evaluation of school principals and other school personnel.¹⁶¹

Because of the widespread interest in accountability of higher education, it is suggested that state governing boards and state legislators might begin to discuss evaluation of personnel in higher education as they have at the lower levels.¹⁶²

Problems with Administrative Evaluation

The enthusiasm and support for structured programs of evaluation in higher education are not universal. Cousins and Rogers presented a series of objections to evaluation in higher education.¹⁶³ These included the question of the validity of faculty judgment, bad publicity about the process, mistaking of popularity of administrators with real worth, recruitment problems, and the use to which evaluation results are put.

Robert E. Lahti summarized twelve troublesome deficiencies found in many appraisal systems, according to the literature.¹⁶⁴ These

¹⁶⁰Van de Visse, "The Evaluation of Administrative," p. 63.

¹⁶¹Richard A. King, "Recent Legislation and Litigation Affecting the Role of the Principal," in New Mexico Principalship Study (Albuquerque: University of New Mexico, 1978).

¹⁶²Van de Visse, "The Evaluation of Administrative," p. 63.

¹⁶³A. N. Cousins and J. F. Rogus, "Evaluating Academic Administrators From Below," Liberal Education 63 (March 1977):91-101.

¹⁶⁴Lahti, "Managerial Performance," pp. 2-3.

included a failure of supervisors to give feedback, the demoralizing effect of performance appraisals on employees who do not have a high degree of self-esteem, and the time-consuming aspect of performance appraisals.

Farmer discussed three basic arguments against undertaking administration evaluation.¹⁶⁵ First, that the diversity of programs, leadership roles, and opinions about the evaluation among those participating in the process all combine to make any system of evaluation unworkable.

Second, that there are no proven techniques available that are satisfactory for administrator evaluation in higher education.

Third, that evaluation will inevitably be a political process where subjectivity overwhelms accuracy.

Dressel observed four major problems of evaluation:

1. The difficulty of defining administration in terms of the related concepts of management and leadership
2. The difficulty of determining the power that an administrator has (in light of the great variances in legal and hierarchical frameworks of higher education institutions) so that the evaluation properly relates to the administrator's functions and the authority he or she is delegated to fulfill them
3. The lack of generally accepted clear criteria for determining successful administration
4. The fact that administrators often purposely communicate in ambiguous ways in dealing with multiple constituencies¹⁶⁶

¹⁶⁵Charles H. Farmer, "Why Evaluate Administrators?" Administrator Evaluation: Concepts, Methods, Cases in Higher Education, ed. Charles H. Farmer (Richmond, Va.: Higher Education Leadership and Management Society, 1979), pp. 6-11.

¹⁶⁶Dressel, Handbook of Academic, pp. 376-382.

Summary

A search of the literature revealed several sources with information about the evaluation of administrative performance in higher education. Also to be found in the literature of recent years are many articles suggesting criteria, methods, criticisms, advantages and limitations of evaluation programs. Most, if not all, of the current evaluation programs are emerging programs, and have not been subjected to the tests of time, and have not been validated. The key roles played by administrators within organizations dictate that there should be valid, job-related, and practical ways of assessing individual contributions to the progress of the organizations.¹⁶⁷ This assessment should be of the educational effectiveness of the person, not the person himself.¹⁶⁸ Improved communications and improved evaluation programs are needed, because there are few programs to date which have had significant impact on the objective evaluation of administrators in higher education.

¹⁶⁷Van de Visse, "The Evaluation of Administrative," p. 69.

¹⁶⁸Ibid.

CHAPTER III
DESIGN OF THE STUDY

Descriptive research aims at answering the general question, "What exists?" This type of research usually describes the present state of things, but less often seeks to account for its occurrence.¹⁶⁹

Fox suggested that there are two conditions which, occurring together, suggest and justify the descriptive survey:

First, there is an absence of information about a problem of educational significance, and second, that the situations which could generate that information do exist and are accessible to the researcher.¹⁷⁰

The purpose of this study was to describe a particular situation, and the data which were collected were exclusively descriptive. This investigation was designed to determine the state of the art of administration evaluation in the colleges and universities of North Carolina. It focused on evaluative practices as of November, 1979.

The study involved the utilization of empirical techniques and included, for the most part, two categories of descriptive research: trend study and documentary analysis.

¹⁶⁹David R. Cook, A Guide to Educational Research (Boston: Allyn and Bacon, Inc., 1968), pp. 39-44.

¹⁷⁰David J. Fox, The Research Process in Education (New York: Holt, Rinehart and Winston, Inc., 1969), p. 424.

A variety of materials were analyzed to spot trends and to discover differences in prevailing practices used in the evaluation of college and university administrators.

Pertinent data about the administrative experience of the college and university chief executives were also gathered.

In addition, information was gathered from documentary sources that described administrative evaluation instruments in use during the past five years.

Several research questions were constructed from review of the literature and the rationale of the study. In order to achieve all of the objectives, the following research questions were examined:

1. To what extent are formal procedures used for the evaluation of college and university administrators
2. Do chief executives of colleges and universities perceive a need for formal administrator evaluation procedures
3. Is there a particular relationship between the perception of the need for evaluation and the extent of direct action taken by a higher education institution to implement the need through some form of an evaluative program
4. Is there a relationship between the size and type of the institution and the type of administrator evaluation program
5. To what extent have boards of trustees shown an interest in administrator evaluation
6. What is the primary purpose of administrator evaluation in colleges and universities

Description of the Population

The purpose of this study was to gather facts about the practices and the policies of the evaluation of administrative

performance in the colleges and universities of North Carolina. The original idea was to survey a variety of college and university administrators about evaluative procedures. It was later decided that a single administrator, common to all types of higher educational institutions, and with a comprehensive overview of the current situation at his or her particular institution, was needed. The president, chancellor or chief administrative officer responsible directly to the University's local governing board (directors or trustees) seemed best to fit those criteria.

Consideration was given to the fact that the chief administrators might be difficult to survey because of their full personal and professional schedules. Even so, an effort should be made to reach those presidents and chancellors who would be most likely and willing to respond themselves and not pass a questionnaire on to some other staff member.

Another concern was to avoid possible bias from selected presidents representing institutions that were too similar in size, degree of offerings, or type of control. The sample needed to include respondents from all types of institutions, such as public, private independent and private church affiliated, proprietary, branch campuses, community colleges. The ideal, but impractical study would be to use the population of the approximately 2800 institutions in the whole United States.

It was finally decided that higher education institutions in the State of North Carolina would fulfill these criteria as the sample for this study.

A search was conducted for comprehensive lists of the colleges and universities of North Carolina. The most current volume of statistical information about the institutions was found in the Statistical Abstract of Higher Education in North Carolina, 1978-79, compiled by Linda Balfour and published by the University of North Carolina at Chapel Hill.¹⁷¹ Information relevant to this study was also found in a taxonomy edited by Millett and published by the Academy for Educational Development, Inc.¹⁷² This included the following specifically named types of public and private institutions: leading research universities; comprehensive colleges and universities; general baccalaureate colleges; two-year colleges; Bible colleges and religious seminaries; medical schools; other health professions; schools of engineering and technology; schools of business; schools of music, art, design; schools of law; teachers' colleges; and other specialized schools. This taxonomy listed 47 four-year colleges and universities in North Carolina.

Useful information was also found in the 1978-1979 edition of the "North Carolina Education Directory," issued by the State Department of Public Instruction.¹⁷³

¹⁷¹Linda Balfour, comp., Statistical Abstract of Higher Education in North Carolina 1978-79 (Chapel Hill: University of North Carolina, 1979).

¹⁷²John D. Millett, ed., The Campus Resources of Higher Education in the United States of America: A Taxonomy of Types and a Geographical Distribution (Washington, D. C.: Academy for Educational Development, Inc., 1973), pp. 22-108.

¹⁷³North Carolina Education Directory 1978-79 (Raleigh: State Department of Public Instruction, 1979), pp. 151-153.

The breakdown of types and sizes of institutions is shown in Tables 1, 2, and 3.

TABLE 1
FOUR-YEAR COLLEGES AND UNIVERSITIES IN
NORTH CAROLINA BY TYPE OF CONTROL

Type of Control	Number of Institutions Sampled	Number of Institutions Responding
Public	16	10
Independent	2	2
Church Affiliated	<u>29</u>	<u>23</u>
Total	47	35

TABLE 2
COLLEGES AND UNIVERSITIES IN NORTH CAROLINA BY
HIGHEST LEVEL OF DEGREE OFFERINGS

Highest Level of Degree Offered	Number of Institutions Sampled	Number of Institutions Responding
Baccalaureate	32	23
Masters	9	8
Doctorate	<u>6</u>	<u>4</u>
Total	47	35

TABLE 3
COLLEGES AND UNIVERSITIES IN NORTH CAROLINA
BY ENROLLMENT

Enrollment	Number of Institu- tions Sampled	Number of Institu- tions Responding
Less than 1,000	15	10
1,000 to 2,499	19	16
2,500 to 4,999	4	3
5,000 to 9,999	6	6
10,000 or more	<u>3</u>	<u>0</u>
Total	47	35

Major Empirical Sources Used in the Study

1. A questionnaire designed for this study, concerning procedures for administrator evaluation in the colleges and universities selected for the study (see Appendix E)
2. Personal telephone interviews conducted by the researcher in order to gather information pertinent to the evaluation of college and university administrators
3. Material from the literature relevant to the topic of administrator evaluation
4. Reports and findings of other agencies and researchers concerning the evaluation of college and university administrators
5. Documents from colleges and universities relevant to this study

The Instrument

Nisbet and Entwistle, in their chapter on Questionnaires, suggested that procedure for the construction of a questionnaire should follow a pattern similar to that of the interview schedule.¹⁷⁴ This procedure was followed and proved to be satisfactory. The general outline was:

1. Defining the problem precisely
2. Constructing questions or items to deal with each aspect of the problem
3. Preparing the letter to accompany and explain the questionnaire
4. Pre-testing the questionnaire on a pilot group
5. Revising the questionnaire
6. Distributing the corrected questionnaire

From a statement of the general problem, a list of possible question areas was considered. A search of the related literature yielded information and several instruments relevant to this study.

Surwill and Heywood developed a questionnaire to ascertain the state of the art of evaluating college and university administrators.¹⁷⁵ Van de Visse developed a questionnaire designed to gather descriptive data on the extent that college and university chief administrators were aware of performance evaluation of administrative personnel.¹⁷⁶

¹⁷⁴J. D. Nisbet and N. J. Entwistle, Educational Research Methods (New York: American Elsevier Publishing Company, Inc., 1970), pp. 44-53.

¹⁷⁵Surwill and Heywood, Evaluation of College, pp. 9-10.

¹⁷⁶Van de Visse, "The Evaluation of Administrative," pp. 136-139.

Based on these two previous instruments and special needs of this study, an instrument was prepared to survey practices and policies of administrator evaluation in North Carolina.

The questionnaire was divided into four sections. The first section requested general information on institutional characteristics that could be used to analyze data by size, type, and control. Items for the second section of the questionnaire concerned awareness and interest of the chief executives in administrator evaluation and the willingness of the executives to have their own performance evaluated. The third section requested information about the specific programs in use to evaluate college and university administrators. The fourth section requested information about the chief executives' plans to propose or initiate a formal procedure for the evaluation of administrators.

Because busy presidents and chancellors would be asked to fill out the questionnaires and mail them back, several aspects of construction had to be considered. The instrument could not be threatening in terms of questions about the evaluation of the chief executive. Only one question in that area was used. The form had to be constructed so that it could be completed easily. Questions requiring detailed or essay answers were avoided, the number of questions was reduced, and individual questions were made concise.

The form needed to employ a minimum number of open-ended questions, as many persons might not make the effort to write out an answer, or they might respond superficially. The original list of questions had a number of redundancies, ambiguities, and vagueness.

These problems were uncovered when a draft questionnaire was submitted to members of the dissertation committee for their evaluation. After incorporating the suggestions from members of the committee, a preliminary questionnaire and covering letter were prepared.

The Pilot Study

As a means of refining the questionnaire, it was decided to conduct a pilot study. This would insure that responses of the respondents would be the kind sought in the study.

The preliminary questionnaire with an appropriate covering letter was sent to the presidents of five colleges and universities located in Greensboro, North Carolina. These schools included one doctoral-granting institution, one comprehensive university, and three general baccalaureate colleges. The chief executives of the five colleges were asked to complete the questionnaire and then grant a personal interview to discuss their reactions to the subject matter and the questionnaire.

The preliminary questionnaire was also reviewed by the director of institutional research at one of the institutions and by three other college administrators. These resource persons offered helpful advice for the improvement of the questionnaire.

After this preliminary testing, the final questionnaire was constructed, attractively printed on eye-ease green stock, a point emphasized by Erdos.¹⁷⁷ Original typewritten letters with the

¹⁷⁷Paul L. Erdos, Professional Mail Surveys (New York: McGraw-Hill Book Company, 1970), p. 40.

questionnaire were addressed directly to the chief executive of each institution and mailed on November 5, 1979. Thirty-three or 51 percent of the 47 chief executives responded prior to a second mailing. The letter, printed questionnaire, and follow-up request are found in Appendices A, B, and C, respectively.

The second mailing included a second typewritten letter dated November 26, 1979 with an additional note at the bottom requesting response. The second request included an additional questionnaire and self-addressed, stamped envelope. Returns were completed by December 15, 1979 with a total return of thirty-five questionnaires or 74 percent of all chief executives in the sample responding.

The names of all colleges and universities contacted are shown in Appendix D along with an indication of whether they responded.

Personal telephone interviews were an integral part of this study. Structured and unstructured techniques were employed to obtain specific information about administrator evaluation from each chief executive who reported the current use of a formal administrator evaluation program in his or her institution.

Nature of Analysis

Before any data were collected, the total data collection and data-processing procedures were worked out in detail. Van Dalen emphasized the importance of this aspect of research.¹⁷⁸

¹⁷⁸Deobold B. Van Dalen, Understanding Educational Research: An Introduction (New York: McGraw-Hill Company, 1979), p. 382.

As a result of the pilot study and after a careful review of the purpose of this survey, a procedure for the analysis of the data was finalized.

A numerical coding system was devised by the Statistical Consulting Center of the University of North Carolina at Greensboro for statistical control and data analysis. This coding covered identification number of the responding institution, type of institution, type of control and enrollment.

The coding system used contained digits as follows:

First three digits--identification number of the institution.

Fourth digit--type of institution

1. for doctoral-granting universities
2. for comprehensive colleges
3. for general baccalaureate colleges

Fifth digit--type of control

1. public
2. private church-related
3. private independent

Sixth digit--size of enrollment

1. Less than 1,000
2. 1,000-2,499
3. 2,500-4,999
4. 5,000-9,999
5. 10,000 or more

One aspect of this study was to determine the extent of interest and awareness of the subject by the chief administrators of the four-year colleges and universities in North Carolina.

Also, it was desired to gather information on any organized evaluative practices now existing at these institutions. Therefore, it was recognized that personal opinion and bias of the presidents would be reflected in the returns.

The instrument was not designed to evaluate any personnel or institution, nor to predict, correlate, or investigate a possible cause-and-effect relationship. There were no variables to be manipulated, nor was there any attempt to test any particular person on the extent of his knowledge of the subject. Thus, inferential comparisons, measures of content validity, and coefficients of reliability were not considered.

CHAPTER IV PRESENTATION AND ANALYSIS OF DATA

Introduction

The presentation and analysis of the data, gathered by the procedures described in the previous chapter, are found in this chapter. The principal source of the data was a special questionnaire designed for this study (see Appendix B).

This study is descriptive. The data are analyzed and reported in tabular form. No attempt is made to establish causation or to draw conclusions beyond the population included in this study.

Preparation of the Data

A questionnaire was mailed to each chief executive of a four-year college or university in North Carolina. A total of 47 questionnaires was sent, and 36 were returned, a response of 76 percent. Two of the questionnaires were unusable (instruments without sufficient response), and 34 were retained for analysis.

After the data were collected, they were systematically examined, classified, evaluated and tabulated at the Statistical Consulting Center of the University of North Carolina at Greensboro. The data were then analyzed to determine their relevance to the problem under study.

A set of frequency tabulations and a correlation matrix were made. One of the frequency tabulations contained the total frequency of

responses for each question or variable. Another of the frequency tabulations compared institutional responses by control and enrollment, responses by type and enrollment, and responses by type, control, and enrollment. Another tabulation contained a summary of items which sought quantitative or qualitative information.

One tabulation listed the number of responses for all the questions by the three types of control (public, independent, and church-affiliated), the three levels of highest degree offerings (B. A., M. A., and Ph. D.), and the five categories of enrollment size (less than 1,000; 1,000-2,499; 2,500-4,999; 5,000-9,999; and 10,000 or more).

A more in-depth interpretation of the data may have some value for a particular class of institutions or for an individual institution. For this reason, frequencies of responding institutions by (1) control and level, (2) control and enrollment, and (3) level and enrollment were listed in Tables 21, 22, and 23 (see Appendix K). Also, the frequencies of individual item-by-item responses for the types of control, the four levels of highest degree offerings, and the eight categories of size by enrollment were itemized. These were recorded in Tables 24, 25, and 26 and placed in Appendix L.

A correlation matrix was prepared listing the correlation coefficients, shown in the fourth decimal place, for each of the questions or variables with each of the other variables.

Nonrespondents

Twenty-four percent of the administrators did not respond to either of the two mailings. Hillestad reported that nonrespondents tend

to be unlike those who respond on questionnaires. In order to determine if the 24 percent did or did not represent a source of data different from the 76 percent, the following procedures were followed. Six of the eleven nonresponding administrators were selected at random and contacted via telephone. The results of these conversations indicated that the nonresponding institutions were not substantively different from those responding.

Presentation of the Data and Individual Responses

The purposes of this study were to describe practices of four-year colleges and universities of North Carolina in evaluating their administrators, to describe the extent of both proposed and actual implementation of evaluation of administrative performance, and to indicate any variation in practice among institutions of different size and type.

Of the 37 items on the questionnaire, items 1, 2, and 3 dealt with the type of institution, type of control, and enrollment of the colleges and universities. The types of institutions responding included 4 doctoral-granting universities, 8 comprehensive colleges or universities, and 24 general baccalaureate colleges.

The institutions responding included 11 public universities, 2 private independent institutions, and 23 private, church-related institutions. The enrollment figures of the responding institutions included 9 with less than 1,000 students, 17 with 1,000-2,499, 4 with

2,500-4,999, 5 with 5,000-9,999 and 1 with 10,000 or more students. The types of control of the institutions responding included 23 church-related, 10 public, and 2 independent institutions.

Items 4 and 5 dealt with the presidents or chief administrators of the 36 responding institutions. Table 4 shows that the number of years the presidents had served in that position at the institution ranged from several months, which was counted as one year for purposes of this study, to twenty years. The mean number of years was 8.0 and the median number of years was 9.0.

Item 5 asked for the total number of years that the president had worked at the particular institution both as president and in all other positions. Table 5 shows that the mean number of total years at the particular institution was 9.5 and the median number of years was 11.0. The range was from one year to twenty-eight years. Interpretation of these data is included in a later section of this chapter.

Twenty-one of the remaining items on the questionnaire required a yes-or-no reply. The frequency of responses to those twenty-one questions was tabulated in the form of percentages and was used in discussing the research questions.

Research Question #1

To what extent are formal procedures used for the evaluation of college and university administrators?

Between November 6 and December 30, 1979, data were collected concerning the administrator evaluation practices of the 47 four-year

TABLE 4
RESPONDENT'S NUMBER OF YEARS AS PRESIDENT
AT THE PRESENT INSTITUTION

Years	Frequency
1	6
2	2
3	2
4	1
5	3
6	2
7	1
8	2
9	0
10	4
11	2
12	2
13	2
14	2
15	1
16	0
17	1
18	0
19	0
20	1
Total = 34	

TABLE 5
 RESPONDENT'S TOTAL NUMBER OF YEARS IN ALL
 POSITIONS AT THE PRESENT INSTITUTION

Years	Frequency	Years	Frequency	Years	Frequency
1	6	12	3	23	0
2	1	13	1	24	0
3	2	14	1	25	0
4	1	15	1	26	0
5	3	16	0	27	0
6	2	17	1	28	1
7	1	18	0	29	0
8	1	19	1	30	0
9	0	20	2	31	0
10	4	21	0	32	0
11	1	22	1	33	0
Total = 34					

universities in North Carolina. All 47 institutions were contacted and 36 or 76 percent responded to the questionnaire. Items IIQ14-IIIQ5 were concerned with the discussion of the use of formal evaluation procedures. Fourteen or 41 percent of the chief executives reported that formalized, systematic procedures were used in their respective institutions.

Of the 34 responding institutions, one-third were evaluating their respective academic deans and department heads with formal

procedures. Only 29 percent of the responding institutions evaluated their chief executives by formal procedures. On the average, 14 percent of the responding institutions evaluated other administrators by a formal process.

The results of this study support the findings of other authors about the trend in higher education toward the use of formal administrator evaluation procedures. Van de Visse, in a survey of Ohio institutions in 1974, reported that only 28 percent of those institutions had a formal evaluation program.¹⁷⁹ The Surwill study of 218 institutions throughout the United States in 1976 reported that 32 percent of those institutions carried out formalized evaluation of their administrators.¹⁸⁰

Table 6 shows that of the 23 private institutions, 10 or 43 percent used formal evaluation procedures, while 4 or 36 percent of the public colleges and universities had a formal procedure.

For the purpose of presenting data throughout this report, colleges will be classified by enrollment size in three basic categories: small colleges with enrollments of less than 2,500; medium size colleges with enrollments of 2,500-4,999; and large colleges with enrollments of 5,000 or more.

A comparison was made between the small (under 2,500), medium (2,500 to 4,999), and large (5,000 or more) institutions. Of the 23 institutions reporting an enrollment of less than 2,500, 9 or 39 percent had a formal structured evaluation process.

¹⁷⁹Martin Van de Visse, "Evaluation of Administrators," p. 103.

¹⁸⁰Benedict Surwill, "Evaluation of College," p. 3.

TABLE 6

EVALUATION PLAN BY TYPE, CONTROL AND ENROLLMENT

Evaluation Plan by Type of Institution

	Doctoral		Comprehensive		Baccalaureate		All	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Formal	2	50	2	40	10	40	14	41
Informal	2	50	3	60	15	60	20	59

Evaluation Plan by Control

	Public		Private		All	
	Number	Percent	Number	Percent	Number	Percent
Formal	4	36	10	43	14	41
Informal	7	64	13	57	20	59

Evaluation Plan by Enrollment

	Less than 2,500		2,500-4,999		5,000 or more		All	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Formal	9	39	2	40	3	50	14	41
Informal	14	61	3	60	3	50	20	59

Of the 5 colleges and universities having an enrollment of 2,500 to 4,999, 2 or 40 percent had a formal structured process.

Research Question #2

Do chief executives of colleges and universities perceive a need for formal administrator evaluation procedures?

Items IIQ10-14 of the questionnaire were concerned with whether chief executives would be willing to have their performance evaluated by a formal procedure. Ninety-six percent of the responding chief executives were willing. When asked (Items IIQ10-13) if they would be willing to have their performance evaluated by the chairman of the governing board of their respective institution, 28 or 93 percent answered positively.

The chief executives' opinion of performance evaluation as a useful response to accountability is tabulated in Table 7. All of the responding chief executives at institutions with established procedures (14) reported they saw evaluation as a useful response to accountability, while only 9 chief executives at institutions without formal evaluation programs (64 percent of those responding) supported evaluation as a useful response to accountability (Item IVQ5).

Forty-one percent of the responding chief executives without a formal evaluation program reported such a program was under discussion at their institution (Item IVQ2). Twenty-five percent of these indicated they anticipated implementing a formal plan at their respective institutions within three years (Item IVQ4).

TABLE 7
 SELECTED ITEM RESPONSES CONCERNING ADMINISTRATOR'S
 UNDERSTANDING OF EVALUATION

As a Response to Accountability	President's Opinion		
	Percent Responding		
	Yes	No	No Answer
Established Evaluation Procedure (IIIQ5)	100	0	0
Proposed Evaluation Procedure (IVQ5)	45	25	30
N (Total Respondents) = 34			

The expression of interest in the subject and the desire to discuss it may have indicated, at least to some extent, a recognition of the need, in this case evaluation of administrative performance. The chief executives gave their opinion, in Items IIIQ5 and IVQ5, that evaluation was a useful response to accountability. Further recognition of the need was shown by their own willingness to be evaluated.

Research Question #3

Is there a particular relationship between the perception of the need for evaluation and the extent of direct action taken by a higher education institution to implement the need through a formal evaluation program?

Since most of the variables in this study were of a two-choice type (yes - no), the phi coefficient was used in order to estimate any

relationships, as to their degree and direction. As a matter of fact, any coefficient greater than .23 is statistically significant at the .01 level.

The relationship, as indicated by phi coefficients, of elected items indicating the president's perception of the need for evaluation and the institution's actual implementation are shown in Table 8.

The variables of presidential perception of the need for formal administrator evaluation were compared to those of institution implementation. Only ten coefficients were obtained from the analysis of the data, because of the small number of the sample. Of the phi coefficients, four were below the .05 level of significance.

For the purpose of seeking only apparently high positive or negative relationships, only a limited number of relationships with very high coefficients were considered. The chief executives' willingness to be evaluated (Item IIQ10) showed a degree of association with those institutions which have an existing evaluation program.

(Item IIQ14). There was a slight relationship when the president's knowledge of the Harper College evaluation program was compared to his having proposed a formal plan (Item IVQ3). No high relationship was yielded when a president's willingness to be evaluated formally was compared to his having instituted discussion of evaluation at his institution or having proposed formal evaluation procedures at his institution. The remainder of the limited number of item comparisons displayed no significant relationship, either positively or negatively.

TABLE 8

RELATIONSHIPS OF SELECTED ITEMS OF PERCEPTION OF NEED AND
IMPLEMENTATION, EXPRESSED AS CORRELATION COEFFICIENTS

President's Perception of Need With	Institution's Implementation			
	Existing Program (IIQ14)	Being Discussed (IVQ2)	Being Proposed (IVQ3)	Informal Process (IVQ1)
Evaluation as Useful (IIIQ5)				
Proposed Evaluation (IVQ5)		.4200	.2200	.1384
Willing to Be Evaluated (IIQ10)	*.0500			
Harper College Program (IVQ6a)		.0200	.0026	.1253
State University of New York Program (IVQ6b)		.0600	.1815	.0454

*P .05, O.F. = .2316

Even though the chief executives seemed to perceive a need for formal evaluation of administrators, there has not been much implementation (14 of the 34 responding institutions) in terms of direct action as indicated in this study. Also, only 7 of the 22 institutions (32 percent) not having a formal program indicated that a formal procedure was being discussed and only 4 (18 percent) of the 22 institutions reported that they had a procedure to propose. Because of the absence of so many coefficients, evidence relevant to the third question was inconclusive.

Research Question #4

Is there a relationship between the size and type of the institution and the type of administrator evaluation programs?

Information on the different types of evaluation processes is presented in Table 6. Data are shown for public and private four-year colleges and universities.

Of the 34 respondents, 14 or 41 percent reported that their institutions used formal evaluation procedures. Fourteen or 41 percent of the 34 chief executives indicated they attempted to evaluate administrators by an informal process. Three chief executives or 9 percent reported that they did not evaluate by a formal or informal process.

Of the 23 small institutions with an enrollment under 2,500, 9 or 39 percent indicated they evaluated administrators by a formal process. Of the five medium institutions with an enrollment of 2,500 to 4,999, 2 or 40 percent used a formal evaluation process.

The data revealed that of the 6 large institutions with an enrollment of 5,000 or more, 3 or 50 percent used a formal process.

Respondents from the 16 public institutions indicated that 4 of them or 25 percent had a formal evaluation process for their administrators. Of the 23 responding chief executives from private institutions, 10 or 43 percent had a formal process for their administrators.

A comparison was made of the institutions by mission. Of the 4 responding chief executives from doctoral-granting institutions, 2 or 50 percent reported the use of formal evaluation plans. Two or 40 percent of the comprehensive institutions offering master's degrees used formal procedures. Ten of the 25 general baccalaureate institutions or 40 percent had a formal process.

The data were clear on this question. There did not appear to be a significant direct relationship between the type of institution and whether or not the institution used formal evaluation procedures. Twenty-five percent of the responding public institutions had formal procedures, while 32 percent of the private institutions had formal procedures. There did appear to be some relationship between size of the institution and the use of formal evaluation procedures. The smallest institutions (less than 1,000 students) tended not to use formal procedures.

Research Question #5

To what extent have boards of trustees shown an interest in administrator evaluation?

Data were gathered concerning the interest and actions of governing boards on formal administrator evaluation. Of the 34 respondents, 14 or 41 percent reported that there had been discussions by their respective boards. Five of the governing boards or 14 percent had proposed a motion on the subject of administrator evaluation, but only one of the motions was passed. A comparison was made of the interest of boards at institutions with a formal plan with those at institutions where there was no formal plan.

Of the 20 chief executives at institutions without formal evaluation procedures, 8 or 40 percent reported that their governing board discussed in their presence the subject of administrative performance. Only two of the governing boards had proposed any motions for action, and one of the boards had passed such a motion.

Of the 14 chief executives at institutions with formal evaluation plans, 6 or 43 percent reported discussions of administrator evaluation by their governing boards. No motions had been passed at those institutions.

The data from the questionnaire indicated that there had been no interest or action at a majority of the four-year colleges and universities during the past year. Table 9 shows the state of discussion of performance evaluation by governing boards. Only 4 of the 34 institutions indicated that their trustees had taken any action in the form of formal motions (Item III). This is summarized in Table 9.

To the extent the data on this question reflect interest in administrator evaluation, it appears that governing boards did not express much concern. The results of this study tend to support the

findings of Van de Visse, who reported that 11 percent of the responding institutions had acted on a motion.

The data did not indicate much expression of interest in formal performance evaluation procedures by members of governing boards. Only four motions concerning action on the subject were passed by the group during the past year.

TABLE 9
GOVERNING BOARD DISCUSSION OF
PERFORMANCE EVALUATION

Discussion by Board	Item Number	Percent Responding	
		<u>Yes</u>	<u>No</u>
Informally	(IIQ2)	26	74
Formally	(IIQ3)	35	65

Frequency of Governing Boards Acting on Performance Evaluation Motions

Action Taken	Item Number	<u>Number of Motions Acted On</u>					
		1	2	3	4	5	6
Passed	(IIQ7)	0	0	0	4	0	0
Defeated	(IIQ8)	0	0	0	0	0	0
Tabled	(IIQ9)	0	0	0	0	0	0

Research Question #6

What is the primary purpose of administrator evaluation in colleges and universities?

This study sought to determine what chief executives of institutions believed to be the primary purpose of administrator evaluation. A question was presented which asked the respondents to indicate the primary function of their evaluation program as well as any secondary functions. Purposes considered were providing feedback, serving as a basis for modifying behavior, providing data for job assignments and compensation and establishing goals and objectives.

Of the 14 respondents (IIQ14) at institutions which had a formalized evaluation program, 7 (50 percent) reported that the basic function of the procedures was to provide feedback to each person on his or her performance (IIIQ4).

The entries in Table 10 do not add up to 100 percent; instead, they simply show the percentages of respondents who identified each function as a primary one.

From this sample, it appeared that the primary purpose of administrator evaluation was to provide feedback to each person on his or her performance. The questions were not constructed to gather data on how the evaluation information is actually used or to draw conclusions beyond the population of this study.

Other Issues Investigated

There was a high degree of willingness by chancellors and presidents to have their own performance evaluated, mostly by part or all of the governing board. A few indicated a willingness to be evaluated by other constituents. A majority of the chief executives with formal evaluation programs indicated their programs were somewhat

TABLE 10
PRIMARY USES OF EVALUATION

Use	Public Institution Percent	Private Institution Percent	All Percent
Feedback	40	75	50
Changing Behavior	30	25	28.6
Job Assignments and Compensation	30	25	28.6
Goals and Objectives	30	0	21.4
Other	0	0	0

effective. Five of the programs were described, and all of them followed a rating scale which was discussed in Chapter II.

A second issue concerned the extent of willingness of the chief executive to have his own performance evaluated. Thirty of the 34 presidents (96 percent) reported that they would be willing to have their own performance evaluated by a formal procedure. When they were asked (Item IIQ11) if they would be willing to have the chairman of their governing board evaluate their performance, 28 or 93 percent answered positively. Eighty-six percent of the responding chief executives indicated a willingness to be formally evaluated by someone delegated by the chairman of their governing board (Item IIQ12). Seventy-three percent of the corresponding chief executives indicated they would be willing to be evaluated by other constituent groups (Item IIQ13).

Twelve or 86 percent of the institutions with a formal evaluation program for administrators, had formalized systematic programs for evaluating the performance of faculty (Item IIIQ7). Only four or 36 percent of the institutions with a formal evaluation program for administrator indicated that subunits of their institution have their own formal evaluation plans for administrators (Item IIIQ6).

Of the 14 chief executives who reported that they had an established evaluation procedure at their institution, 7 specified that these existing programs included the president (Item IIIQ2A).

The relationship between the president's longevity and specific efforts and opinions about formal administrator evaluation was not initially requested. However, these data did add some information for consideration. Table 11 shows correlation coefficients which indicate no apparent relationship between these variables.

No high relationship was yielded when a president's willingness to be evaluated formally was compared to his longevity as chief executive of the institution or his longevity at the institution. There was no significant association when longevity was compared to whether or not the chief executive had a formal evaluation plan to propose. For the sake of the study, longevity was classified from 0-5 years, 6-10 years, and more than 10 years.

Thus, there appeared in this study to be no particular relationship between how long a person had been president at a particular institution and his willingness to be evaluated or his opinion about the usefulness of evaluation in the area of accountability.

TABLE 11
 RELATIONSHIPS OF SELECTED ITEMS OF LONGEVITY AS
 CHIEF EXECUTIVE AND IMPLEMENTATION
 EXPRESSED AS COEFFICIENTS

President's Longevity With	Institutional Implementation		
	Willing to Be Evaluated (IIQ10)	Proposed Evaluation (IVQ5)	Evaluation As Useful (IIIQ5)
Longevity as President	.0812	.0369	
Longevity at Institution	.1142	.0666	

One chancellor stated that the purpose of evaluation was to provide an individual with a clearer understanding of his role and with an idea of how the individual's associates interpreted his role. He claimed that whether formal evaluation procedures are useful depends on how they are structured. This respondent reported that he was considering a formal evaluation system for his institution. As was previously reported, 30 of 34 chancellors and presidents reported that they would be willing to have their own performance evaluated by a formal procedure (Item III0). Twenty-eight presidents named other constituent groups that they would be willing to make the evaluation as shown in Table 12.

Discussion

This study supported the notion that the use of formal administrative evaluation is still in an early stage of development in the

TABLE 12
EVALUATION OF PRESIDENT'S PERFORMANCE
AS SPECIFIC SUGGESTIONS

Individual or Group	Frequency
Chairman of Governing Board	28
Person Delegated by Governing Board	25
Other Constituents	17

colleges and universities in North Carolina. However, the responses indicated that the use of formalized administrator evaluation has grown significantly during the past five years.

Of the 14 institutions with a formal plan, 9 or 64 percent had instituted their plan within the past five years.

The data also indicated that by 1982, five additional institutions planned to have formalized evaluation procedures for their administrators. Added to the 14 institutions in the study which now have ongoing formalized evaluation procedures, this means that 19 institutions or approximately 56 percent of the institutions of the state will have instituted formalized evaluation procedures.

The current trend then is in the direction of more formal-- which means more elaborate--evaluations. Many presidents, including some who do not look upon formal evaluation with favor, believe formal assessments are here to stay. Other chief executives pointed out that there was much more desire on the part of faculty and students five

years ago to participate in governance than there is today. They suggested that the adoption of additional formal evaluation programs may be curtailed somewhat.

Also of interest to the researcher was the fact that 14 or 41 percent of the responding chief executives had served in that capacity for five years or less. Six of the chief executives, or 18 percent, had served in that capacity for one year or less (Table 4). As was commented on by several respondents, there had not been enough time for some of the chief executives to become familiar with existing traditions and procedures in the area of evaluation. On the other hand, the study revealed that there had been less implementation of formal procedures by chief executives with the longest service as chief administrators. Only 3 out of 11 chief executives with 11 or more years' service used formal procedures (27 percent), while 7 of 14 with 5 years' service or less (50 percent) used formal procedures. It was interesting to note that 9 of the 14 responding institutions with formal evaluation programs (64 percent) had initiated those programs within the past five years.

The data were relatively clear on several issues. From the sample, there did not appear to be much awareness, much interest in discussion, or much understanding of formal evaluation. Chief executives did not seem to have an aversion to evaluation of themselves, yet it was shown in the data that very few of them were actually subjected to a formal evaluation procedure. Only 7 of 14 institutions with existing evaluation procedures included the chief executive (Item IIIQ2).

Thus, of the 34 chief executives who contributed to this study, only 7 (or 21 percent) were actually having their own performance evaluated formally. These results supported an earlier study by Van de Visse, who reported that only 15 percent of the chief executives of Ohio institutions were having their own performance evaluated. Surwill and Heywood reported in a 1976 study that 11 percent of all member institutions of the American Association of State Colleges and Universities evaluate their presidents.

The data suggested that some chief administrators were not willing to be evaluated by certain constituent groups. Given the threatening nature of evaluation, it is necessary that a reasoned decision be made about who would be permitted or required to evaluate administrators and who would not. The possible effects and contributions of each type should be understood.

The attitude of the individual chief administrator about formal evaluation plays an important role in whether or not an institution employs such a process. The responses of chief executives from small institutions (enrollments of 2,500 or less) indicated satisfaction with informal procedures. The research found a variety of informal evaluation procedures in use in the state's colleges and universities. Most of the procedures involved oral assessments of an administrator by his superior on a periodic basis, or annual written reports prepared by the administrator being evaluated or by his supervisor.

In higher education then, it is not an issue to evaluate or not to evaluate administrators, since evaluation is being done everywhere now in a variety of ways. However, if the use of formal evaluations is likely to figure in the thinking of an increasing number of chief executives in the years ahead, it is important how these evaluations shall be performed. Even evaluations which would be classified as informal can profit from the experiences of other institutions.

CHAPTER V
SUMMARY, FINDINGS, CONCLUSIONS
AND RECOMMENDATIONS

Summary

As is the case with many other segments of public enterprise, higher education in recent years has had to concern itself with an increasing demand for accountability. Because institutions of higher education have become more and more complex and multifaceted, the demand for information on the efficiency of their processes and effectiveness of their products has increased.¹⁸¹

The review of the literature revealed that several societal developments have served to undermine public confidence in the institutions of higher learning, and to generate demands for more accountability from these institutions. A "steady state" caused by slower growth in enrollments and tighter college budgets have put many institutions at or near prescribed limits in the percentage of faculty on tenure, and these institutions are now often forced to make distinctions between staff members.

During the late 1960s and early 1970s, colleges and universities faced the frustrating inability to deal with and to understand student

¹⁸¹Charles H. Farmer, Administrative Evaluation: Concepts, Methods, Cases in Higher Education (Richmond: Higher Education Leaderships and Management Society, 1979), p. 3.

unrest. In the current decade, there has been a decreasing emphasis on the need and value of a college education. These societal changes and others have served to heighten the desire of many groups for accountability. This call for accountability has led to a growing interest in more structured evaluation of faculty and, more recently, administrators.

A review of the literature revealed that research and practice in administrator evaluation are not extensive, when compared to faculty evaluation. Much of this limited body of literature is descriptive, narrative, or instructive in nature. Very little has been published on new approaches, although Lahti¹⁸² and Miller¹⁸³ wrote studies on evaluation procedures, institutional and individual effectiveness, and critical descriptions of contemporary programs. Genova published a guide for developing programs of faculty and administrator evaluation in colleges and universities.¹⁸⁴

A study to determine the attitudes of administrators in higher education about evaluation and to survey the extent of the use of formal evaluation procedures in higher education appeared to be in order.

The purpose of this study was to determine both the proposed and the actual implementation of formal evaluative practices in the

¹⁸²Robert E. Lahti, Managerial Performance and Appraisal (Palatine, Ill.: William Rainey Harper College, 1977).

¹⁸³Richard I. Miller, Developing Programs for Faculty Evaluation (San Francisco: Jossey-Bass, 1974).

¹⁸⁴William J. Genova et al., Mutual Benefit Evaluation of Faculty and Administrators in Higher Education (Cambridge, Massachusetts: Ballinger, 1976).

four-year colleges and universities of North Carolina. Further, the purpose was to determine the extent of understanding of evaluation of administrative performance in higher education by college and university chief executives. Finally, this study proposed to determine if any trends were developing in the area of evaluation of administrative performance in higher education in North Carolina.

This was a descriptive study designed to describe systematically the characteristics of a particular population in a defined area of interest. The analysis of the data used the frequency of responses to suggest certain tendencies and correlations to suggest possible associations.

The population consisted of the 47 four-year colleges and universities of North Carolina and only the chief executives of the institutions were surveyed. An instrument was designed to obtain data on the administrator evaluation practices of the institutions. This instrument was considered sufficient to obtain the desired data. However, there was no attempt to test any person's actual knowledge, or to evaluate any particular institution, or to criticize any ongoing practice.

After the data were collected, they were systematically examined, classified, evaluated and tabulated. The data were then analyzed to determine their relation and relevance to the problem under study. The data were reported in Chapter 4 of this document.

In recent years, performance evaluation has received direct attention at the higher education level. A field study on the

evaluation of college and university presidents was conducted by the Association of Governing Boards of Universities and Colleges, the only national organization devoted to improvement of governing-board performance for all types of institutions. Procedures and guidelines developed during the project will be distributed to governing boards throughout the nation. Many administrators feel that administrators should be at work devising systematic ways to evaluate their own performances as well as those of persons to whom they have delegated authority, rather than waiting for the public or the legislatures to demand action. It has become apparent in higher education that the demand for accountability will increase to include administration as well as faculty and curriculum. The quality of response by higher education to this public demand may have a significant influence on the future of both public and private higher education. However, the traditional reluctance or indifference to personal evaluation will continue.¹⁸⁵

The term accountability as applied to education seems to imply a determination of the effects of educational programs and institutions and the relationship between outcomes and resource utilization. Many educators believe that performance evaluation, as one aspect of accountability, can focus on quality of performance and thereby satisfy the need to measure how successful an administrator has been.

Systematic employee appraisal techniques have been in use in this nation since the World War I period, the earliest plans having been

¹⁸⁵James L. Hayes, "Blame Me, Not the System," American School and University 47 (July 1975):8.

employed by the military and in government. Industrial use of performance appraisal was stepped up in the 1920s and 1930s.

Summary of Findings

Based on data collected, the major findings of the study are as follows:

1. Fifty-nine percent of all the respondents indicated there was no formalized evaluation process in effect for their administrators. Those institutions included 60 percent of the private institutions and 64 percent of the public institutions responding to the study
2. Sixty-one percent of small institutions, 60 percent of medium institutions and 50 percent of large institutions had no formal evaluation plan
3. About one-third of the respondents were evaluating academic deans, department heads and chief executives. An average of 85 percent of responding institutions were not evaluating other administrators
4. Respondents from public and private institutions were in agreement that performance evaluation is a useful response to accountability
5. Only 50 percent of responding institutions with a formal plan evaluate the chief executive
6. Less than half of the responding chief executives without a formal plan, had a formal plan under discussion
7. Twenty-five percent of the responding chief executives without a formal plan, said they would have one within three years
8. Seventy-five percent of the public institutions had no formal evaluation process while only 57 percent of the private institutions had no formal process
9. Fifty percent of the doctoral-granting institutions, 60 percent of the comprehensive institutions, and 60 percent of the baccalaureate institutions had no formal plan
10. Use of the results of the evaluation to provide feedback on their subordinates' performance was rated at a level of

high importance by the respondents. A similar study by O'Mahoney reported that use of the results of the evaluation for salary and promotional purposes was rated a level of high importance¹⁸⁶

11. Most of the responding institutions with formal evaluation procedures used rating systems
12. Sixty-five percent of respondents without a formal evaluation process in effect had no evaluation plan under discussion
13. Fifty percent of the responding institutions with formal evaluation procedures were church-related institutions
14. Boards of trustees or similar governing bodies exhibited only limited response in discussing the use of formal evaluation procedures
15. Chief executives of colleges and universities without formal programs generally lacked information about formal evaluation procedures in use by other institutions
16. Seventy-five percent of respondents without formal evaluation procedures, had no plans to institute formal procedures within the next five years

Conclusions

As in the world of business, management and administration of institutions of higher education can influence the quality of those institutions in a very marked way. This influence, not to the exclusion of the influence of students, faculty members, alumni and trustees, is very important in the acquisition of resources and in the setting of general lines of policy. Van de Visse pointed out that administrators influence the institutional policies, the nature of the student body, the quality of the faculty, and the amount and allocation of resources.¹⁸⁷

¹⁸⁶O'Mahoney, "The Practice of Evaluating," p. 3.

¹⁸⁷Van de Visse, "The Evaluation of Administrative," p. 122.

Therefore, the critical role of administration in institutional success makes "some systematic evaluation desirable, and probably instrumental, in administrative improvement."¹⁸⁸

This point was generally accepted, but the literature and this study showed a reluctance to do much about it. Now emphasis has come from another source. Nason emphasized the increasing concern about accountability in higher education and the increased recognition of the need for evaluation of administrative performance. He stated:

The new demands on college and university presidents, the increased concern and involvement on the part of regents and trustees, the changing nature of postsecondary education have drawn attention to questions of performance and accountability. Governing boards are more conscious of their responsibility to make certain that the institutions under their control are being well managed.¹⁸⁹

Based on findings from this study the following conclusions were formulated:

1. Since there were only limited discussions about formal evaluation by governing boards, and since few chief executives without a formal plan said they had a plan to propose, there is unlikely to be a significant increase in the use of formal evaluation procedures in the next five years. O'Mahoney in a study of institutions in four Northwestern states reported that the majority of colleges not having an evaluation process did not seem committed to initiating one¹⁹⁰
2. Percentage comparisons between types of institutions, size and control, indicated that only size seemed to be a determinant in the use of formal evaluation procedures. The data indicated that use of formal evaluation devices is more widely practiced among institutions with enrollments of 5,000 or more, than among the smaller institutions. In this regard, Locher and Teel pointed out that a small individual entrepreneur can undoubtedly get by with a completely informal system. As

¹⁸⁸Richard I. Miller, Developing Programs, p. 77.

¹⁸⁹Nason, Presidential Assessment, p. 6.

¹⁹⁰O'Mahoney, "A Study of Practices," p. 3.

organizations grow, however, they need more formal systems to insure comparability of data from their many departments¹⁹¹

3. Since chief administrators generally consider their formal evaluation plans to be somewhat effective, and since these plans generally call for the use of a graphic rating scale, there is unlikely to be a significant increase in the use of results-oriented evaluation approaches in the very near future. The results of this study tend to support the findings of several other studies. Locher emphasized that the graphic rating scale, despite its well known limitations, is still by far the most widely used appraisal technique. Management by Objectives, despite its widespread publicity, is not widely used. The difficulties encountered in identifying and agreeing upon measurable behavioral objectives still stand in the way of widespread implementation of MBO¹⁹²
4. The data indicated that chief executives will have to become more knowledgeable about formal evaluation procedures, and will have to initiate more discussions about evaluation with their respective governing boards, if the use of formal administrator evaluation is to increase in higher education. Genova supported the notion that formal evaluation must have the backing of the chief executive and his immediate staff, and they must be willing to be evaluated first in order to make the process of administrator evaluation acceptable¹⁹³
5. As stated previously, of the 34 responding chief executives, 96 percent reported that they were willing to have their performance evaluated by formal procedures. Only 41 percent of the responding chief executives without a formal evaluation program reported that such a program was under discussion at their institution. The data indicated that the need for formal administrator evaluation has been generally accepted, but there is still a reluctance by many chief executives to do much about it
6. Since only four of the 34 responding institutions indicated that their trustees had acted on a motion related to a discussion of formal administrator evaluation, it appears that governing boards of colleges and universities of North Carolina

¹⁹¹Alan H. Locher and Kenneth S. Teel, "Performance Appraisal: A Survey of Current Practices," Personnel Journal 6 (May 1977):245.

¹⁹²Ibid., p. 247.

¹⁹³Genova, et al., Mutual Benefit, p. 134.

have little interest in administrator evaluation. The results of this study supported the findings of Van de Visse, who reported that 11 percent of the responding institutions had acted on a motion¹⁹⁴

Recommendations

According to the literature, the past fifteen years have seen heightened interest in more formal procedures for evaluating administrators. This increased demand for more accountability has generated more interest in programs to improve administrative performance.

A number of considerations seemed important to the process of performance evaluation. Among these were the need for an individually tailored evaluation plan, being careful not to adopt a program simply because it is a fad, undertaking changes in the evaluation program with only modest expectations, and answering questions about the goals of the institution and how the achievement of the goals will be measured before evaluation is considered.¹⁹⁵

This study suggested that there is a need for more understanding of the emerging concepts of performance evaluation. It appeared that there were few specific models and standards for evaluation, and that even these had not been explored and tested.

According to the literature, the aspects of administrator evaluation which contribute to its success are general climate of acceptance of the goals and procedures of administrator evaluation,

¹⁹⁴Van de Visse, "The Evaluation of Administrative," pp. 101-102.

¹⁹⁵Robert C. Nordvall, Evaluation and Development, pp. 48-50.

visibility of goals and procedures of administrator evaluation and a capacity to overcome resistance. Successful evaluation must also take into consideration grievance procedures, legal factors, affirmative action, stages of development and maintenance renewal.¹⁹⁶

The findings and conclusions of this study gave rise to the following suggestions:

1. More information on the existing programs needs to be made available to the profession
2. New ideas and approaches to evaluation need to be encouraged and developed
3. Evaluation of administrators should be made by people in a position to evaluate them
4. Administrators should have direct inputs to their evaluation, and should receive reports of the results
5. The objectionable aspects of personal appraisal should be identified and disposition of the results should be clearly indicated
6. The support of all participants concerned with a proposed evaluation program should be secured and the plan should be subjected to a pilot study prior to final adoption

Recommendations for Further Study

1. Studies should be designed to allow respondents of institutions without formal evaluation programs to more nearly express their personal opinions and attitudes about such programs
2. This study was limited to the four-year colleges and universities of the state. Using the foundations of this research design, a comprehensive study should be conducted to include the state's 57 community colleges and technical institutes. In the performance of this study the

¹⁹⁶William J. Genova, et al., Mutual Benefit Evaluation, p. 146.

investigator found that more value could be placed on the findings of this effort if the study group had been both larger and more representative of all colleges and universities. Difficulty was encountered in making comprehensive comparisons between groups of institutions varying in size, type, and control due to the limited number of responses

3. The literature and this study indicated that the chief executives of institutions of higher learning must demonstrate their commitment to the use of formal performance evaluation procedures before these measures can be instituted or accepted at their institutions. Since support for formalized evaluation might be related to knowledge about it, a study should be designed to analyze the relationship between the chief executive's concept of performance evaluation and his willingness to support or recommend some type of implementation
4. A study similar to this should be designed to analyze the attitudes of non-chief executives toward the use of formal evaluation procedures, since support of this concept is necessary at all levels
5. Respondents of this study reported the use of a variety of methods of non-formal evaluation procedures for college and university administrators. A study should be designed to determine the nature of these evaluation procedures
6. Some respondents of institutions without formal evaluation procedures expressed a reluctance to be evaluated by certain constituents. A study should be designed to gather data on who participates in administrator evaluation

A review of the literature indicated that there is growing interest in formal evaluation of administrators in higher education. Even though these are still not widely used in institutions of higher learning, the results of this study suggested that there is a genuine concern for evaluation and that the practice is growing.

The findings of this study suggested that there must be adequate planning time as well as administrator and faculty involvement in developing an administrator evaluation program to fit each campus.

Strategies must be considered which will reduce anxiety and allow administrators to be thoughtful rather than defensive.

Even though interest in more formalized evaluation of administrative performance in higher education is intensifying, this study showed that there is a genuine need to have a framework of desirable characteristics of an evaluation program before it will be accepted by those administrators to be evaluated. The study also revealed that there is apprehension by a number of administrators as to which constituents are most qualified to render a performance evaluation on them. And lastly, respondents from small and large institutions expressed a high degree of satisfaction with informal evaluation procedures which are in operation at those institutions.

It will be up to administrators to begin thinking seriously about evaluation and to develop humane and workable procedures for this process. If administrators do not take the lead in implementing evaluation, requests for evaluation may be imposed on them by outside forces and constituencies. Much work remains to be done in this important area of the development of human resources. Fisher summed up the importance of this task:

Any institution that has an ongoing program of staff evaluation and development is demonstrating that it cares about people and is taking the initiative in monitoring and improving its own standards of performance, and the results in terms of performance are likely to be well worth this investment of resources.¹⁹⁷

¹⁹⁷Charles F. Fisher, "Concluding Notes and Further Readings," in Developing and Evaluating Administrative Leadership, ed. Charles F. Fisher (San Francisco: Jossey-Bass, Inc., 1978), p. 116.

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APPENDIXES

APPENDIX A
ACCOMPANYING LETTER

APPENDIX B
PRINTED QUESTIONNAIRE

ADMINISTRATOR EVALUATION:
A CONFIDENTIAL SURVEY AMONG CHIEF EXECUTIVES

Information Request _____

NOTE: For the purpose of this study, we shall define a formalized, systematic evaluation program to include the following:

It would include an evaluation instrument.
It would describe how the evaluation would be made.
It would indicate who would do the evaluating and the time schedule for the evaluation process.
It would describe how the results of the evaluation are used.

Please answer all of the following questions to the best of your knowledge; do not skip questions because you are unable to provide precise information.

PART I - GENERAL INFORMATION

1. Type of institution (check one, the highest category which applies.)

- 1. Doctoral-granting university
- 2. Comprehensive college or university
- 3. General baccalaureate college

2. Type of Control (check one)

- 1. Public
- 2. Private Independent
- 3. Private Church Related

3. Enrollment

- _____ 1. Less than 1,000
 _____ 2. 1,000 - 2,499
 _____ 3. 2,500 - 4,999
 _____ 4. 5,000 - 9,999
 _____ 5. 10,000 or more

4. How many years have you held the position of chief administrator at this institution (with the same or similar functions even if the title has changed)? _____ 4
 Years Months
5. How many years have you worked at this institution, in this and all other positions? _____ 5

PART II

1. Has the board of trustees (or similar governing body) of your institution discussed in your presence the subject of evaluation of administrative performance at any time during the past twelve months? Yes ___ No ___

If yes, check the following which apply:

2. Informally (e.g., before or after a meeting)? Yes ___ No ___
3. Formally (during a meeting)? Yes ___ No ___
4. Of all administrative personnel? Yes ___ No ___
5. Of any particular administrative personnel? Yes ___ No ___
6. Has the governing board of your institution proposed any motions for action on the subject of evaluation of administrative performance at any time during the past twelve months? Yes ___ No ___

- If yes:
7. How many were passed? _____ 7
8. How many were defeated? _____ 8
9. How many were tabled? _____ 9

Would you be willing to have your performance evaluated:

10. By means of a formal procedure?
 Yes ___ No ___
11. By the chairman of the governing board of your institution?
 Yes ___ No ___

category by checking a box, circling a number or letter, or placing a mark along a continuum line.

Essay: usually open-ended questions generally regarding the administrator's good and bad points plus training needs and potential.

Checklist: a list of statements describing administrator behavior. The rater checks only those statements which accurately describe the performance of the employee being rated.

Results-oriented (MBO): the appraisal of results achieved as compared with quantifiable and measurable performance goals or standards established in advance. The goals may be set by the employer, administrator, or both.

3. Indicate the approach(s) used by your institution for administrator evaluation.

_____ Rating Scale
 _____ Essay or Narration
 _____ Checklist
 _____ Results-oriented (MBO)
 _____ Other (Specify) _____

4. Describe the basic function(s) of your evaluation procedures. If more than one is checked, indicate a "p" for primary, an "s" for secondary.

_____ To provide feedback to each person on his or her performance

_____ To serve as a basis for modifying or changing behavior toward more effective working habits

_____ To provide data to managers with which they may judge future job assignments and compensation

_____ To establish goals and objectives

_____ Other (Specify) _____

5. In your opinion, is this evaluation procedure a useful response to the demand for accountability?

Yes ___ No ___

6. Do sub-units of your institution have their own plans?

Yes ___ No ___

- a. If yes, please list sub-units with formal evaluation programs.

7. Does your institution use a formalized systematic evaluation for evaluating the performance of your faculty?

Yes ___ No ___

8. How effective is your procedure? (Check one)

_____ Very effective
 _____ Somewhat effective
 _____ Of little effect
 _____ Ineffective

9. Will you please send us a copy of the formalized evaluation materials used by your institution for evaluating administrators?

Yes ___ No ___

PART IV

1. Does your institution attempt to evaluate the administrators by an informal process?

Yes ___ No ___

Comments _____

2. Is there any formal procedure for evaluation of administrative performance under discussion?

Yes ___ No ___

3. Do you have a procedure you intend to propose?

Yes ___ No ___

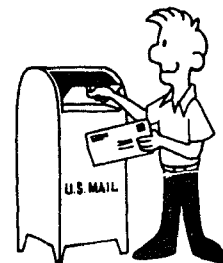
4. By what future date do you anticipate that your institution will implement a formalized evaluation program for the administrator? _____
5. In your opinion, would an evaluation procedure be a useful response to a demand for accountability?
 Yes ___ No ___
6. Are you familiar with the following existing programs of administrative performance?
- | | | |
|---|---------|--------|
| 1. William Rainey Harper College - MBO? | Yes ___ | No ___ |
| 2. State University of New York - College President's Five Year Review? | Yes ___ | No ___ |
| 3. "Minnesota Plan"? | Yes ___ | No ___ |
| 4. University of Tennessee Plan? | Yes ___ | No ___ |

Thank you very much. If you wish to receive a copy of the summary of the completed study, please check here: _____

Return this questionnaire to: Richard E. Moore
 2514 Dunnhill Drive
 Greensboro, North Carolina 27405
 919-375-5580

APPENDIX C
FOLLOW-UP LETTER

2514 Dunnhill Drive
Greensboro, North Carolina 27411
November 26, 1979



Yes, even though the response to the questionnaire on administrator evaluation has been most gratifying, I still need your completed form. I have requested information from every chief executive of a North Carolina college or university. I would greatly appreciate your reply so that your institutional data is represented in my analysis.

In order to have a valid representation in this state-wide study, a return of 80 percent is needed. Won't you help me reach this goal?

You can do so by completing the enclosed questionnaire and returning it in the postage-paid envelope.

You can complete your questionnaire in such a very short time. May we hear from you immediately?

Sincerely,

Richard E. Moore
Doctoral Candidate
University of North Carolina at
Greensboro

Enclosures:

1. Questionnaire
2. Postage-paid envelope

APPENDIX D
LIST OF INSTITUTIONS USED
IN THE SAMPLE

TABLE 13
INSTITUTIONS USED IN THE SAMPLE

Name of the Institution	Type of Control	Level of Degree Offered	Enrollment Category	Institution Respondency
Appalachian State University	Public	M. A.	5,000-9,999	X
Atlantic Christian College	Church	B. A.	1,000-2,499	X
Barber-Scotia College	Church	B. A.	Less than 1,000	
Belmont Abbey College	Church	B. A.	Less than 1,000	X
Bennett College	Church	B. A.	Less than 1,000	X
Campbell College	Church	M. A.	1,000-2,499	X
Catawba College	Church	B. A.	Less than 1,000	
Davidson College	Church	B. A.	1,000-2,499	X
Duke University	Church	Ph. D.	5,000-9,999	X
East Carolina University	Public	M. A.	10,000 or more	
Elizabeth City State University	Public	B. A.	1,000-2,499	

TABLE 13--Continued

Name of the Institution	Type of Control	Level of Degree Offered	Enrollment Category	Institution Respongency
Elon College	Church	B. A.	1,000-2,499	X
Fayetteville State University	Public	B. A.	1,000-2,499	
Gardner Webb College	Church	B. A.	1,000-2,499	X
Greensboro College	Church	B. A.	Less than 1,000	
Guilford College	Church	B. A.	1,000-2,499	X
High Point College	Church	B. A.	1,000-2,499	X
Johnson C. Smith University	Church	B. A.	1,000-2,499	X
Lenoir-Rhyne College	Church	B. A.	1,000-2,499	X
Livingston College	Church	B. A.	Less than 1,000	X
Mars Hill College	Church	B. A.	1,000-2,499	X
Meredith College	Church	B. A.	1,000-2,499	X
Methodist College	Church	B. A.	Less than 1,000	X
North Carolina A&T State University	Public	M. A.	5,000-9,999	X

TABLE 13--Continued

Name of the Institution	Type of Control	Level of Degree Offered	Enrollment Category	Institution Respondency
North Carolina Central University	Public	M. A.	2,500-4,999	X
North Carolina School of the Arts	Public	B. A.	Less than 1,000	X
North Carolina State University	Public	Ph. D.	10,000 or more	
North Carolina Wesleyan College	Church	B. A.	Less than, 1000	X
Pembroke State University	Public	B. A.	1,000-2,499	
Pfeiffer College	Church	B. A.	Less than 1,000	X
Queens College	Church	B. A.	Less than 1,000	
Sacred Heart College	Church	B. A.	Less than 1,000	X
St. Andrews College	Church	B. A.	Less than 1,000	
St. Augustine's College	Church	B. A.	1,000-2,499	X
Salem College	Church	B. A.	Less than 1,000	X
Shaw University	Church	B. A.	1,000-2,499	

TABLE 13--Continued

Name of the Institution	Type of Control	Level of Degree Offered	Enrollment Category	Institution Respondency
Southeastern Baptist Theological Seminary	Church	Ph. D.	1,000-2,499	X
The University of North Carolina at Asheville	Public	B. A.	1,000-2,499	X
The University of North Carolina at Chapel Hill	Public	Ph. D.	10,000 or more	
The University of North Carolina at Charlotte	Public	M. A.	5,000-9,999	X
The University of North Carolina at Greensboro	Public	Ph. D.	5,000-9,999	X
The University of North Carolina at Wilmington	Public	M. A.	2,500-4,999	X
Wake Forest University	Church	Ph. D.	2,500-4,999	X
Warren Wilson College	Church	B. A.	Less than 1,000	X
Western Carolina University	Public	M. A.	5,000-9,999	X

TABLE 13--Continued

Name of the Institution	Type of Control	Level of Degree Offered	Enrollment Category	Institution Respondency
Wingate College	Church	M. A.	1,000-2,499	X
Winston-Salem State University	Public	B. A.	1,000-2,499	X

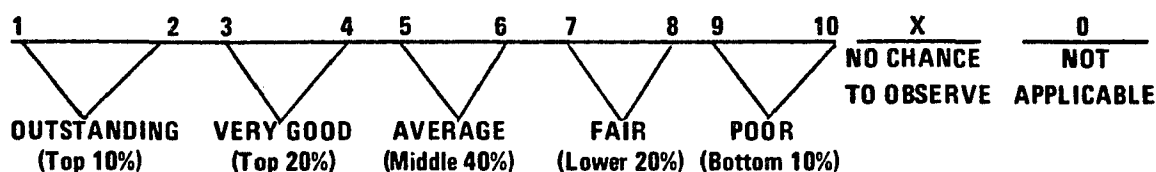
APPENDIX E
ADMINISTRATIVE RATING SCALE

ADMINISTRATIVE RATING SCALE

by L. James Harvey, Ph.D.

Administrator
Being Rated _____

Please rate the administrator named above on the characteristics below. Place the appropriate number (from 1 to 10, or X or 0) of your rating on the line preceding the characteristic.



CHARACTERISTICS

- _____ 1. **Institutional Mission.** Knowledge of the mission, goals and objectives of the college and willingness to weigh decisions in light of the total institutional good.
- _____ 2. **Specific Knowledge.** Technical knowledge and skill for the area of specific responsibility assigned. Is the person competent, experienced, well informed, and keeping abreast of developments in his/her area?
- _____ 3. **Emotional Stability.** Does the person maintain an emotional balance, keeping his/her "cool" in difficult circumstances? Is he/she able to keep emotions from unduly affecting decisions? Is he/she emotionally healthy?
- _____ 4. **Human Relationships.** Does the person use tact and diplomacy in human relationships? Is he/she able to handle disagreements with finesse? Does he/she deal with others in a spirit of love and sincere concern? (Is he/she basically self-centered and seeking to further personal goals at the expense of others, or is he/she honestly concerned with those with whom he/she works?)
- _____ 5. **Democratic Processes.** Knowledge and skill in using democratic processes when appropriate. Does the person recognize and accept rights of others to participate in making decisions? Does he/she accept their judgments although different from his/hers? Is he/she convinced of the value of the "collective mind" vs. one man's opinion?

- _____ 6. **Personal Integrity.** Does the person deal with others with honesty and openness? Is he/she truthful? Can he/she be trusted?
- _____ 7. **Work Level.** Ability and willingness to dig in and work hard, to put in extra hours if needed, willingness to do difficult tasks, to do extra work, to take work home or come back to office on "off-hours." Thinks of work to be done and does it rather than "watches the clock."
- _____ 8. **Organization.** Ability to organize area of responsibility and tasks so that work is done with a maximum of efficiency. Ability to expedite work and accomplish objectives effectively through good organizational procedures and structure.
- _____ 9. **Creativeness.** Ability to perceive and use new or creative approaches in work, and willingness to try new ideas and concepts. Is the person flexible? Committed to change?
- _____ 10. **Problem Solving.** Ability to use good problem solving technique. Is the person logical? Does he/she study all alternatives, collect facts thoroughly and study results of previous decisions? Does he/she use scientific methods in solving problems?
- _____ 11. **Morale Maintenance.** Does the administrator work effectively to maintain a high morale among subordinates and between himself/herself, his/her staff, and others within the institution? Does he/she help avoid personality conflicts, backbiting, criticism of others on staff or in college? Is there a feeling of friendliness, sense of teamwork, feeling of importance in total picture of institutional effort?
- _____ 12. **Personal Appearance.** Does the person maintain high standards of personal appearance? Does he/she dress well and appear well groomed? Are his/her clothes stylish and in good taste? Is his/her appearance in keeping with contemporary community standards for a professional person?
- _____ 13. **Objectivity.** Is the person able to keep emotion from distorting his/her perspective? Can he/she look at problems with clarity, logic, and coolness and make decisions on basis of facts?
- _____ 14. **Administrative Protocol.** Awareness of the administrative structure and willingness to work within it. Does the person respect lines of authority and staff relationships? Are decisions made appropriately and communicated to appropriate offices?

- _____ 15. **Foresight.** Ability to look ahead and plan well in advance. Ability to avoid problems by anticipating them and planning solutions ahead of time. Does the person look ahead, plan adequately, and avoid procrastination in the decision-making process?

- _____ 16. **Organization Commitment.** Is the person an organization man? Is he/she willing to subvert self interests for the good of the organization? Does he/she avoid using other administrators or the board as "whipping boys" and accept responsibility for tough decisions? (Is he/she willing to accept a "collective conformity" to present a strong administrative posture even when disagreeing with the position the majority has chosen?)

- _____ 17. **Communication.** Ability of the person to communicate clearly in written and spoken form. Is he/she clear and concise in statements? Does he/she seek to develop full understanding? Is he/she aware of feedback, sensitive to lack of understanding, and does he/she seek to clear this up when it occurs?

- _____ 18. **General Administrative Achievements.** What is your general rating of how this person has achieved as an administrator in his/her area during the past year? Rate him/her in comparison with other administrators at the college.

APPENDIX F
ADMINISTRATOR EVALUATION SURVEY

ADMINISTRATOR EVALUATION SURVEY

Survey Instrument and Optional Item Catalog

Office of Planning and Evaluation

and

Office of Instructional Resources

University of Illinois: Urbana-Champaign

Urbana, Illinois 61801

September 15, 1979

ADMINISTRATOR EVALUATION SURVEY

Core Items

Office of Planning and Evaluation

and

Office of Instructional Resources

University of Illinois: Urbana-Champaign

Urbana, Illinois 61801

September 15, 1979

ADMINISTRATOR EVALUATION SURVEY: FACULTY FORM**Optional Item Catalog**

Office of Planning and Evaluation

and

Office of Instructional Resources

University of Illinois: Urbana-Champaign

Urbana, Illinois 61801

PREFACE

The purpose of this booklet is to provide you with a catalog of items for assessing department head/chairperson performance. As designed, the core set of items includes 11 scaled items (see Section I). The scaled items were selected to gather information on common aspects of the administrator's performance. The items are not exhaustive and do not necessarily represent all the important and unique aspects of performance. Consequently, academic units are encouraged to add items to the core items. An Optional Item Catalog has been prepared to help in developing these items (see Section II).

The catalog contains approximately 300 items which are classified by item content. The items were written with no particular writing style or response scale in mind. Most, however, would be applicable to the "strongly agree" to "strongly disagree," "excellent" to "poor," or "often" to "seldom" response scales. In choosing items for your department, please feel free to use any response scale and to edit the catalog items to make them appropriate for your specific use.

If you need more information on this survey instrument, please contact the Office of Instructional Resources (333-3490) or the Office of Planning and Evaluation (333-2353).

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A-1 RECRUITMENT

1. The head/chairperson takes the lead in recruitment of quality faculty.
2. I am satisfied with the degree of faculty involvement in the selection of new faculty.
3. The head/chairperson should provide more leadership in faculty recruiting.
4. The head/chairperson's ability to justify departmental personnel needs.

A-2 PROMOTION/TENURE/SALARY

1. How often does the head/chairperson consult with appropriate faculty (division heads/chairpersons) on salary and promotion decisions?
2. The head's/chairperson's has too narrow a view of scholarly achievement.
3. The influence of assistant head is too influential in promotion and tenure decisions.
4. The head/chairperson is effective in communicating the criteria and standards for promotion and tenure.
5. The head/chairperson actively supports promotion recommendations made by the department.
6. The head/chairperson encourages eligible and competent faculty to apply for promotion.
7. How fair is the head/chairperson in evaluating faculty performance?
8. Merit is sufficiently recognized in salary decisions made by the head/chairperson.
9. The head/chairperson recognizes and rewards faculty in accordance with their contributions to department's programs.
10. The head/chairperson promoted the implementation of personnel and program evaluations of the unit.
11. The head/chairperson applies the same standard of quality for all faculty in the department.
12. How thorough is the head/chairperson in evaluating faculty.
13. The head is a good negotiator in promotion and tenure decisions.
14. The head/chairperson is willing to make difficult personnel decisions when necessary.

A-3 FACULTY DEVELOPMENT

1. The head/chairperson provides adequate guidance to junior faculty.
2. How effective is the head/chairperson in faculty development.
3. How effective is the head/chairperson in creating an atmosphere of freedom for faculty to develop special interests and talents.
4. How helpful is the head/chairperson in assisting faculty to obtain outside grants.
5. The head/chairperson is seriously committed to assisting the scholarly and professional growth of the faculty.
6. The head/chairperson is effective in consulting with departmental faculty about their opportunities for growth.
7. The head/chairperson is too narrow in his/her definition of excellence.
8. The head/chairperson encourages and promotes excellence of all the departmental faculty.
9. The head/chairperson is actively concerned with helping the junior faculty.
10. The head/chairperson takes into account the personal welfare of individual faculty members.
11. The head/chairperson makes allowance for personal or situational problems in his/her expectations of faculty.
12. The head/chairperson promotes an atmosphere of academic freedom in research and teaching.
13. The head/chairperson is keenly interested in maintaining high academic standards.
14. The head/chairperson shows a personal interest in all members of the department.
15. The head/chairperson deals well with the personal feelings and problems of individual faculty.
16. The head/chairperson takes an interest in the quality of my contributions as a member of this department.
17. The head/chairperson is a leader who can mold a body of teachers/scholars into an effective working unit.
18. The head/chairperson fosters development of each faculty member's special talents or interests.
19. The head/chairperson lets faculty members know what's expected of them.
20. The head/chairperson provides positive incentives for excellence in achievement.
21. The head/chairperson supports faculty participation in professional development and activities.

B. Curriculum and Instruction

1. The head/chairperson is indecisive in making teaching and committee assignments.
2. The head/chairperson is effective in anticipating future curricular needs.
3. The head/chairperson is effective in keeping the teaching load evenly distributed among the staff.
4. The head/chairperson encourages an appropriate balance among academic specializations within the department.
5. The head/chairperson encourages the evaluation of instructional programs and curricula.
6. The head/chairperson gives sufficient attention to departmental goals and objectives for curriculum and instruction.
7. The head/chairperson encourages the use of media for instructional purposes.
8. The head/chairperson encourages innovation and experimentation with instructional methods.
9. The head/chairperson encourages faculty to make use of campus instructional resources (e.g., examination services, campus teaching programs).

C-1. EXTERNAL RELATIONS

1. The head/chairperson is assertive in communicating department needs to higher administration.
2. The actions of the head/chairperson seem to be strongly influenced by the dean's office.
3. The head/chairperson is reluctant to promote the department and the accomplishments of the faculty.
4. The head/chairperson is a strong spokesperson for the needs of the department.
5. The head/chairperson communicates expectations of the campus administration to the faculty.
6. The head/chairperson is influential in the formation of external policies affecting the department.
7. The head/chairperson is a good representative of our department on committees.
8. The head/chairperson is more concerned about looking good than being good.
9. The head/chairperson advances the welfare of the department when working with others within the college.
10. The head/chairperson is able to interpret university policy to his colleagues in the department.
11. The head/chairperson has high credibility outside the department.

C-2. DISCIPLINE

1. The head/chairperson is concerned with the disciplinary reputation of our department.
2. The head/chairperson is a good representative of the department at professional meetings.
3. The head/chairperson has an interest and concern for helping faculty who wish to become involved in national professional organizations.
4. The head/chairperson has the intellectual and scholarly respect of his peers within his discipline.

C-3. PUBLIC AND PRIVATE AGENCIES

1. The head/chairperson informs the faculty of funding opportunities for our research.
2. The head/chairperson "opens up doors" for the faculty in obtaining funds.
3. The head/chairperson has an influence in the formation of state and national policies which affect our departmental research and service support.
4. The head/chairperson is viewed as a respected professional within political circles.
5. The head/chairperson actively participates in prestigious seminars, workshops, task forces, etc.

D. PERSONNEL/ADMINISTRATION

1. The head/chairperson seems too busy on other things to administer effectively.
2. The head/chairperson leaves too much business and financial matters to the chief administrative assistant.
3. The head/chairperson is prompt in handling routine matters.
4. The head/chairperson protects faculty from routine administrative matters.
5. The assistant heads/chairpersons are given appropriate responsibility in personnel matters.
6. The head/chairperson needs to delegate more authority.
7. The head/chairperson follows through on administrative details.
8. The head/chairperson arranges effective and equitable allocation of faculty responsibilities.
9. The head/chairperson delegates authority and responsibility to departmental personnel for completion of tasks.
10. The head/chairperson demonstrates flexibility in administering the department.
11. The head/chairperson has a clearly defined philosophy of administration.
12. The head/chairperson is out of town too often.
13. The head/chairperson is effective in calculating space utilization needs.
14. The head/chairperson is effective in supervising departmental office operations.
15. The head/chairperson is effective in utilizing committees relative to the accomplishment of departmental functions.

E. FINANCIAL MANAGEMENT

1. The head/chairperson allocates funds to the faculty in a fair and judicious manner.
2. The head/chairperson is effective in bargaining with administrators about budgetary matters.
3. The head/chairperson seeks advice from the faculty on the distribution of departmental funds.
4. The head/chairperson informs the faculty of the availability of discretionary funds.
5. We are aware of the financial constraints placed on us by the college administration.
6. The head/chairperson is effective in preparing and explaining departmental budget requests.
7. The head/chairperson is effective in phasing out unnecessary or wasteful programs, support services.
8. The head/chairperson is effective in providing faculty travel and research funds.
9. The head/chairperson is effective in securing research time and facilities for faculty members.
10. The head/chairperson is effective in acquiring funds for faculty research.

F. STUDENTS

1. The head/chairperson is interested in the quality of education students in this department receive.
2. The head/chairperson provides the leadership for the recruitment of outstanding students.
3. The head/chairperson has enhanced the quality of curricular and career advising of students.
4. The head/chairperson is responsive to student grievances and complaints.
5. The head/chairperson encourages student membership on departmental committees.
6. The head/chairperson has promoted/established clear admissions criteria and standards.

G. GOVERNANCE

1. How often does the head/chairperson involve faculty on important matters?
2. The head/chairperson delegates appropriate responsibility to the faculty.
3. The head/chairperson needs to take a more active role in departmental affairs.
4. The head/chairperson promotes informed discussion in making departmental policy decisions.
5. The head/chairperson solicits faculty input and participation in a systematic way.
6. How effectively does the head/chairperson utilize the advisory (executive) committee in planning and development?
7. Staff meetings should be held more often.
8. The head/chairperson makes important committee assignments too hastily.
9. The decision-making in this department is too centralized.
10. The head/chairperson is receptive to advice and criticism from the faculty.
11. The department is poorly organized internally.
12. The head/chairperson informs faculty on how important decisions are made.

H. GOALS

1. The head/chairperson seems to lack any long range plans or goals for the department.
2. The head/chairperson is assertive in implementing or initiating improvements in department programs and operations.
3. The head/chairperson is able to place proper emphasis on the major policy matters in the department.
4. The head/chairperson's decisions are for short run solutions rather than long range plans.
5. The head/chairperson is effective in providing direction to the department.
6. The head/chairperson avoids controversial issues regarding the future of our department.
7. The head/chairperson maintains good balance among several major missions of the department.
8. The head/chairperson is able to analyze the department in terms of its growing or waning strength and its anticipated needs.
9. The head/chairperson shows vision in planning for the future of the department.
10. The head/chairperson exercises appropriate influence in setting goals of the department.
11. The head/chairperson takes the initiative in establishing departmental policies.
12. The head/chairperson provides an identifiable set of goals which are realistic in terms of the resources.
13. The head/chairperson encourages informal discussion of departmental issues, problems, and policies.

I. INTERPERSONAL

1. The head/chairperson is able to maintain faculty morale.
2. The head/chairperson is accepting of divergent interests and opinions.
3. The head/chairperson is fair in working with the departmental faculty.
4. The head/chairperson takes a personal interest in all members of the department.
5. The head/chairperson fosters professional interaction and a sense of community in the department.
6. The head/chairperson is successful in reducing conflicts and tensions within the department.
7. The head/chairperson shows a respect for the professional integrity of other faculty.
8. There is a lack of communication between the head/chairperson and academic staff.
9. The head/chairperson is available for informal discussions about personal matters.
10. The head/chairperson is overly concerned with protecting his/her position.
11. The head/chairperson is open to advice and criticism.
12. The head/chairperson treats all faculty members as his/her equal.
13. I feel comfortable in presenting arguments and minority points of views to the head/chairperson.
14. The head/chairperson listens to too few of the faculty.
15. The head/chairperson is a good mediator in the resolution of conflicts among the faculty.
16. The head/chairperson promotes open communication among all segments of the department.
17. The head/chairperson is sensitive and perceptive in working with people.
18. The head/chairperson can be trusted.
19. The head/chairperson has the respect of the faculty and staff of the department.
20. The head/chairperson lets faculty members know when they've done a good job.
21. The head/chairperson makes it clear that faculty suggestions for improving the department are welcome.
22. The head/chairperson keeps to himself/herself too much.

I-2. INFORMATIONAL ROLES

1. The head/chairperson initiates discussion about pending departmental decisions.
2. There is a lack of communication between the head/chairperson and the academic staff.
3. The head/chairperson keeps faculty informed of important university and college policies affecting the department.
4. The head/chairperson facilitates the paperwork that we as faculty need to complete.
5. The head/chairperson makes his/her own position clear on issues facing the faculty.
6. The head/chairperson is clear and concise in communicating to the faculty.
7. The head/chairperson discusses matters with too few of the senior faculty.
8. The head/chairperson creates an atmosphere of open communication among all segments of the department.

I-3. DECISION ROLES

1. Most of the head/chairperson's decisions offer short run solutions.
2. The head/chairperson is too authoritative in departmental policy matters.
3. The head/chairperson is willing to make the tough unpopular decisions.
4. The head/chairperson is too quickly impressed by the superficial.
5. The head/chairperson has difficulty in making decisions without long delays.
6. The head/chairperson is able to take a position and uphold it in face of conflict and opposition.
7. The action of head/chairperson is too frequently influenced by the higher levels of administration.
8. The head/chairperson acts more as a reactor than an initiator of action.
9. The head/chairperson is willing to take criticism for implementing policy decisions.
10. The head/chairperson is a decisive thinker.
11. The head/chairperson is able to make a decision and carry it out.
12. The head/chairperson attempts to accommodate the wishes and needs of different interest groups.
13. Committee recommendations are too often ignored by the head/chairperson.

I-4. OTHER

1. The head/chairperson lacks integrity.
2. The head/chairperson maintains a high level of scholarly accomplishment.
3. The next head/chairperson should be appointed from within the department.
4. The head/chairperson is a model researcher/scholar for the faculty.

APPENDIX G
DECA CHAIRPERSON INFORMATION FORM



CHAIRPERSON INFORMATION FORM

for use with the DECA Survey Form

Name _____ (1-20)
 (Last) (Initials)

Department _____ (21-39)
 (40-43)

Institution _____

Number of faculty asked to respond _____ (44-46)

Approximately what percentage of the faculty in this department is tenured?
 (1) Over 80% (2) 60-79% (3) 40-59% (4) Under 40% _____ (47)

Are members of the department housed
 (1) In a single building? (2) In more than one building? _____ (48)

How many formal department faculty meetings were called in the past 12 months?
 (1) None (2) 1 or 2 (3) 3-5 (4) 6-9 (5) 10 or more _____ (49)

How many years have you served as chairperson/head of this department?
 (1) This is my first year (2) 1-2 years (3) 3-5 years (4) 6 or more years _____ (50)

What are the terms of your appointment?
 (1) I was appointed by the dean and serve at his/her pleasure (2) I was elected by the faculty for a specific term (3) I was elected by the faculty but not for a specific term _____ (51)

• The list below describes responsibilities which some department chairpersons/heads pursue. Circle the number which describes your judgment of how important each of these is in your role as chairperson/head:

1 — Not Important 2 — Only So-So 3 — Fairly Important
 4 — Quite Important 5 — Essential

CHAIRPERSON/HEAD RESPONSIBILITIES

	RATING	
	1 2 3 4 5	
1 Guides the development of sound procedures for assessing faculty performance	1 2 3 4 5	(52)
2 Recognizes and rewards faculty in accordance with their contributions to the department's program	1 2 3 4 5	(53)
3 Guides development of sound organizational plan to accomplish departmental program	1 2 3 4 5	(54)
4 Arranges effective and equitable allocation of faculty responsibilities such as committee assignments, teaching loads, etc	1 2 3 4 5	(55)
5 Takes lead in recruitment of promising faculty	1 2 3 4 5	(56)
6 Fosters good teaching in the department	1 2 3 4 5	(57)
7 Stimulates research and scholarly activity in the department	1 2 3 4 5	(58)
8 Guides curriculum development	1 2 3 4 5	(59)
9 Maintains faculty morale by reducing, resolving, or preventing conflicts	1 2 3 4 5	(60)
10 Fosters development of each faculty member's special talents or interests	1 2 3 4 5	(61)
11 Understands and communicates expectations of the campus administration to the faculty	1 2 3 4 5	(62)
12 Effectively communicates the department's needs (personnel, space, monetary) to the dean	1 2 3 4 5	(63)
13 Facilitates obtaining grants and contracts from extramural sources	1 2 3 4 5	(64)
14 Improves the department's image and reputation in the total campus community	1 2 3 4 5	(65)
15 Encourages an appropriate balance among special interests within the department	1 2 3 4 5	(66)

APPENDIX H
ADMINISTRATIVE EFFECTIVENESS APPRAISAL
BENEDICTINE COLLEGE

ADMINISTRATIVE EFFECTIVENESS APPRAISALACADEMIC DEAN

Respondent is: Teaching Faculty _____ Full time _____ Part time _____
 Student _____ Senior _____ Senate Member _____ Staff Assistant _____
 Administrator _____ Administrator with Faculty tenure status _____
 Other _____

This is my _____ year at Benedictine College. (Fill blank with 1st, 2nd, 3rd, 4th, 5th)

Date: _____

PART I

Directions: The job description submitted by the Academic Dean of Benedictine College to the Faculty Review Committee includes responsibilities and accountability in these principal areas: (1) coordination and evaluation of all curricula, courses of study and methods of instruction, (2) direction of all academic activities and supervision of the academic counseling program, (3) supervision and evaluation of the College Faculty, and (4) liaison among faculty, students and administrators.

Following is a list of personal and professional qualities that describe the competencies considered to be desirable in a college administrator in order to provide effective leadership in the above areas.

On the basis of your own experience and judgment rate the administrator (Academic Dean) on each quality by writing the number to the left of that quality on the line at the end of each statement.

1) EXCELLENT 2) GOOD 3) ACCEPTABLE 4) WEAK 5) NO BASIS FOR JUDGMENT

LEADERSHIP:

1. Upholds the fundamental beliefs and finest traditions of Benedictine College. 1. _____
2. Promotes achievable and well-defined long-range goals and objectives. 2. _____
3. Promotes academic policies deemed of great importance for the well-being of the College. 3. _____
4. Keeps well informed of activities and progressive movements in higher education. 4. _____
5. Takes initiative in the promotion of innovative ideas. 5. _____
6. Provides leadership in developing professional responsibility for teaching and related duties. 6. _____

APPENDIX I
CORRESPONDENCE



(919) 379-7581

NORTH CAROLINA AGRICULTURAL AND TECHNICAL
STATE UNIVERSITY
GREENSBORO 27411

INFORMATION SERVICES

June 20, 1979

Dr. Martin C. Van de Visse
Community College at Denver
Auraria Campus
1111 W. Colfax
Denver, Colorado 80204

Dear Dr. Van de Visse:

I am a doctoral candidate in the Department of Educational Administration at the University of North Carolina at Greensboro. I am interested in conducting a study on the subject of administrator evaluation in the colleges and universities of North Carolina.

I am hereby asking permission to reproduce and use your questionnaire on administrative evaluation. Appropriate credit would be given to you in the project, and I shall be happy to share the results of my study with you.

I wish to thank you in advance for any assistance you can provide.

Sincerely,

A handwritten signature in cursive script that reads "Richard E. Moore".

Richard E. Moore, Director
Information Services

REM/jj



(919) 379-7582

NORTH CAROLINA AGRICULTURAL AND TECHNICAL
STATE UNIVERSITY
GREENSBORO 27411

INFORMATION SERVICES

June 20, 1979

Dr. Benedict J. Surwill
Dean of Education
Eastern Montana College
Billings, Montana 59101

Dear Dr. Surwill:

I am a doctoral candidate in the Department of Educational Administration at the University of North Carolina at Greensboro. I am interested in conducting a study on the subject of administrator evaluation in the colleges and universities of North Carolina.

I am hereby requesting permission to use selected questions or the entire AASCU questionnaire as developed by you and Dr. Stanley J. Heywood. You would be given appropriate credit for development of the questionnaire and I shall be happy to share the results of my study with you.

I wish to thank you in advance for any assistance you can provide.

Sincerely,

A handwritten signature in cursive script that reads "Richard E. Moore".

Richard E. Moore, Director
Information Services

REM/jj



(919) 379-7588

NORTH CAROLINA AGRICULTURAL AND TECHNICAL
STATE UNIVERSITY
GREENSBORO 27411

INFORMATION SERVICES

October 18, 1979

Dr. James L. Harvey
McManis Associates Inc.
1201 Connecticut Avenue N.W.
Washington, DC 20036

Dear Dr. Harvey:

I am a doctoral candidate in the Department of Educational Administration at the University of North Carolina at Greensboro. I am interested in conducting a study on the subject of administrator evaluation in the colleges and universities of North Carolina.

I am hereby requesting permission to use the Administrator Evaluation and Bonus System and Administrative Rating Scale. You would be given appropriate credit for development of the instruments and I shall be happy to share the results of my study with you.

I wish to thank you in advance for any assistance you can provide.

Sincerely,

A handwritten signature in cursive script that reads "Richard E. Moore".

Richard E. Moore, Director
Information Services

REM/ss

P. S. Please send me a copy of the instruments.



(919) 379-7582

NORTH CAROLINA AGRICULTURAL AND TECHNICAL
STATE UNIVERSITY
GREENSBORO 27411

INFORMATION SERVICES

November 1, 1979

Dr. George Baumgartner
Academic Dean
Benedictine College
Atchison, Kansas 66002

Dear Dr. Baumgartner:

I am a doctoral candidate in the Department of Educational Administration at the University of North Carolina at Greensboro. I am interested in conducting a study on the subject of administrator evaluation in the colleges and universities of North Carolina.

I am hereby asking permission to reproduce and use your form for evaluating the Academic Dean (Administrative Effectiveness Appraisal).

Appropriate credit would be given to you in the project, and I shall be happy to share the results of my study with you. Please send me a copy of the form.

I wish to thank you in advance for any assistance you can provide.

Sincerely,

Richard E. Moore, Director
Information Services

REM/jj

Dear Mr. Moore:

I consulted with Dr. Ed Hiner former chairman of the Education department who had the responsibility of developing the form (credit should be given to him) and he has no objection to its use.

George J. Baumgartner



(919) 379-7582

NORTH CAROLINA AGRICULTURAL AND TECHNICAL
STATE UNIVERSITY
GREENSBORO 27411

INFORMATION SERVICES

November 2, 1979

Dr. Edwin Goldwasser
Acting Vice Chancellor for Academic Affairs
University of Illinois at Urbana-Champaign
107 Coble Hall
Champaign, IL 61820

Dear Dr. Goldwasser:

I am a doctoral candidate in the Department of Educational Administration at the University of North Carolina at Greensboro. I am interested in conducting a study on the subject of administrator evaluation in the colleges and universities of North Carolina.

I am hereby asking permission to reproduce and use your Administrator Evaluation Survey: Faculty Form. Appropriate credit would be given to you in the project, and I shall be happy to share the results of my study with you. Please send me a copy of the form.

I wish to thank you in advance for any assistance you can provide.

Sincerely,

Richard E. Moore, Director
Information Services

REM/ss

**Eastern Montana College**

BILLINGS, MONTANA 59101

June 26, 1979

Dean of Education

Mr. Richard E. Moore, Director
Information Services
North Carolina Agricultural and Technical
State University
Greensboro, North Carolina 27411

Dear Mr. Moore:

Professor Stanley J. Heywood and I have agreed to your request in which you asked permission to use the questionnaire that we developed and used in our ASSCU Publication, "Evaluation of College and University Top Brass: The State of the Art, Status Report of AASCU Member Institutions". All that we ask is that you do give appropriate credit to us for permission to use this instrument. We would both be very pleased to share the results of your study. We wish you success.

Sincerely,

A handwritten signature in cursive script that reads "Benedict J. Surwill".

Benedict J. Surwill
Dean, School of Education

mve

cc: Dr. Stanley J. Heywood, Professor of Education

Community
College of
Denver

June 27, 1979

Auraria
Campus

Mr. Richard R. Moore
Director, Information Services
North Carolina Agricultural and
Technical State University
Greensboro, North Carolina 27411

Dear Mr. Moore:

Thank you for your letter of June 20, 1979. I am flattered and pleased that my doctoral study is of interest to you.

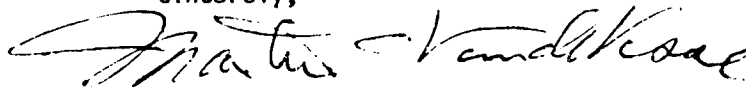
Yes, of course, you may use the questionnaire that I developed for my study. You have my permission to reproduce this form in its entirety or to change it to suit your purposes.

I continue to be directly involved and deeply interested in administrative performance evaluation. As a matter of fact, I am chairperson of a committee at our college to develop a total program, including orientation, performance objectives, periodic review, and an instrument for continued evaluation.

I have also had correspondence with other institutions and people doing work in this area of performance evaluation.

Best wishes on your dissertation. I will be interested in the conclusions and findings.

Sincerely,



Martin C. Van de Visse
Dean of Student Services

MCV:mmv
6/27/79

McManis
ASSOCIATES, INC.

RECEIVED
OCT 23 1979

October 23, 1979

PUBLIC INFORMATION

Mr. Richard E. Moore
Director
Information Services
North Carolina Agricultural and
Technical State University
Greensboro, N.C. 27411

Dear Mr. Moore,

In response to your letter of October 18, I can respond as follows. Enclosed is a copy of the Administrative Rating Scale. You have my permission to reproduce it and use it in your research if you give appropriate credit and share the results with me. The other part of the evaluation system involved no set form, rather the shape and form of administrator's objectives differ from college to college. I could send you some representative forms, but you will find that each college handles the setting, evaluation, and assignment of percentages and levels a bit differently.

The system I described in the M.B.O. book comes close to, but is somewhat different from the one I was involved in at W. R. Harper College in Illinois a number of years ago. They have sure modified it.

If I can be of further help, please let me know.

Sincerely,

McManis Associates, Inc.

L. James Harvey
L. James Harvey, Ph.D.
Senior Vice President
Education Group

LJH/coh

MEASUREMENT AND RESEARCH DIVISION
1000 UNIVERSITY DRIVE
GREENSBORO, NORTH CAROLINA 27409

October 29, 1979

Mr. Richard Moore, Director
Information Services
North Carolina Agricultural and
Technical State University
Greensboro, North Carolina 27411

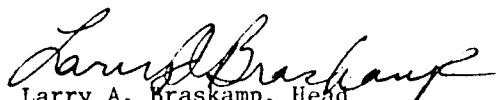
Dear Mr. Moore:

You have our permission to refer to and reproduce the Administrator Evaluation Survey: Faculty Form for work on your dissertation. Although you don't mention Dennis Hengstler's name in your letter I am inferring that you learned about our survey from him. His address is:

Dennis D. Hengstler
304 Administration Building
Office of Institutional Research
University of North Carolina at Greensboro
Greensboro, North Carolina 27409

In the catalog that I am enclosing, please note that the survey now consists of eleven core items which is a revision of the seventeen that Dennis used for his work in his dissertation. You may use either his form or our revision depending upon your local needs. At this time we do not have the form put on any of our scanner sheets so you will have to reproduce them yourself at your institution. We would very much appreciate receiving a copy of the results of your study since we are continually revising our Administrator Evaluation Survey.

Sincerely,


Larry A. Braskamp, Head
Measurement and Research Division

lab/lgn

enc.

November 5, 1979

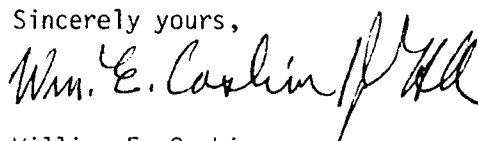
Richard E. Moore, Director
Information Services
North Carolina Agricultural and
Technical State University
Greensboro, NC 27411

Dear Mr. Moore:

On behalf of the Center you have permission to reproduce DECA materials as part of your dissertation with the understanding that you will indicate the Center as the source and that the materials are copyrighted.

We would appreciate receiving a copy of your dissertation when it is completed.

Sincerely yours,



William E. Cashin
Educational Development Specialist
and Center Administrator

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November 7, 1979

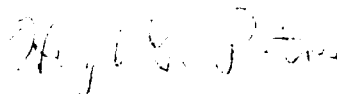
PUBLIC INFORMATION

Richard E. Moore, Director
Information Services
NORTH CAROLINA AGRICULTURAL AND
TECHNICAL STATE UNIVERSITY
Greensboro, NC 27411

Dear Dr. Moore:

Edwin Goldwasser passed your letter of November 2, 1979, to me requesting permission to use our Administrator Evaluation Survey: Faculty Form. In checking with Larry Braskamp, whose office processes these forms, he informed me that he had recently written to you giving you permission to use the form. Our only requirement is that you acknowledge on the form that it is the University of Illinois' and that permission was granted to use it. If you have any questions, please let me know.

Sincerely,



Hugh G. Petrie
Associate Vice Chancellor
for Academic Affairs

HGP:mm

cc: L.A. Braskamp
E.L. Goldwasser

APPENDIX J
FREQUENCY OF INSTITUTIONS RESPONDING BY CONTROL
AND LEVEL, CONTROL AND ENROLLMENT, AND
LEVEL AND ENROLLMENT

TABLE 14
 INSTITUTIONS RESPONDING TO THE QUESTIONNAIRE
 BY CONTROL AND LEVEL

	B. A.	M. A.	Ph. D.	Total
Public	3	6	1	10
Church-Affiliated	19	2	2	23
Independent	<u>1</u>	<u>0</u>	<u>1</u>	<u>2</u>
Total	23	8	4	35

TABLE 15
 INSTITUTIONS RESPONDING TO THE QUESTIONNAIRE
 BY CONTROL AND ENROLLMENT

	Less than 1,000	1,000 to 2,499	2,500 to 4,999	5,000 to 9,999	10,000 or more	Total
Public	1	2	2	5	0	10
Church-Affiliated	9	13	1	0	0	23
Independent	<u>0</u>	<u>1</u>	<u>0</u>	<u>1</u>	<u>0</u>	<u>2</u>
Total	10	16	3	6	0	35

TABLE 16
 INSTITUTIONS RESPONDING TO THE QUESTIONNAIRE
 BY LEVEL AND ENROLLMENT

	Less than 1,000	1,000 to 2,499	2,500 to 4,999	5,000 to 9,999	10,000 or more	Total
B. A.	8	15	1	0	0	24
M. A.	0	2	2	4	0	8
Ph. D.	<u>0</u>	<u>0</u>	<u>1</u>	<u>2</u>	<u>0</u>	<u>3</u>
Total	8	17	4	6	0	35

APPENDIX K
FREQUENCY OF ITEM RESPONSES BY INSTITUTIONAL
CONTROL, LEVEL OF DEGREES OFFERED,
AND ENROLLMENT

TABLE 17

FREQUENCY OF ITEM RESPONSE BY
INSTITUTIONAL CONTROL

Item	Yes	<u>Public</u>			Yes	<u>Independent</u>			Yes	<u>Church</u>			Yes	<u>Total</u>		
		No	No	Answer		No	No	Answer		No	No	Answer		No	No	Answer
IIQ1	3	8	0		1	0	1		10	8	3		14	16	4	
IIQ2	2	2	7		0	0	2		7	0	14		9	2	23	
IIQ3	2	3	6		1	0	1		9	1	11		12	4	18	
IIQ4	1	3	7		0	0	2		6	5	10		7	8	19	
IIQ5	2	2	7		0	0	2		7	2	12		9	4	21	
IIQ6	0	9	2		1	0	1		4	15	2		5	24	5	
IIQ10	9	1	1		1	0	1		20	0	1		30	1	3	
IIQ11	8	1	2		1	0	1		19	1	1		28	2	4	
IIQ12	7	1	3		1	0	1		17	3	1		25	4	5	
IIQ13	5	2	4		5	2	4		12	4	5		22	8	13	
IIQ14	2	2	0		4	7	0		8	13	0		14	22	0	
IIIQ5	2	0	2		4	0	7		7	0	14		13	0	23	
IIIQ6	1	0	3		1	4	6		3	3	15		5	7	24	

TABLE 17--Continued

Item	Yes	Public			Yes	Independent			Yes	Church			Yes	Total		
		No	No	Answer		No	No	Answer		No	No	Answer		No	No	Answer
IIIQ7	1	0		3	3	2	6	8	0	13	12	2	22			
IVQ1	0	0		4	3	2	6	1	11	9	4	13	19			
IVQ2	0	0		4	3	2	6	4	8	9	7	10	19			
IVQ3	0	0		4	1	3	7	3	8	10	4	11	21			
IVQ5	0	0		4	3	0	8	6	5	10	9	5	22			
IVQ6A	0	0		4	1	3	7	5	5	11	6	8	22			
IVQ6B	1	3		7	0	0	2	2	8	11	3	11	20			
IVQ6C	1	3		7	0	0	2	4	6	11	5	9	20			
IVQ6D	2	2		7	0	0	2	2	7	12	4	9	21			

TABLE 18
 FREQUENCY OF ITEM RESPONSES BY INSTITUTIONAL
 LEVEL OF DEGREES

Item	B. A.			M. A.			Ph. D.			Total		
	Yes	No	No Answer	Yes	No	No Answer	Yes	No	No Answer	Yes	No	No Answer
IIQ1	11	12	2	1	4	0	2	0	2	13	16	4
IIQ2	7	0	18	1	2	2	1	0	3	9	2	23
IIQ3	10	1	14	1	2	2	1	1	2	12	4	18
IIQ4	5	5	15	1	2	2	1	1	2	7	8	19
IIQ5	7	2	16	1	2	2	1	0	3	9	4	21
IIQ6	5	17	3	0	5	0	0	2	2	5	24	5
IIQ10	25	0	0	3	1	1	2	0	2	30	1	3
IIQ11	22	1	2	4	1	0	2	0	2	28	2	4
IIQ12	20	3	2	3	1	1	2	0	2	25	4	5
IIQ13	13	5	7	3	1	1	1	0	3	17	6	11
IIQ14	10	15	0	2	3	0	2	2	0	14	20	0
IIIQ5	9	0	16	2	0	3	2	0	2	13	0	21
IIIQ6	2	6	17	1	1	3	1	3	3	4	7	23

TABLE 18--Continued

Item	B. A.			M. A.			Ph. D.			Total		
	Yes	No	No Answer	Yes	No	No Answer	Yes	No	No Answer	Yes	No	No Answer
IIIQ7	10	1	14	1	1	3	1	0	3	12	2	20
IVQ1	13	1	11	1	2	2	0	0	4	14	3	17
IVQ2	5	9	11	2	1	2	0	0	4	7	10	17
IVQ3	3	10	12	1	1	3	0	0	4	4	11	19
IVQ5	8	5	12	1	0	4	0	0	4	9	5	20
IVQ6A	5	7	13	1	1	3	0	0	4	6	8	20
IVQ6B	2	10	13	1	1	3	0	0	4	3	11	20
IVQC	4	8	13	1	1	3	0	0	4	5	9	20
IVQD	2	9	14	2	0	3	0	0	4	4	9	21

TABLE 19
FREQUENCY OF ITEM RESPONSES BY ENROLLMENT

Item	Less than 1,000			1,000-2,499			2,500-4,999 No			5,000-9,999 No			10,000 or more No			Total No		
	Yes	No	Answer	Yes	No	Answer	Yes	No	Answer	Yes	No	Answer	Yes	No	Answer	Yes	No	Answer
IIQ1	3	5	1	10	1	1	0	4	1	1	3	1	1	0	0	15	13	4
IIQ2	3	0	5	4	0	11	0	1	4	1	1	3	1	0	0	9	2	23
IIQ3	2	1	5	9	0	6	0	1	4	1	1	3	0	2	0	12	5	18
IIQ4	1	2	5	5	3	7	0	1	4	1	1	3	0	2	0	7	9	19
IIQ5	3	0	5	4	2	9	0	1	4	1	1	3	1	0	0	9	4	21
IIQ6	1	6	1	4	10	1	0	3	2	0	4	1	0	2	0	5	25	5
IIQ10	8	0	0	15	0	0	4	0	1	2	1	2	1	0	0	30	1	3
IIQ11	7	1	0	14	0	1	3	0	2	3	1	1	1	0	0	28	2	4
IIQ12	7	1	0	12	2	1	3	0	2	2	1	2	1	0	0	25	4	5
IIQ13	5	1	2	7	4	4	3	0	2	2	1	2	0	0	1	17	6	11
IIQ14	2	6	0	7	8	0	2	3	0	3	2	0	0	1	0	14	20	0
IIIQ5	1	0	7	7	0	8	1	0	3	3	0	2	0	0	1	12	0	21
IIIQ6	1	0	7	3	3	9	0	2	3	1	1	1	0	0	1	5	6	23

TABLE 19--Continued

Item	Less than 1,000			1,000-2,499			2,500-4,999 No			5,000-9,999 No			10,000 or more No			Total No		
	Yes	No	Answer	Yes	No	Answer	Yes	No	Answer	Yes	No	Answer	Yes	No	Answer	Yes	No	Answer
IIIQ7	2	0	6	7	0	8	2	1	2	1	1	3	0	0	1	12	2	20
IVQ2	1	4	3	4	4	7	0	2	3	2	0	3	0	0	1	7	10	17
IVQ3	1	3	4	2	6	7	0	2	3	1	0	4	0	0	1	4	11	19
IVQ5	2	2	4	5	3	7	1	0	4	1	0	4	0	0	1	9	5	20
IVQ6A	2	3	3	3	3	9	0	2	3	1	0	4	0	0	1	6	8	20
IVQ6B	0	4	4	2	5	8	0	2	4	1	0	4	0	0	1	3	11	20
IVQ6C	0	4	4	4	3	8	0	2	3	1	0	4	0	0	1	5	9	20
IVQ6D	0	4	4	2	4	9	1	1	3	1	0	4	0	0	1	4	9	21