THE UNIVERSITY OF MANITOBA

THE EVALUATION OF PUBLIC SCHOOL PRINCIPALS

IN MANITOBA

BY

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Little did I realize when I began my first university summer session course in 1966 that it would culminate in this thesis. That I endured thirteen consecutive summer sessions was due to more than my innate curiosity and interest in learning. I owe much to those many educators who made each course a unique and challenging experience, to those colleagues from whom I obtained relief and encouragement during those long hot summers in residence, and above all to my family who learned to expect and cope with my annual summer pilgrimage to the University of Manitoba.

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ABSTRACT

The purpose of this study was to determine the state
of principal evaluation in school divisions in Manitoba.
Data were collected via questionnaires that were mailed to
all superintendents and to a sample of principals in fourteen
school divisions which had indicated that they had formal
procedures for evaluating principals. The data were ex-
amined to determine the number and size of divisions with
formal procedures and the respondents' perceptions of the
type and characteristics of the procedures used, the use of
probationary periods, the frequency and purposes of the
evaluation of principals, tenure of principals, grievance
procedures and satisfaction with the procedure.

Major findings were that (1) larger divisions were
more likely to be using job performance goal procedures,
(2) a third of the principals surveyed were unaware of their
division's procedures, (3) those principals who were aware
of the procedures had much different perceptions of the
details of these procedures from their superintendents and,
(4) the majority of principals and superintendents were
satisfied with the formal evaluation procedures which existed.

These findings led to several conclusions:

1. Too few divisions in Manitoba presently have formal
evaluation procedures for principals.

2. The use of job performance goal procedures may be due to the level of expertise and development of the superintendent rather than size of the division.

3. A greater effort must be made to clarify the details of a division's evaluation procedures to its principals.

4. Where formal evaluation procedures exist, consideration should be given to making them more open, comprehensive and aimed at remediating a principal's weaknesses through professional development.

TABLE OF CONTENTS

LIST OF TABLES

TABLE

CHAPTER I

STATEMENT OF THE PROBLEM

I. INTRODUCTION

Since the turn of the decade there has been consider-
able attention placed on accountability in education. Con-
cern has been expressed that the public has not been getting
what it has been paying for (Casetetter, and Heisler 1971;
DeMont, 1975) and this concern has given rise to a demand
for evaluation of all aspects of the educational process
(Coleman, 1972). With increasing inflation and economic
restraint in Canada these demands are persisting.

Concomitantly there has occurred an extensive change
in the duties and role of the principal (Jacobson, 1973).
This was the result of changes in the manner in which schools
were designed, children were organized for instruction,
teachers were assigned to students, decision making was
conducted in view of the growing professionalism of teachers,
the school's publics were kept informed and involved, and
the curriculum was developed and delivered. The person in
the principal's office has been beset from every side
(Koerner, 1973) due to these changes and innovations.

And yet the principal is still seen as the key person
in the school building (Jacobson, 1973; Pharis, 1973). The
cliche, "as is the principal so is the school", has remained

1

generally true so that the principal is looked upon by teachers, senior administrators, the school board and the public as the most accountable person in the educational hierarchy. At this time the "new" broom of evaluation has begun to sweep into the principalship and in particular on the performance of the individual in that position (Demeke, 1971; Green, 1972; Bell, 1974).

Principals in Manitoba have been involved in various attempts to evaluate and improve programs and teachers in order to meet the demands of accountability. In spite of this there seems to have been a lack of interest and/or expertise in evaluating, in a formal way, the performance of the public school principal. If the principal is the key to the operational effectiveness of the school and if the spirit, if not the intent, of the accountability philosophy is to be complied with, it seems that the evaluation of the person in the principalship is necessary and long overdue. And where it is occurring in a formal way one wonders if the process used is theoretically sound, humane and professionally beneficial to the evaluatees. Rosenberg (1965, 1973, 1974), De Vaughn (1971) and others have done much to clarify the policies, procedures and instruments that might be used in the evaluation of principals.

But to what extent have these recommendations become known and accepted in Manitoba? What are the criteria upon which the evaluation of principals in Manitoba is based? How general is the formal evaluation of principals in

Manitoba? What common features are found in the evaluation
of principals across the province?

II. DEFINITION OF THE PROBLEM

The purpose of this study, then, was to determine
the state of principal evaluation in school divisions in
Manitoba. This statement gave rise to several specific
questions:

1. How many school divisions in Manitoba used a
formal evaluation procedure for principals?

2. What evaluation instruments were used?

3. What were the formal evaluation procedures?

4. Who was involved in the principal evaluation?

5. In the opinion of the respondents, were the
procedures in use meeting the needs of the school divisions?

6. Were those evaluating, and being evaluated, sat-
isfied with the evaluation procedure?

7. What effect did this evaluation procedure have on
the follow up procedures used with principals in the division?

III. SIGNIFICANCE OF THE PROBLEM

Many of the studies done in the principalship have
attempted to delineate what the principal does but few have
examined how well he does it (Demeke, 1971). More recently
writers (Knezevich, 1973; Poliakoff, 1973) have advocated
an appraisal and accountability system that considers job
performance of the principal more in keeping with a management

by objectives approach.

The principal's role is one that often isolates him from objective criticism. Since the perceptions that others have of the principal tend to affect his perception of himself, the feedback the principal receives from others is significant in the formation of his self-concept. A principal with a poor conception of himself will find his job satisfaction decreased (Vroom, 1964). And a decrease in job satisfaction will result in a job performance that is not as productive (Brown, 1976). On the other hand, reinforcement of acceptable role behavior will affect job performance for the better (Bolles, 1967).

This study was undertaken to determine what the "state of the art" of principal evaluation was in Manitoba. Such evaluation can be effective in providing the principal with a clearer view of his strengths and weaknesses and this will ultimately have a beneficial effect on his job performance. Knowing what is being done in the province and whether it is seen as meeting the needs of the divisions and is satisfying to the principals will assist interest groups such as the Manitoba Association of Principals, the Manitoba Teachers' Society, and the Department of Educational Administration at the University of Manitoba in determining how such evaluation may be improved.

IV. DESIGN OF THE STUDY

Questionnaires were distributed to all school divisions

in Manitoba and to the school district of Mystery Lake in
the fall of 1977. Persons responsible for evaluating
principals were asked to complete all of the questionnaire
if their division had a formal method of periodically
evaluating the performance of the principal. Those who used
informal means of evaluating principals were asked to clarify
what those informal methods were. A sample of this quest-
ionnaire is found in the Appendix. It is basically a
replication of one used in a survey conducted by the
Educational Research Service of the National Educational
Association in the United States and reported on in their
ERS Circular No. 6 in 1971. The data obtained on what was
being done in the province were compared to the literature's
recommendations on what should be done.

A second, but less extensive, questionnaire was
distributed to a selected sample (23 per cent) of principals
in those divisions where it was indicated that they utilized
formal principal evaluation procedures. The purpose of this
questionnaire was to compare the perceptions of the
principals' evaluators with those of the principals in two
areas:

1. that the procedures used were meeting the needs
of the division, and

2. that the principals were satisfied with this
evaluation procedure.
The data obtained from the Manitoba questionnaire were
analyzed and presented in a series of tables.

V. DELIMITATIONS

1. Only school divisions in Manitoba and the school district of Mystery Lake #2355 were surveyed initially for a total of forty-eight school systems. Mystery Lake was included because of its size and location in Manitoba's third largest population centre.

2. A questionnaire was also sent to a selected sample of principals in those divisions which indicated they used formal evaluation procedures with principals.

3. The fall of 1977 was the period during which the questionnaires were distributed.

VI. LIMITATIONS

1. There were divisions which were unable to give the requested information because they were in the process of establishing formal evaluation procedures.

VII. DEFINITION OF TERMS

Principal

The designated head of a school, and the holder of a Manitoba Principal's Certificate.

Formal Evaluation Method

An evaluation procedure designed with a particular intent and formally adopted by the division for its use.

School Division

One of the forty-seven unitary school divisions legally

established in the province of Manitoba.

Evaluator

The person or persons given the responsibility of evaluating the principals of the school system.

Stratum one division

A division whose enrolment exceeds 5500 students.

Stratum two division

A division whose enrolment is 2000 to 5500 students.

Stratum three division

A division whose enrolment is less than 2000 students.

VIII. ORGANIZATION OF THE THESIS

The purpose of this study has been delineated. Chapter II consists of a review of the literature concerning reasons for and methods of evaluating principals. In Chapter III the methodology employed in obtaining the data is described. Chapter IV contains the results of the questionnaire data set up in a series of tables along with an analysis of this data. In the final chapter, Chapter V, a summary of the major findings of the study is contained, some conclusions and implications are considered, and recommendations for further research are made.

CHAPTER II

REVIEW OF THE RELATED LITERATURE

This chapter is divided into six sections. The first
section looks at the various assessment techniques, procedures
and instruments that may be used in the evaluation of the
principal. In the second section trends in the historical
development of administrator assessment are examined. The
third covers the reasons why this development has focused on
the evaluation of the principal. The fourth examines the
motivational impact of evaluation on the principal. The fifth
section reviews the research done in an attempt to ascertain
the state of principal evaluation techniques in use. And in
the sixth section an evaluation model is presented which may
be useful for evaluating principals.

I. PROCEDURES FOR EVALUATING PRINCIPALS

General Categories

Evaluation is a procedure that involves judgment.
The framework within which this judgment occurs can be thought
of as being in one of two general categories. Traditionally,
evaluation has been thought of as primarily a summative
activity in which the results were studied at a terminal
point. Now, formative evaluation--evaluation that influences

while the activity being evaluated is progressing--is gaining equal importance (Steele, 1973, p. 26).

Summative evaluation, then, occurs at the conclusion of an act or process and thus has a characteristic of finality (Rentsch, 1976). It occurs when a specific suggestion is needed at the end of the evaluation period, and in the evaluation of principals may focus on whether he is rehired, promoted, fired, or granted a merit raise, etc. (Wills, 1976).

Formative evaluation refers to the use of data to make a process or operation effective as the operation proceeds and is thus supervisory in nature (Rentsch, 1976). By being able to redirect the process as it progresses, the goal seeker has a greater chance of reaching the goal (Howsam, 1973, p. 13). The aim of an evaluator of principals would be to supply feedback on the principal's performance to provide the information needed for improvement through inservice, university course work, or other means (Wills, 1976).

The issue of being formative and supportive, as against being summative and judgmental or punitive, lies close to the heart of the problem of using evaluation effectively (Howsam, 1973, p. 13). When developing an evaluation model the school system's purpose for evaluation is the central question (Wills, 1976). If the purpose is primarily for the improvement of the administrative skills of the principal and to assist in the attainment of agreed upon individual goals, the format used by the school system

will tend to be a formative one with feedback and improvement opportunities provided. If the purpose is essentially geared towards promoting or demoting, firing or rehiring, or to determine worth for merit pay raises, the format used by the system tends to be summative in nature.

Characteristics of Evaluation Procedures

The literature reveals a number of suggestions for those who wish to implement principal evaluation or assessment programs. There are a number of common characteristics in their suggestions. Wills (1976) devised a composite list of suggestions for a better administrator evaluation program from the writings of Culbertson, Merriman, DePree and Gaynor. These suggestions are given below along with selected suggestions from a number of other writers:

1. Both the principal and the superintendent need to take a leadership part in the system's evaluation program.

2. There needs to be an effective communication system within the community if the evaluation program is to be responsible to the public.

3. School authorities need to be prepared to reveal the positive and the negative aspects of school achievement.

4. The evaluation should be conducted by those in a position to make valid judgments, such as the principal's immediate administrative superior (OAESP, 1971).

5. The evaluation must be built on the belief that the principal possesses unique differentiated administrative skills and abilities (OAESP, 1971; Greene, 1972) that can, and should be evaluated (Redfern, 1971).

6. The principal should be involved early (De Vaughn,

1971) with the evaluator in establishing the
performance objectives that are formulated to
evaluate the principal's performance (Redfern,
1972; Wills, 1976).

7. The objectives and criteria established should be
based on the principal's specific assignment and
the school population or attendance area of his
specific school (OAESP, 1971; Wills, 1976).

8. The objectives focused upon should be clearly stated
and limited in number so that the principal under-
stands what is expected of him (De Vaughn, 1971;
Redfern, 1972; EACS, 1974).

9. Students, parents and teachers should be encouraged
to participate in establishing the school's ob-
jectives (Wills, 1976). Other administrators should
be allowed to be involved as resource persons if
the principal or evaluator wishes it (OAESP, 1971).

10. There should be less emphasis on the use of
standardized forms, and more emphasis on evaluation
developed for the unique objectives of the
individual school.

11. The principal should not be evaluated without his
knowledge (OAESP, 1971). The process should not
instill fear and should take into account the
subordinate-superordinate relationship (EACS,
1974).

12. The principal should know to whom he may look for
direction and should understand that evaluation
is an inherent component of accountability (Redfern,
1972).

13. The evaluation program should be open to new
evidence (Wills, 1976) or appeal (De Vaughn, 1971).

14. The program should be designed to encourage self-
evaluation (Wills, 1976; Greene, 1972).

15. The evaluation program should consider only those
variables that can be controlled.

16. There should be continuous feedback and meaningful
discussions of what is happening to ensure the
personal and professional emotional health of the
evaluatee and evaluator (De Vaughn, 1971; Greene,
1972; EACS, 1974).

17. An important part of the process is the willingness
to provide assistance to the person being evaluated

without emphasizing the negative (Greene, 1972).

Who Evaluates the Principal

When the problems and purpose and program have been resolved the next question is the determination of who is to be involved in the evaluation of the principal. Some writers name the superintendent or the "evaluator" as the person, along with the principal, who conducts the evaluation (De Vaughn, 1971; ASBJ, 1976), but a number of writers specifically make reference to the teacher or faculty as the people to be involved (Rosenberg, 1965 and 1974; Nicholson, 1972; Jacobson, 1973). Stemnock (1970) gives examples of collective agreements for teachers in Berea, Ohio and Aurora, Colorado which stipulate that teachers must evaluate their principals and other supervisors. Peebles (1973) describes a principal performance appraisal that involves six members of the PTA, the faculty grievance committee and delegates from the teachers' association in evaluating the principal.

Frequency of Evaluation

Having determined who evaluates, the next problem to be resolved is when such evaluation should be done. The frequency of principal assessment depends on (a) the size of the school system, (b) the prevailing conditions and attitudes of society, (c) the purposes of the assessment, and (d) the type of assessment being used (Ratsoy and others, 1977). The literature refers to the frequency of evaluation only sporadically. The ASBJ (1976) reports that principals

are evaluated twice a year in Chicago; Stemnock's examples
of collective agreements state that evaluations of the
principal are to be done annually, and De Vaughn (1971)
suggests regularly. The 1971 ERS study states that the most
common practise in school systems they surveyed was to evaluate
personnel annually. Ratsoy and others (1977) indicate that
the Calgary Roman Catholic Seperate School District intended
to evaluate its principals every three years.

Evaluation Criteria

The literature refers to three important areas in
the role of the principal that can be categorized. These
are (1) task and performance areas, (b) administrative skills,
and (c) supervisory functions (Ratsoy and others, 1977).

Task and performance areas. A number of writers have proposed
different categorizations of the task areas, varying in length:
Ellett (1974) and Nicholson (1972) list six task areas; Demeke
(1971) and Greene (1972) state seven; MASA (1971), EACS (1974)
and Graff and Street (Rosenberg, 1965) list eight; Rosenberg
(1965) lists nine; and Brick and Sanchis (1972) found eleven.
There is some commonality in most of these categories, but
Rosenberg's nine items seem to be most comprehensive:

        1. School organization
        2. Instructional program
        3. Relations with the students
        4. Relations with the other staff
        5. Relations with the community
        6. Relations with other units of the school system
        7. Plant and facilities
        8. Management matters
        9. School climate (Rosenberg, 1965, pp. 170-171).

Within each of these task areas there are many specific activities which could be identified as included in an assessment of the performance of an administrator of a specific school.

Another way the assessment of the principal may be approached is through the components of the administrative process. Again various writers have identified a number of process components in reference to the principalship. One example reported involves the following items:

1. Planning
2. Decision Making
3. Organizing
4. Coordinating
5. Communicating
6. Influencing
7. Evaluating (Ratsoy and others, 1977, pp. 24-25).

Specific criteria for each of these items are developed when assessing the administrator's effectiveness.

Administrative skills. Another way in which the role of the principal is defined and performance assessed is through the framework of administrative skills. Downey remarks on four of these skills. They relate to four specific roles which most effective administrators should be able to carry out:

1. an efficient business manager (technical-managerial skills),

2. an influential leader of people (human-managerial skills),

3. a knowledgeable developer of curriculum (technical-educational skills), and

4. a sensitive agent of organizational change and

improvement (speculative-creative skills),
(Ratsoy and others, 1977, p. 26).

Carnell refers to four performance definitions of the Ocean

View School District which are somewhat similar:

1. Management of the instructional program.
   A. Planning
   B. Decision making
   C. Efficiency
   D. Judgment
   E. Organization
   F. Initiative
   G. Ability to motivate
   H. Student productivity

2. Human relations
   A. Poise
   B. Tact
   C. Community relations
   D. Staff relations
   E. Staff-student relations
   F. Student relations
   G. Professional peer relations

3. Management of resources
   A. Physical building
   B. Grounds
   C. Budget management
   D. Staffing plan
   E. Specialists
   F. Consultants

4. General management performance
   A. Vitality
   B. Team loyalty
   C. Courage
   D. Flexibility
   E. Creativity
   F. Thoroughness
   G. Acceptance of responsibility
   H. Skill growth
   I. Problem solving
   J. Operates at the highest level possible
      (ability to delegate)
   K. Level of involvement in duties
   L. Significant accomplishments (Carnell, 1972,
      (pp. 32-33).

Carnell (1972) states further that no one form, instrument,

observation or technique could adequately fill the assessment

needs so that a conglomerate of multi-dimensional data is required to assess the position of principal.

Supervisory functions. Heavy involvement of administrators in educational supervision necessitates the development of criteria related to supervisory functions. Enns regards the following four functions as important for effective performance:

1. Staffing function
2. Motivation and stimulation function
3. Consultative function
4. Program development function (Enns, 1963, p. 28).

The specific evaluative criteria that comprise an assessment program are thus numerous, varied and complex. Although consideration must be given to a conceptual framework in organizing the criteria to be used, what has been emphasized in the literature is that those criteria which are selected should reflect the purposes of the school system which is evaluating.

Types of assessment

There are a number of different approaches to evaluating principals mentioned in the literature. Each approach has its strengths or limitations, some involve only the principal and others involve almost everyone he comes in contact with. The following types are the major ones identified in the literature.

The file. To determine an evaluation, the evaluator compiles a number of summaries, letters, clippings, etc. concerning the evaluatee (Pharis, 1973).

Self-evaluation. Also called self-assessment, it is a thoughtful

process, a painstaking examination of one's own performance

in order to form a basis for future action. It allows one to

evaluate one's achievement in terms of one's own concept of

satisfactory service rather than in terms of comparing one's

accomplishments with others. The evaluatee uses a predetermined

set of criteria or a specified instrument. The self-assessment

is thus easily accomplished and can be done frequently, especially

in conjunction with other methods. Some weakness arises from

a reluctance of the evaluatee to expose his perceived weakness,

from the fact that most competent and self assured individuals

tend to underestimate their achievement, and from the danger

that it could be used as a rating procedure in a kind of self-

indictment. Its use can be enhanced by using a feed-back

questionnaire with one's staff (Greene, 1972; Redfern, 1972;

EACS, 1974).

Check list. The check list form is usually made up of a number

of characteristics, traits, or functions. If this form is

too long it tends to cause guessing and conjecture. Its

main weakness is that it relies on evaluating personality

factors that are arbitrary or described in sweeping general-

izations whose interpretation is subjective (Greene, 1972;

1973; MASA, 1975).

Rating scale. A special type of checklist, sometimes called

"forced-choice rating" in which the evaluator must choose,

from two or more statements, the one that best describes the

evaluatee's behavior. This may be according to how frequently
a behavior is observed (e.g. Blake and Mouton's Managerial
Grid, Stogdill's Leader Behavior Description Questionnaire).
Some writers feel it is too simplistic. A more complicated
version of the process is the "forced-choice evaluation"
when four raters compare the principal with all of his peers
on given criteria with a five point scale. The scores are
computed into an objective judgment quotient which purports
to rate the individual's total performance (Armstrong, 1973;
Wills, 1976; Manatt and Blackmer).

Descriptive essay. The evaluator writes a narrative des-
cription of the administrator, discussing his strengths,
weaknesses and potential, with a subjective account of how
well the administrator has done his job. One disadvantage
lies with its frequently being overly centered on the
superior's point of view. Its validity rests on the extent
to which adequate performance data has been collected.

Conference. The evaluator discusses the evaluatee's per-
formance with him and suggest ways by which the administrator
might improve. It has the possibility of permitting a frank
interchange and, if done frequently, could remove surprises
and trauma from the assessment. It is more effective when
followed by a written report and could be used in combination
with other types (Knezevich, 1973; MASA, 1975).

Assessment by pupil progress. For this to be utilized the
objectives and standards of progress would have to be agreed

upon by the evaluator and the evaluatee, as would the techniques for assessing pupil progress. Then student progress would be assessed and plans for further action developed (Beall, 1972).

Instruments. A number of measurement instruments are mentioned in the literature. They are of various designs and uses. Examples of these are: Leader Behavior Description Questionnaire (Form XII) (LBDQ) developed by R. M. Stogdill in 1963, Principal's Performance Description Questionnaire (PPDS), and the Principal's Performance Indicator (PPI) developed by Kris Breckman.

Multiple measures. Carnell suggests that a conglomerate of multi-dimensional data should be collected in assessing a principal. He suggests six instruments be used: the LBDQ, the School Practices Consensus Instrument, the Semantic Differential Analysis, Hall's Adaptable Adjective Checklist, the Rokeach Dogmatism Scale, and the OCDQ (Organizational Climate Description Questionnaire) (Carnell, 1962). The literature also describes the team approach where a team of evaluators observes the principal and then involves the PTA, faculty grievance committee and teachers' association in his evaluation (Peebles, 1973). Another approach is the Field Review, where essay and graphic ratings by several evaluators are combined into a systematic review process (Wills, 1976).

Management by objectives. This assessment system is one in

which the managers of an organization and the evaluatee jointly
identify the common goals, define each individual's major
areas of responsibility in terms of results expected, and
use these measures as guides for operating and assessing the
contribution of each of its members. Castetter points out
a number of essential features of this approach; (1) it es-
tablishes the real value of the employee's contribution to
the cooperative effort of the organization, (2) both evaluator
and evaluatee must participate in the design, administration
and review of the evaluation, (3) the techniques used to
evaluate are incidental, depending on the setting, purpose,
etc., and (4) its main objectives are improvement of the
individual's performance and organizational self-renewal
(EACS, 1974; Castetter and Heisler, 1971).

Job targets. Also known as performance objectives, it is
an adaptation of the management by objective systems. The
evaluator and the evaluatee meet in conference to establish
short and long range goals. The evaluatee agrees to meet
specific job targets and the evaluator agrees to provide
the necessary support and resources for their accomplishment.
The evaluator assess the degree to which these specific job
targets have been achieved within a stated period of time.
Poliakoff outlines the process in four stages which he feels
should be applied to anyone regardless of tenure: (1) determine
policies, goals, expectations for each administrative unit,
(2) conference with the individual(s) concerned to priorize
goals, (3) develop a program of action (resources, support,

evaluation measures, schedules, appeal), and (4) evaluate.
Melton describes a five step process that is somewhat more
explicit: (1) identify full range of possible goals, (2)
settle on achievement targets, (3) establish performance
criteria, (4) get the job done, and (5) have the final
evaluation. Both processes imply a return to the first
step after the final evaluation conference. Melton warns
against relying totally on the use of evaluation instruments
as they fail to evaluate the principal's entire responsibility
(Melton, 1970; Poliakoff, 1973; OAESP, 1971; MASA, 1975).

<u>Critical incident approach</u>. Administrative behavior is
recorded at critical periods or when significant incidents
occur (Wills, 1976).

Regardless of the type of assessment used, the
literature emphasizes that the evaluator must consider
tailoring the approach to the specific needs of those re-
quiring the assessment, that the problem of evaluator bias
must be considered as much as the competence of the individual
being evaluated because no process is value-free, and that
there is a need to involve a number of people in the program
of evaluation, particularly those who are being evaluated.

II TRENDS IN EVALUATION

General Trends

Since the early 1920's there have been a number of
stages in the development of evaluation techniques for
personnel in education and industry. As Knezevich stated:

> Evaluation of instructional and administrative
> personnel has been pursued with varying degrees
> of diligence, objectivity and sophistication
> since the very first time specialized personnel
> and educational institutions joined the home
> and family in the instruction of children,
> adolescents and adults. As one looks at the
> historical records, evaluators change from
> ministers concerned about religious orthodoxy
> to lay board members to selected professionals
> in the hierarchy (Knezevich, 1973, p. 37).

Ratsoy (1977, p. 1) remarks that the literature
indicates four fairly distinct stages:

1. an emphasis on job evaluation and the analysis
of job components. This was basically an industrial concept
used in determing appropriate wage scales.

2. an evaluation of people rather than their jobs.
This "merit rating" concept has not found favour in educational
circles.

3. the use of psychological tests. This stage came
about as the results of studies in the behavioral sciences
were applied to the task of assessment. In addition to the
utilization of psychological testing this concept also

required the study of personality traits.

4. performance appraisal methods.   The realization
grew that improvements in performance were directly related
to improvements in management development with an emphasis
on "improved objective setting, coaching, and the commun-
ication and analysis of performance results" (Armstrong,
1973, p. 52).

Over the past fifty years there has been an evolution
in evaluation from the "futile attempts to find a simplistic
solution to a complex problem" (Armstrong, 1973, p. 52) toward
all encompassing, more comprehensive approaches. These approaches
focus not only on the nature of the job and its various factors
but also on the performance of the individual in that job.
The meaning of evaluation has changed from an emphasis on
academic or personality measurement to a judgment of the
congruence between performance objective and attainment
(Bergen, 1970).

Trends in the United States

Most of the literature on evaluation of principals
is based on American studies. But these indicate that the
peak of a growing interest in evaluation of administrators
(as opposed to evaluation of teachers) was reached in the
early 1970's. For example, writing in 1961 John Hemphill
decried the fact that very little research had been done on
the subject and that few school systems used formal
evaluation systems for principals (Rosenberg, 1965, p. 22).
But by the mid 1960's the evaluation of principals was being

suggested as a logical step to take (Rosenberg, 1965).
Circular No. 5 of the Educational Research Service (ERS) of
the National Education Association reported in 1964 that only
fifty plans for appraising administrative personnel could be
identified, and that some of these plans were quite informal
(Stemnock, 1971).

Poliakoff (1973, p. 39) states that by 1968 a growing
trend to evaluate school administrators was evident. Another
ERS survey in 1968 uncovered sixty-two programs of administrative
evaluation, 39.5 per cent of the total response in that survey.
By 1971 another ERS survey revealed eighty-four systems that
currently had formal evaluation procedures (usually voluntary)
for assessing the performance of administrative/supervisory
personnel. This represented 54.5 per cent of those who
responded. Eight more systems reported that they planned to
institute formal evaluation programs that year. Poliakoff
(1973, p. 39) has stated that by 1971 the trend had grown
large enough to expose a subtrend toward a particular type
of evaluation--the job targets approach, performance goals
procedure, and management by objectives.

Some writers began to take a closer look at the
evaluation process used and were critical of the format.
Typically a check list or rating scale had been devised and
these procedures and instruments were determined to be
inadequate and highly subjective (De Vaughn, 1971, p. 2).
Such procedures had basic weaknesses in that they relied on
the evaluation of personality factors, were too arbitrary

and in using them evaluators were insensitive to human needs
(Greene, 1971). Odiorne described these procedures as being
subject to "Halo" (marked too high) and "Horn" (marked too
low) effects. They were seen as focusing on "the principal
in action" rather than "the results of the principal's action"
(Brick and Sanchis, 1972), and they were concerned more about
process than outcome. Redfern (1973, p. 46) indicates that
rating scales and checklists emphasized the raters' biases
as heavily as the evaluatee's performance and doubted whether
they really motivated the one being evaluated.

Where some individual appraisal had occurred, there
had been little followup (De Vaughn, 1971). One problem was
that superintendents had not given sufficient attention and
time to the task of improving administrative performance on
the job. There was general agreement De Vaughn states, that
some school systems had hurriedly devised evaluation systems
either because of the legal implications of a court order
or due to the fear of being sued because of demotions.

Slowly, however, as the accountability movement of
the 1970's gathered steam, the evaluation of administrators
solely on the basis of personality characteristics (what he
is like), leadership style (how he works with others) and
administrative tasks (the kinds of functions he performs)
gave way to assessment based on a blending of responsibility
(role and job description) and accountability (achieving planned
outcomes) (Brick and Sanchis, 1972). General guidelines for
designing an adequate appraisal system were formulated, but

there was a recognition that no single appraisal design would fit the needs of all districts (Greene, 1971, p. 11).

Another trend that was occurring was greater participation of the evaluatee in aspects of his evaluation, and a focusing on the rights of the evaluatee as a professional entitled to due process and consideration (Ratsoy, 1977). Some systems applied evaluation of the principal towards merit pay schemes (Keim, 1975) that boosted salary as much as five per cent depending on points earned by the principal as a result of attaining agreed upon objectives.

In 1974 another ERS survey reported that there was a "trend to gradual increase in formal evaluation, greater use of performance objectives, more references to management by objectives, and an increase in state-mandated evaluation" (MASA, 1975, p. 20), the latter point congruent with a desire by school boards and the public alike for a greater degree of educator accountability.

Trends in Canada

Very little appropriate data on evaluation practices of principals in Canada are available. A survey of seventy-two school boards in major cities across Canada by Eugene Ratsoy and others (1977) received responses from forty-four boards. Eleven boards reported having formal assessment procedures, twenty-six reported having informal assessment procedures, and six reported having no form of assessment (though two of these claimed to be developing one). Those using formal procedures were about evenly divided between a

management by objectives approach and written reports on predetermined criteria.

Activity in Manitoba generally has been aimed at improvements in the process of teacher evaluation with the assumption that the principal, as a professional educator, should also be evaluated (Manitoba Teachers' Society, 1977, p. 55). Accountability in education has also found its way to this province with the result that the public in general, and the critics of education in particular, are calling for assessments of educational programs and educational personnel. The principal is the person responsible for the operational effectiveness of the school, therefore, he seems destined to become the focal point of accountability assessment schemes in this province.

III. ACCOUNTABILITY AND THE PRINCIPALSHIP

Accountability

Considerable agreement exists in the literature that the seventies has been a time in education when accountability has become the key word. Originally used in connection with connotations of fiscal responsibility, the term was expanded into the area of student achievement in the cognitive and affective performance (Nicholson, 1972). The reasons for the emphasis on accountability being introduced into education are not surprising. In the main they fall into a few basic categories.

School trustees in the United States and Canada, faced with rising costs of public education in a time of tight economic conditions, and hearing the clamour of the tax payer to maintain

or even reduce these costs, began to consider more carefully the manner in which their money was spent (Nicholson, 1972; Lessenger, 1971). In some cases accountability was foisted on to the school systems by legislatures which were themselves reacting to public cries of accountability (Gray, 1975) in a time of scarce resources.

Some writers, however, indicate that a contributing factor in the rise of educational accountability was the complexity of the school system itself. Barraclough (1973) states that it was a direct result of the increasing complexity of schools. Knezevich (1973) describes the school as a delivery system, and as such it must undergo consistent modification as its objectives change in response to societal needs. This is, he says, a normal state of affairs in a dynamic environment as alternatives are sought and it is essential that there be competent planning and priority setting so as to ensure rational decision making. He sees evaluation as a positive factor in personnel and organizational improvement. DeMont suggests "that the public system of education is under attack as never before for its inability to respond to pressing demands for change" (DeMont, 1975, p. 1).

Lessenger (1971) states that another cause for the stress on educational accountability is the erosion of professional authority, and he feels that accountability can help the school and its personnel to become more productive by being more effective. Nicholson (1972) suggests that

pressures to provide equality of education imply a systematic

evaluation system and Gray (1975) adds that such appraisal

should extend to all levels of the educational system from

board chairman to the non-professional staff.

Knezevich (1973) suggests that accountability and

appraisal go together. He sees a need for information

gathering to diagnose instructional problems, prescribe

supervisory or training methods that may solve them, and a

need to improve the system's ability to upgrade practitioner

performance. Bowen concurs with evaluation's key role in the

planning process and adds that the evaluation information

must be valid, reliable, timely and relevent to the issues

(Bowen, 1974, p. 69).

De Mont offers a popular definition of accountability

based on the notion that in any organization each person

is responsible for a particular function and this function

must be carried out adequately. Failure to achieve specified

goals and objectives should result in sanctions (De Mont,

1975, p. 2). Rosenberg (1971) states that evaluation is

nothing more nor less than an imperative in education. "Without

well-planned evaluation, everything in education becomes vague,

uncertain, subject to speculation, a matter of blindly stumbling

along and hoping all is well" (Rosenberg, 1971, p. 212).

Lessenger states simply that "accountability is

independent, unbiased review, feedback, and report of

effectiveness" (Lessenger, 1971, p. 8). A clear definition

is found in a pamphlet entitled Alternative Avenues to

<u>Educational Accountability</u>: educational accountability is

> "an assumption that those designing or implementing
> educational systems must become responsible
> for the results those systems produce in the
> intended learners. ...it requires that (the
> educator) produce evidence regarding the
> outcomes that have been produced in learners
> as a consequence of his instruction."
> (Prentice-Hall, nd).

The pamphlet describes three forms of educational accountability:

1. personal accountability, which is initiated by the individual. Due to its private and voluntary nature it encourages participation though this may also result in less competent personnel not participating fully.

2. professional accountability, which is initiated by the individual's colleagues and thus has an element of imposition. Its strength lies in its intraprofessional nature, but one weakness is that members of the professional group may be inclined to shield their less effective colleagues.

3. public accountability, which is the result of public demand. Its strength lies in the fact that full and open evidence is available to all regarding effective and ineffective instruction. On the other hand, the education profession might marshall sufficient resistance so as to make the accountability system ineffectual.

But the more conventional definition of accountability in public education is given by Meade (1968, p. 3) who states that "it is the holding responsible of someone or group for the success or failure of individual schools and pupils" and that the ingredients of accountability are measurements,

evaluations, and assessments.

The Focus on the Principal

There is no doubt in the minds of many writers as to where this assessment process should focus initially. Meade (1968) argues that the principal is the key person responsible for the product of the school organization, Channon (1967) states that he sets the tone for his school and Greene (1972) depicts him as the single most important determiner of educational climate in any school. Rosenberg (1965) feels that the principal's status and power make him the key to the ideology and organization of the group. The principal's importance, he states,

> "grows out of his role, functions and
> responsibilities. He is the recognized
> leader and manager. He is deeply involved
> in the basic phases of planning, organizing,
> motivating, guiding, coordinating, integrating,
> controlling..." (Rosenberg, 1965, p. 6).

He quotes Alexander and Saylor as saying that the skill with which the principal manages the school has much to do with its success as an educational institution. Many educators regard the principalship as the most strategic position in the entire educational system (Rosenberg, 1965, p. 10) so it is not surprising that many boards and superintendents feel the principalship is the logical starting point for initiating a formal system of accountability (Greene, 1972; Rentsch, 1976).

DeMont (1975) states that as the principal must be

the chief decision maker for the program, and as he has
authority and responsibility for goal setting, programming,
evaluating and refining, he is the primary accountability
agent. Heller (1975) confirms this and, with others
(Rosenberg, 1971; Beall, 1972), points out that no other
person in the school has such complete responsibility for the
instruction and supervision of the children. The improvement
of instruction and communication leads to better planning
and realization of worthwhile goals, states Peebles (1973),
and these are reasons for evaluating the principal. The
theme of improving principal competency so as to improve
school and teacher effectiveness is remarked upon by others
as well (Rosenberg, 1971; Redfern, 1972; Austin, 1972; Heller,
1975). Rosenberg (1973) sees an advantage for school boards
in such evaluation, though Demeke (1971) is pessimistic that
the typical principal of today can be remade into the competent,
successful principal of the future.

IV MOTIVATION AND THE PRINCIPAL

Self-Improvement

Even though the principal is the focus of account-
ability in the school system, it is probably unrealistic to
expect him to be competent in all areas. Any assessment
scheme adopted for accountability purposes by a school system
should take into account the need for the principal (among
others) to utilize any personal evaluation for purposes of
self-improvement. Becker points out the difficulties of a

principal who attempts to assess his performance:

> "Perhaps the most critical problem faced by
> the elementary school principal today is the
> general ambiguity of his position in the
> educational community. There is no viable,
> systematic rationale for the elementary school
> principalship to determine expectations for
> performance; no criteria exists through which
> performance can be measured.
> The principal must depend on matters discussed
> with him or for which he feels he may be held
> accountable to obtain the cues as to what is
> expected of him." (Becker, 1971, p. 4).

Carnell (1972) suggests that the principal may often be in a state of "systems overload" as he attempts to cope with concepts such as participative management, systems analysis, program budgeting and performance objectives that did not exist ten years ago. Jacobson (1973) reiterates the "systems overload" idea but suggests further that improving the quality and effectiveness of the school rests with the improvement of the professional and conscientious principal. Garrison and Hardin (1976) feel that the successful principal is willing to pay the price to become a better administrator each year.

The assessment process is seen by the writers as a vehicle for the improvement of the principal's competency, but it is suggested that it is necessary for such an assessment to be conducted in a positive climate. Goldman (1970) believes that principals, in conjunction with their administrative superiors, can establish attainable annual goals, and Carnell (1972, p. 32) warns that too often evaluation is considered a weapon of retribution instead of an instrument of improvement. To be successful it must be perceived as an

instrument of personal success, he adds. Demeke (1971) suggests that improvements to the principal's competence can only occur due to a voluntary change in his behaviour. The assessment procedure is recommended as the means to stimulate this self-development (MASA, 1974).

Evaluation and Job Satisfaction

In addition to stimulating self-development the evaluation of the principal has the possibility of being a useful tool in providing him with further job satisfaction and motivation towards excellence in his role. The literature suggests that achievement in the role of principal is affected in great measure by his job satisfaction. Factors which increase his job satisfaction then, have an effect on his state of mind, his performance and eventually on the school itself. Some writers (Beall, 1972; Bolles, 1967) suggest that principals reach their most inspired level of productivity when their work is more than a job --when they can see the significance of their contribution and feel they are part of a creative, problem solving team. Neff (1973, p. 140) points out that one of the important components of work behavior is its function in contributing to one's sense of identity. Though not specifically mentioned in the literature, there is an implied corollar, to these ideas. Should an evaluation be done poorly, or should it be perceived as very negative by the evaluatee, the result could be a lack of job satisfaction.

Job pressures cause stress and stress has a deteriorative effect on behavior that is noticeable in all aspects of per-

formance, of judgment and of relations with others (Cofer
and Appley, 1964). Brown (1976), in commenting on the job
satisfaction needs of principals, also indicates that principals
are under constant pressure. He broke down the need require-
ments of principals into five classes:

      1. job security.

      2. social.

      3. esteem--the opportunity to gain prestige.

      4. autonomy--the opportunity to develop goals and
procedures for the organization.

      5. self-actualization--the opportunity for personal
growth and development.

All of these needs have some possibility of attainment through
the use of an adequate evaluation system. Essentially such
an evaluation system would be one which involves close evaluatee-
evaluator communication and which is based upon performance
objectives rather than upon predetermined performance standards
with unilateral ratings by the principal's superiors (Redfern,
1972, p. 2). It is mutual goal-setting and the ability to
influence decisions and control the work environment, not
criticism, that improves performance (Cofer and Appley, 1964;
Vroom, 1964).

      Beall concludes that the most effective plan for
evaluating principals will emphasize evaluation as a tool for
helping the principal gain deeper satisfaction from contributions
to the improvement of learning. He suggests further that an
assessment of student progress provides the information most

likely to help the principal realize the significance of the contribution (Beall, 1973, p. 38). Schmidt employs Herzberg's Two Factor Motivation theory to state that principals indicate that recognition, achievement, and advancement are major forces in motivating them to their maximum performance potential. He concludes:

> Encouragement and support for administrators who desire to be creative, to experiment with new educational programs, and to delve into different educational endeavors are needed to allow more opportunities for achievement.
> A concerted effort on the part of boards of education and upper echelon administrators to recognize continuously and publicly applaud successful job performances by administrators in all aspects of the administrative strata and educational setting is essential (Schmidt, 1976, p. 81).

Other Motivational Aspects

Some writers (Goldman, 1970; Coats, 1975) indicate that an evaluation of the principal should be considered in setting up a merit rating scheme (such as the Kalamazoo Plan) based on job performance, or at least in judging the principal's effectiveness so as to give an account to the different publics concerned (Culbertson, 1971). Goldman (1970) indicates that some rewards will have to be provided as incentives to encourage performance, but he is reluctant to go so far as to rank the principals being evaluated. Hemphill (1962) takes the approach that it is the task of a profession to establish a pattern of values by which each practitioner can evaluate himself and improve his skills. An Ohio Association of Elementary School Principals self-

study committee set three goals for appraisal of the principal:

1. To assist them in developing sensitivity to their competencies.

2. To identify general areas in behavior, adequacies, and skills in which improvements are needed.

3. To develop realistic job targets, both short and long range, to assist the professional growth of individual principals (OAESP, 1971, p. 2).

Rosenberg (1971) remarks that certain values grow out of an evaluation that provides the principal with a clear and reliable analysis of the level of his administrative effectiveness. Not only does such evaluation result in better inservice training strategies, but it also has a long range beneficial effect on the professionalization of principals (Rosenberg, 1973).

V RESEARCH FINDINGS TO DATE

In the United States, the Educational Research Service of the National Education Association has been carrying on a periodic survey of procedures used in evaluating the performance of administrators and supervisors in local school systems. Their first survey, produced in 1964 (ERS, Circular No. 5) identified fifty plans for appraising administrative personnel (and some of these plans were quite informal). In 1968 a survey of all systems enrolling 25,000 or more pupils, and a selected group of thirty-one smaller systems uncovered sixty-two programs (30.5 per cent of

respondents) of administrative evaluation.

The 1971 ERS Survey

In 1971, when the survey was conducted by questionnaire, it was limited to systems enrolling 25,000 or more pupils. Eighty per cent of these districts responded, revealing eighty-four systems which currently had formal procedures (54.5 per cent of respondents). The replies indicated that the larger the school system, as determined by enrolment, the more likely it was to have an evaluation program. The details of the response role is given in Table I.

TABLE I

DISTRICTS WITH FORMAL METHODS OF EVALUATING

ADMINISTRATIVE PERFORMANCE*

Enrolment Stratum	No. with Formal Methods	Per Cent Of Respondents
1 (100,000 or more)	18	78.3
2 (50,000 - 99,999)	26	52.0
3 (25,000 - 49,999)	40	49.4
TOTAL	84	54.5

* Source: ERS, Evaluating Administrative/Supervisory Performance, No. 6, p. 1.

Probationary period. An inquiry as to whether administrative and supervisory personnel were required to serve a probationary period indicated that of the eighty-four systems that had formal evaluation procedures, fifty (about 60 per cent) required such a period and thirty of these had it set at three years.

The full information is summarized in Table II.

The survey reported that although a number of replies indicated that administrative and supervisory personnel in many states achieved tenure as a teacher, the survey lacked authoritative information on the provision of tenure as administrators.

TABLE II

SUMMARY OF PROBATIONARY PERIODS
FOR ADMINISTRATIVE/SUPERVISORY PERSONNEL*

Probationary Period?	Number of Responding Systems			
	Stratum 1 (>100,000)	Stratum 2 (50,000-99,999)	Stratum 3 (25,000-49,999)	Totals
YES 1 year	-	1	3	4
2 years	3	-	5	8
3 years	7	13	10	30
Varies	3	1	3	7
No reply	-	-	1	1
NO	4	9	17	30
NO REPLY	1	2	1	4
Totals	18	26	40	84

*Source: ERS, Evaluating Administrative/Supervisory Performance, No. 6, Table A.

Purposes of evaluation. The responses from the ERS questionnaire indicated that in educational circles administrative evaluations were seldom used to make salary determination. The purposes

of evaluation that the respondents believed actually were used (as opposed to ideally should be used) are shown in Table III.

TABLE III

PURPOSES OF EVALUATION AS REPORTED BY RESPONDENTS*

Purposes	No. of Systems Reporting
Identify areas needing improvement	77
Assess present performance in accordance with prescribed standards	70
Establish evidence for dismissal	60
Help evaluatee establish relevant performance goals	60
Have records to determine qualifications for promotion	55
Determine qualifications for permanent status	35
Determine qualifications for salary increments (regular)	9
Comply with board policy	8
Determine qualifications for merit pay	3
Comply with state law/regulation	3
Point out strengths	2

*Source: ERS, Evaluating Administrative/Supervisory Performance, No. 6, p. 3.

Frequency of evaluation. The ERS Study examined the number

of systems evaluating principals (as opposed to all administrative staff) either on probation or with permanent status. The frequency of the evaluation for principals reported is given in Table IV.

TABLE IV
FREQUENCY OF EVALUATION OF PRINCIPALS[a]

STATUS OF PRINCIPAL	FREQUENCY[b]			
	Semi Annual	Annual	2 yrs	3 yrs
PROBATIONARY	1	2	-	-
PERMANENT	-	2	1	1

a/ Source: ERS, Evaluating Administrative/Supervisory Performance, No. 6, Table B.
b/ Number of school systems in U.S.A. which reported evaluation of the principal.

Evaluation procedures. The prevailing evaluation procedures used in the respondent school systems could be grouped into two general types; (1) those which assessed the evaluatee against prescribed performance standards (indicators of character, skill, and performance which had been chosen as standards against which all personnel in a similar position would be assessed), and (2) procedures which were based on individual job targets or performance goals, against which each evaluatee would be rated as to degree of accomplishment or each goal (management by objectives approach). A breakdown of these general types by enrolment stratum is given in Table V.

TABLE V

EVALUATION TYPES BY ENROLMENT STRATUM*

Type	Stratum 1 (>100,000)	Stratum 2 (50,000- 99,999)	Stratum 3 (25,000- 49,999)	Total
Performance Standards	18	21	26	65
Job Targets	-	5	14	19

*Source: ERS, Evaluating Administrative/Supervisory Performance, No. 6.

The smaller the enrolment stratum the more likely it was that a job targets procedure would be utilized.

The survey stated that despite the difficulty in developing and implementing a job targets procedure, a growing number of systems were adopting it in one form or another--twenty-one systems (25 per cent) in the 1971 survey, as compared with eight systems (13 per cent) in the 1968 study, and only one system in 1964.

The characteristics of the eighty-four evaluation procedures reported are given in Table VI.

A Canadian Survey

In the fall of 1976, in an effort to gain some information on Canadian practises, Ratsoy and others (1977) conducted a limited survey of seventy-two school boards representing all provinces. Those boards having formal assessment procedures for principals were requested to explain the rationale underlying their program, the procedures followed and instruments used.
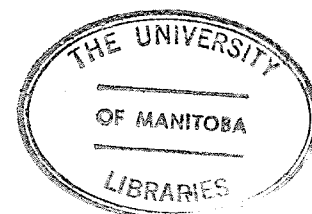
TABLE VI

SUMMARY: CHARACTERISTICS OF EIGHTY-FOUR ADMINISTRATIVE/SUPERVISORY
EVALUATION PROCEDURES IN THE U.S.A.

Characteristics	Number and percent of systems reporting			
	Stratum 1 (>100,000)	Stratum 2 (50,000-99,999)	Stratum 3 (25,000-49,999)	Totals
Use form which calls for rating on a prescribed Scale against performance standards	15	16	23	54
Use form which calls for rating against individual job targets	-	5	14	19
Use narrative form (providing space for evaluator's comments only)	3	6	9	18
No form is used	1	3	4	8
Self evaluation is required	2	7	12	21
Conference is held with evaluatee before evaluation period begins	6	10	17	33
Conference(s) is/are held during evaluation period	13	14	23	50
Post-evaluation conference is held with evaluatee	14	22[a]	35	71

TABLE VI (Continued)

Characteristics	Number and percent of systems reporting			
	Stratum 1 (>100,000)	Stratum 2 (50,000- 99,999)	Stratum 3 (25,000- 49,999)	Totals
Evaluation is automatically reviewed by third party	10	17	27	54
Evaluatee receives copy of completed evaluation	14	21 a/	27	62
Evaluatee is shown, but may not keep, copy of completed evaluation	2	3	8	13
Evaluatee signs evaluation form	13 b/	22	34	69
Evaluatee's signature does not signify that he concurs with the evaluation	13	19	30	62
Evaluatee may file dissenting statement (on form or separately) if he does not concur	13	21	25	59
Evaluatee may request conference with his evaluator's supervisor if he does not concur	17	24	32	73

a/ In one system, applied only if rating is unsatisfactory.

b/ In one system, applied only to probationary employees.

*Source: ERS, Evaluating Administrative/Supervisory Performance, No. 6, p. 7, Table D.

Forty-four boards (61 per cent) responded. Six
school boards (14 per cent) reported having no form of assess-
ment, twenty-six boards (59 per cent) reported having informal
assessment procedures, and eleven boards (25 per cent of
respondents) reported having formal assessment procedures.
Two of those with no procedures and ten of those with informal
procedures indicated they were in the process of developing
formal programs.

The types of assessment used in Canada vary, according
to Ratsoy. Of the boards that reported having formal assess-
ment, five are utilizing a form of written report based on
pre-determined criteria, four report using a type of management
by objectives program, one board reported using a job-targets
method and one reported using a rating scale. Information
from their survey indicated that some school boards appeared
to be moving toward formal assessment procedures for their
principals.

No mention was made of any specific provincial re-
quirements for principal evaluation as such in any Canadian
province (although some form of teacher evaluation seemed
to be mandated for British Columbia). All but one school
board indicated that the underlying rationale for principal
assessment was to foster personal and professional growth
and to improve the quality of education. There was also a
general tendency for all assessment programs to provide for
discussion with the principal after the initial assessment
stage, the feedback from the principal usually included as

part of the final written report.

VI THE APPRAISAL MODEL

There are a number of evaluation model approaches
in education. Steele (1973) lists six groupings of approaches
and describes the appraisal model which appears to be the most
adequate design in evaluating the school principal. This
model emphasizes professional judgement made by an expert
or team which examines data, forms conclusions and makes
recommendations. Appraisal is defined as "an act of judgment
in which the judging implies both a criterion--a standard of
some sort--and a pertinent description of what's being done"
(Steele, 1973, p. 135). It involves the following activities:

1. Specifying the purpose of the appraisal.
2. Determining who will serve as the appraisers.
3. Establishing the purpose of the activity being
   appraised.
4. Selecting or developing a set of criteria.
5. Identifying the aspect(s) that will be evaluated.
6. Recognizing and understanding the implications of
   the assumptions that are being made when the
   activity's aspects and criteria are chosen.
7. Amplifying the criteria so that they become a
   detailed statement of the kinds of observations
   that need to be made.
8. Developing a plan of action for making the
   observations (getting data).
9. Developing, modifying, selecting, and using
   techniques of observation.
10. Determining the number of observations and
    procedures for increasing validity, reliability,
    and objectivity.
11. Recording, interpreting and summarizing the
    observations.
12. Establishing bases to which the observations can
    be related (that is, selecting norms and standards
    as a base for interpretation).
13. Making the conclusions of the appraisal known
    (Steele, 1973, pp. 135-136).

Steele emphasizes that the evaluation criteria are

value laden and thus determined by the particular situation
and personnel involved. Since they postulate values that
should be achieved they "must be consistent with the educational
philosophy that's being followed" (Steele, 1973, p. 136).
The strength of the appraisal model lies in its blending of
judgments and conclusions of people with systematically
produced data.

The appraisal model, then, appears to meet most ad-
equately the needs and requirements for the assessment of
principals in their roles. It has the capability of focusing
on the principal so as to facilitate self-improvement in a
climate that has within it opportunities for motivation and
job satisfaction. It also provides for a framework that can
accommodate the many specific requirements of a comprehensive
evaluation procedure. Such requirements include the purpose
of the evaluation, who is to be involved in the evaluation,
how frequently the evaluation will occur, the instrumentation
that may be used, and the scope of the evaluation.

When this model is considered, along with the composite
list of seventeen suggestions for those who wish to implement
principal assessment programs, it is possible to design a
workable program that does indeed meet the specific needs of
a school system while maintaining a common, basically formative,
approach that is more universally applicable across the
province.

CHAPTER III

METHODOLOGY

I. INSTRUMENTATION

The approach used in this study for both groups was
the collection of data by questionnaire. The writer concluded
that whereas all superintendents would necessarily have to
be contacted to ensure a reasonable number of responses, as
well as to identify those divisions with formal evaluation
policies, it would only be necessary to contact a selected
sample of principals given the large number of schools
involved.

The questionnaire used in both surveys consisted of
a series of questions and multiple-choice answers with the
opportunity in some cases for the respondent to add to the
response or to explain his reason for selecting an answer.
The format of the questionnaires used was adaptation of a
survey distributed in the United States in May, 1971 by the
Education Research Service of the National Educational
Association.

The superintendents' questionnaire consisted of four
pages. After being asked to identify themselves, the name of
their division/district and the size of its student population,
ten questions were asked. If the superintendent indicated

that a formal method for periodically evaluating the performance of principals was used in his division, he was directed to answer the remaining nine questions. If there were no formal procedures, the superintendent was asked to answer only the last two questions, numbers 9 and 10.

The principals' questionnaire, consisting of three pages, was essentially the same questionnaire as the superintendents' except for the deletion of any identification other than the name of the school division, the rewording of some questions so that they related more appropriately to a principal respondent, and the deletion of one question regarding the procedures that would apply in the dismissal of a principal. This questionnaire had been pilot tested on several Manitoba principals in the summer of 1977 to ensure clarity of meaning and appropriateness to the Manitoba scene before distribution.

II. COLLECTION OF DATA

The data for this study were collected by questionnaire in three stages. The first stage involved the mailing on September 30, 1977 of the initial "Evaluation of Principals" questionnaire (Appendix B) to the forty-eight superintendents at their school division/district addresses along with a covering letter (Appendix A) describing the purpose of the study, the importance of a response, and a self-addressed stamped envelope for the return of responses. This was done in order to ascertain which divisions had formal evaluation policies.

In the second stage of this study a follow-up letter (Appendix C) was mailed on October 31, 1977 to all superintendents who had not responded to the initial questionnaire after a lapse of one month. This follow-up letter remarked on the percentage returns to date, the importance of a good response and a reminder of the confidentiality of the responses. A second self-addressed stamped envelope was provided for return of the questionnaire whether it had been completed or not.

After a further lapse of one month a list of those divisions stating that they practised formal principal evaluation procedures was compiled. The names and addresses of all the principals and schools in these fourteen divisions were obtained from the Media forms of the Department of Education via the Manitoba Teachers' Society. Every fourth school was selected from each of the fourteen divisions and a less extensive questionnaire (Appendix D) entitled "Evaluation of Principals--B" was mailed to the principals along with a covering letter (Appendix E) dated December 1, 1977 and a self-addressed, stamped envelope. The covering letter explained the purpose of the study and ensured the confidentiality of the responses. The final date for acceptance of the principals' questionnaires for tabulation was January, 1978.

III. DESCRIPTION OF THE SAMPLE

Two groups were used for this study. The first group consisted of all the superintendents of Manitoba's forty-seven school divisions as well as the school district of Mystery Lake. From the forty-six replies it was learned that in the

majority of divisions in the province superintendents stated
that they did not have any formal procedures for evaluating
public school principals. Table VII shows the superintendent
responses.

TABLE VII

RESPONSES TO MANITOBA SUPERINTENDENTS' QUESTIONNAIRE

DIVISIONS/DISTRICT SURVEYED	RESPONSES (%)	WITH FORMAL EVALUATION (%)	WITHOUT FORMAL EVALUATION (%)
48	46 (95.83)	14 (30.43)	32 (69.57)

For comparison purposes the fourteen divisions indicating
they had formal principal evaluation procedures were divided
into three groups, or stratum, based on the size of the student
enrolment. The number and percentage of divisions in Manitoba
which fell into these three groups, as well as those which
indicated they had formal principal evaluation procedures, are
found in Table VIII.

The second group was chosen by selecting the name
of every fourth school from an alphabetical list of the schools
in each of those divisions whose superintendents, in response
to the initial questionnaire, indicated that they had formal
evaluation procedures for principals in their divisions.
The principals of these sixty-seven schools (21.27 per cent
of all the schools in fourteen divisions) were mailed
questionnaires. Fifty-six (83.58 per cent) were returned.

TABLE VIII

DIVISION/DISTRICT RESPONSES BY ENROLMENT STRATUM

SHOWING THE NUMBER WITH FORMAL EVALUATION PROCEDURES

FOR PRINCIPALS

ENROLMENT STRATUM	RESPONDENT DIVISIONS/DISTRICT IN MANITOBA (% of respondents)	RESPONDENTS WITH EVALUATION PROCEDURES (% of divisions in that Stratum
STRATUM 1 (>5500 students)	10 (21.74)	7 (70)
STRATUM 2 (2000-5500 students)	20 (43.48)	4 (20)
STRATUM 3 (<2000 students)	16 (34.78)	3 (18.75)
TOTAL	46 a/	14

a/ Two divisions (one from each of Stratum one and two)which
   did not respond to the questionnaire are omitted from
   these numbers.

Table IX contains this breakdown of these fifty-six responses

by enrolment stratum and also indicates the number of principals

who thought that formal evaluation procedures for principals

existed in their division. The strata categories are the same

as for Table VIII.

Almost one third (32.14 per cent) of the total re-

spondents were not aware that their division, as indicated

by the superintendent, had a formal evaluation policy. The

largest unaware group was found in the smallest divisions

(66.67 per cent) while the largest aware group was in the

middle stratum (75 per cent), closely followed by the principals

TABLE IX

RESPONSES OF PRINCIPALS TO QUESTIONNAIRE ON FORMAL

EVALUATION PROCEDURES, BY ENROLMENT STRATUM*

	STRATUM 1 (%) (>5500)	STRATUM 2 (%) (2000-5500)	STRATUM 3 (%) (<2000)	TOTAL
No. of questionnaires sent	48	10	9	67
Responses				
YES	30 (71.43)	6 (75.00)	2 (33.33	38 (67.86)
NO	12 (28.57)	2 (25.00)	4 (66.67)	18 (32.14)
TOTAL	42	8	6	56
Response percentage	90.48	80.00	66.67	83.58

* From fourteen Manitoba school divisions with formal evaluation procedures.

in the largest divisions, (71.43 per cent). One might expect

the communication of evaluation policies to be most easily trans-

mitted in a smaller division where there were fewer people to

be contacted, however, the results indicated that the larger

divisions had been more successful in communicating the policy

to their principals. Even so, it is worthy of note that, at

best, one of every four principals in the sample was not aware

that he was being formally evaluated by the superintendent.

IV. STATISTICAL PROCEDURE

The statistical procedure used in this study con-

sisted of a tabulation of the responses to each of the questions

asked. These responses were converted into percentage scores

(where appropriate) of the total return and placed in a series

of tables for comparison and analysis.

CHAPTER IV

DATA PRESENTATION AND ANALYSIS

The purpose of this study was to determine the state
of principal evaluation in school divisions in Manitoba. A
survey of superintendents and principals was employed in an
attempt to answer the following questions:

      1. How many school divisions in Manitoba use a formal
evaluation procedure for principals?
      2. What evaluation instruments are used?
      3. What are the formal evaluation procedures?
      4. Who is involved in the evaluation of principals?
      5. In the opinion of the respondents are the procedures
in use meeting the needs of the school division?
      6. Are those evaluating, and being evaluated, satisfied
with the evaluation procedure?
      7. What effect has this evaluation procedure had on
the follow up procedures used with principals in the division?

In presenting the data from both surveys (ie. super-
intendents and principals) the writer has chosen to group the
responses to similar questions asked of both groups so that
they may more readily be compared.

Use of Probationary Periods

Superintendents and principals were asked to indicate
if probationary periods were used in their divisions when
principals were hired. In Table X responses are classified
according to the enrolment stratum as defined in Chapter III
(see Table VIII). The responses were differentiated according
to the length of the probationary period where one existed.

TABLE X

RESPONSES OF SUPERINTENDENTS AND PRINCIPALS INDICATING PERCEPTIONS
OF PROBATIONARY PERIODS FOR PRINCIPALS

(BY ENROLMENT STRATUM)

	SUPERINTENDENTS				PRINCIPALS			
	STRATUM			TOTAL	STRATUM			TOTAL
	1 (>5500)	2 (2000-5500)	3 (<2000)	(%)	1 (>5500)	2 (2000-5500)	3 (<2000)	%
YES								
1 year	1	1	–	2 (14.29)	–	1	–	1 (2.63)
2 years	1	1	–	2 (14.29)	10	1	1	12 (31.58)
No reply	–	–	1	1 (7.14)	3	–	–	3 (7.90)
No	4	2	1	7 (50.0)	17	3	1	21 (55.26)
No reply	1	–	1	2 (14.29)	–	1	–	1 (2.63)
TOTALS	7	4	3	14	30	6	2	38

Although five (35.71 per cent) of the superintendents
indicated there were probationary periods in use in their
divisions only four were specific about how long these periods
were. The use of probationary periods does not appear to be
prevalent. Some superintendents indicated that since principals
did not have tenure in their positions the use of a probationary
period was unnecessary. Others suggested that, without tenure
as a principal, every year was a probationary period.

Sixteen principals (42.11 per cent) who responded
perceived probationary periods to be in use. This perception
could be due, in part, to confusion with the traditional two
year period of probation that applies to all new teachers in
Manitoba divisions prior to their being granted tenure. In no
stratum group did more than half of either principals or super-
intendents perceive probationary periods for principals to be
in effect. The highest percentage of superintendents who did
so occurred in stratum two, in contrast to the principals in
that group who perceived this least of all principal groups.

Frequency of Evaluation

Superintendents and principals were asked to indicate
the frequency with which principals were evaluated during their
probationary period and/or subsequent to having attained per-
manent status. The responses were tabulated according to enrol-
ment stratum and may be found in Table XI. The majority of
superintendent and principal respondents indicate there is no
probationary period for principals. Of those who think there

TABLE XI

SUPERINTENDENTS AND PRINCIPALS PERCEPTIONS OF THE FREQUENCY
OF EVALUATION OF PRINCIPALS

STRATUM	DURING PROBATIONARY PERIOD OF THE PRINCIPAL						FOR PRINCIPALS WITH PERMANENT STATUS									
	ANNUAL		OTHER		NONE		ANNUAL		2 years		3 years		OTHER		NONE	
	S.	P.	S.	P.	S.	P.	S.	P.	S.	P.	S.	P.	S.	P.	S.	P.
1 (>5500)	2	7	-	6	5	17	3	11	1	-	2	-	1$^{a/}$	13$^{c/}$	-	6
2 (2000-5500)	2	2	-	1	2	3	3	3	-	1	1	-	-	2	-	-
3 (<2000)	1	1	-	-	2	1	1	1	1	1	-	-	1$^{b/}$	-	-	-
TOTAL	5	10	-	7	9	21	7	15	2	2	3	-	2	15	-	6

a/ Respondent indicated evaluation is done continuously
b/ Respondent indicated evaluation is not done on a regular basis.
c/ Most respondents indicated the usual period was every five years.

is one the majority indicate evaluation of the principal occurs
annually.

Many more respondents understood principals to be
evaluated after having attained permanent status. All super-
intendents indicated that principals were evaluated while on
permanent status yet six stratum one principals thought that
no evaluation procedure existed. A number of stratum one prin-
cipals indicated a five year period was used in evaluating
principals. Superintendents also remarked that evaluation
of principals was either continuous or irregular. Although
the stratum one principals' responses tended to agree with those
of their superintendents, some differences are noteable. None
of these principals were of the opinion that two and three-
year evaluation periods existed. Many of them felt they were
evaluated on an annual basis. The use of five year periods
seemed to be understood by many stratum one principals as
well.

In stratum two and three, the responses of super-
intendents tended to vary only slightly from that of the
principals.

Purposes of Evaluation

Superintendents and principals were asked to indicate
the purposes of principal evaluation used by their divisions.
Their responses are found in Table XII. Though there were a
number of differences in the opinions of both groups there was
general agreement on the three most popular purposes. The three
purposes selected by more than three-quarters of the super-

intendents and about half of the principals were (1) to identify
areas in which improvement is needed, (2) to help the evaluatee
establish relevant performance goals, and (3) to assess the
evaluatee's present performance in accordance with prescribed
standards.

It would appear from the responses that the most con-
sistent purposes for which evaluation of principals was done
were those associated with the identification of areas of improve-
ment so that a program of improvement can be devised and put
into effect. And yet the superintendents' responses also
indicated that half of the divisions considered principal
evaluation useful for gathering evidence in the dismissal of
principals when necessary. This purpose was not as readily
recognized by the principals and fewer than a quarter of them
selected it. There was more consensus between the two groups
regarding the evaluation of principals for management purposes
such as promotion. When all eleven purposes are considered,
both groups were similar in the order in which they ranked them.

Differences between the various strata were not par-
ticularly striking. All strata groups tended to concur with
the selection of the first four purposes of principal evaluation
as listed in Table XII. Stratum one and two superintendents,
and stratum one principals also selected purpose five in the
list (ie. having records of performance to determine qualific-
ations for promotion). Some principals in all strata considered
that compliance with board policy was a purpose for principal

TABLE XII

PURPOSES OF PRINCIPAL EVALUATION AS IDENTIFIED BY SUPERINTENDENTS AND PRINCIPALS, BY
ENROLMENT STRATUM

| PURPOSES | SUPERINTENDENTS | | | |
| | STRATUM | | | TOTAL a/ RESPONDENTS |
	1 (> 5500)	2 (2000- 5500)	3 (< 2000)	(%)
1. To identify areas in which improvement is needed.	7	4	2	13 (92.86)
2. To help the evaluatee establish relevant performance goals.	7	2	3	12 (85.71)
3. To assess the evaluatee's present performance in accordance with prescribed standards.	5	4	2	11 (78.57)
4. To establish evidence where dismissal from service is an issue.	2	3	2	7 (50.00)
5. To have records of performance to determine qualifications for promotion.	3	1	–	4 (28.57)
6. To determine qualifications for permanent status.	1	–	2	3 (21.43)
7. As part of a professional development program.	1	–	–	1 (7.14)
8. To comply with board policy.	1	–	–	1 (7.14)
9. For personnel management reasons.	–	1	–	1 (7.14)
10. Basis for superintendent's report to the board re assessment of principal.	–	–	–	
11. In declining enrolment to determine who is to be demoted				

(Continued)

69

TABLE XII (Continued)

PURPOSES	PRINCIPALS			
	STRATUM			TOTAL a/ RESPONDENTS (%)
	1 (> 5000)	2 (2000- 5500)	3 (< 2000)	
1. To identify areas in which improvement is needed.	22	5	2	29 (51.79)
2. To help the evaluatee establish relevant performance goals.	23	4	–	27 (48.21)
3. To assess the evaluatee's present performance in accordance with prescribed standards.	19	4	1	24 (42.86)
4. To establish evidence where dismissal from service is an issue.	11	1	1	13 (23.21)
5. To have records of performance to determine qualifications for promotion.	15	–	–	15 (26.79)
6. To determine qualifications for permanent status.	7	–	–	7 (12.50)
7. As part of a professional development program.	–	–	–	
8. To comply with board policy.	4	2	1	7 (12.50)
9. For personnel management reasons.	–	–	–	
10. Basis for superintendent's report to the board re assessment of principal.	1	–	–	1 (1.79)
11. In declining enrolment to determine who is to be demoted.	1	–	–	1 (1.79)

a/ Percentages do not add up to 100 per cent as respondents could choose more than one answer. The percentage indicates the number of respondents who selected that alternative.

evaluation whereas only a single stratum one superintendent
did.

Only a single stratum two superintendent selected
personnel management reasons as a purpose. No superintendents
and only a single principal from stratum one selected the
following: forming a basis for the superintendent's report
to the board, and determining who is to be demoted due to
declining enrolment.

Evaluation Procedures Used

Superintendents were asked to include a copy of the
forms used to evaluate principals and a description of the
procedure followed. An analysis of the forms and procedures
used in the fourteen divisions which indicated that principals
were formally evaluated was based upon three basic criteria:

1. the source of input used in compiling the final
evaluation. This could be from a unilateral evaluator, self-
evaluation, team evaluation, etc.

2. the degree to which the evaluation procedures used
facilitate improved performance of the principal, such as
using post-evaluation conferences, goal-setting, etc.

3. A combination of the above two, that is, the degree
to which the evaluatee is a participant in the evaluation
process.

The procedures used fall into two broad general types--
those which assess the principal against prescribed performance
standards (ie. indicators of character, skill and performance

which have been chosen as standards), and procedures which
are based on individual job targets or performance goals,
against which each principal will be evaluated as to degree
of accomplishment of each goal. This is simply the management
by objectives approach. Each of these two broad general types
has within it a number of variations which, when considered
together, fit into a kind of continuum of procedures.

Table XIII outlines the various procedures within these
two general types and indicates the number of divisions in
Manitoba utilizing each type. The data indicated that there
were divisions involved in all types of procedures used. There
was, however, a preponderance of divisions utilizing unilateral
evaluation by an evaluator and a post evaluation conference
between the evaluator and principal to discuss the rating
received, with possible input from the teaching staff as part
of the narrative report (see procedure 3, Table XIII). All
divisions utilizing performance standard procedure 3 generally
allowed a more open approach to the principal's response.
Copies of the report were provided to the principal, the filing
of dissenting statements was permitted and conferences with
the evaluator's superior were possible.

There was a second, somewhat smaller, clustering of
responses under the performance standard type at procedure 5
as listed in Table XIII. This procedure had the principal
rate himself, the evaluator rate the principal with both ratings
being discussed in conference before the evaluator submitted
the final report. Another small clustering occurred at

TABLE XII

EVALUATION PROCEDURES IN USE BY MANITOBA DIVISIONS

NUMBER OF DIVISIONS INVOLVED	DESCRIPTION OF PROCEDURE	DETAILS OF PROCEDURE				
		Principal signs form	Principal receives copy of form	Evaluation is auto- matically reviewed	Principal may file dissenting statement	Principal may request conference with eval- uator's superior.
1	A. PERFORMANCE STANDARDS 1. Unilateral evaluation by evaluator. Formal letter sent to princi- pal who has the option of discussing it with the superintendent.	–	1	–	–	–
1	2. Unilateral evaluation by evaluator. Pre and post conference; principal rates him- self; narrative report results.	1	1	–	1	1
6	3. Unilateral evaluation by evaluator. Post evaluation conference between evaluator and principal to discuss rating received; may involve input from teaching staff as part of narrative report.	5	6	1	6	6

TABLE XIII

(CONTINUED)

1	4. Evaluator and principal agree on major areas of responsibility for principal. Evaluator rates principal on his performance in each major area; post-evaluation conference is held to discuss what is to be reported.	–	1	–	–	–
2	5. The principal rates himself and the evaluator rates the principal, both are discussed in conference. Evaluator submits the final report.	1	1	–	–	–
2	B. JOB PERFORMANCE GOALS 6. The evaluator and the principal, in conference, establish mutually agreed upon performance goals for the principal within his major areas of responsibility. A self-evaluation is required. The evaluator rates the principal on his accomplishment of performance goals; conference is held during and/or after evaluation is completed to discuss the evaluation. The principal may attach his comments.	2	2	–	2	1

(Continued)

TABLE XII (CONTINUED)

1	7. As for #6, except that the principal completes a self evaluation and evaluation is also done by a team which consults with other individuals including principal's peers and/ or staff before completing the evaluation	-	1	-	-	-
14	TOTALS	9	13	1	9	8

procedure 6, a job performance goal type of procedure. It included pre-conferencing, establishing mutually agreed upon goals and, after the rating had been done, holding a post-conference. It also made provision for a self-evaluation and allowed for the principal to attach his comments on the final report.

It is evident from the data that most Manitoba evaluation procedures regarding principals tended to centralize on this continuum of procedures with few divisions selecting procedures that are found at the extremes. It may seem that for a division to move from procedure three to procedure six would not be particularly difficult to do administratively. To accomplish this, however, requires a change in a division's basic orientation and philosophy regarding the evaluation of principals. It means moving from a summative approach to evaluation towards the adoption of more formative objectives.

One might conclude that such changes occur as a division becomes more experienced with principal evaluation and as the fears associated with evaluation are laid to rest by a number of satisfactory experiences on the part of both evaluator and evaluatee. The result could be a shifting from the performance standard type procedures to those of job performance goals.

In Table XIV further breakdown of the data in Table XIII was obtained by indicating the procedure types preferred by the divisions in each enrolment stratum.

TABLE XIV

FREQUENCY OF EVALUATION PROCEDURES USED BY DIVISIONS IN EACH

ENROLMENT STRATUM

GENERAL TYPE	PROCEDURE[a/]	STRATUM 1 (>5500)	STRATUM 2 (2000-5500)	STRATUM 3 (<2000)	TOTAL (%)
A. Performance Standards	1	-	-	-	1 (7.14)
	2	-	-	1	1 (7.14)
	3	3	3	-	6 (42.86)
	4	1	-	-	1 (7.14)
	5	-	-	2	2 (14.29)
B. Job Performance Goals	6	2	-	-	2 (14.29)
	7	1	-	-	1 (7.14)

a/ See Table XIII for complete description of each procedure.

As stated earlier, the two general evaluation types may be considered to compose a "summative-formative" continuum of procedures as described in Table XIII. In examining the disposition of the divisions in each stratum the differences are noted. Three divisions, all of them from stratum one, were using procedures of the job performance type. The adoption of these evaluation procedures may be due to the necessity of superintendents of larger divisions having to cope with evaluating a larger number of principals. It may also be due to the level of expertise in evaluation theory and technique possessed by these superintendents and/or their principals.

In stratum two and three the procedures used were of the performance standard type with, somewhat surprisingly, two of the stratum three divisions being closer to job performance goal procedures than the divisions in stratum two.

Characteristics of Evaluation Procedures

The responses of superintendents and principals regarding the characteristics of the evaluation procedures are reported in Table XV. The data have been tabulated to indicate the number of divisions that use each of these procedures (by enrolment stratum) as perceived by the superintendents and principals. In examining this data one can see that all but one division (in stratum two) make use of various rating or narrative forms. It is also interesting to note the extent to which some practises were not part of the evaluation procedure in spite of the support of the literature

TABLE XV

CHARACTERISTICS OF EVALUATION PROCEDURES REPORTED BY SUPERINTENDENTS AND PRINCIPALS IN FOURTEEN SCHOOL DIVISIONS IN MANITOBA

CHARACTERISTICS	NUMBER OF RESPONDENTS REPORTING						TOTAL		PERCENT OF RESPONDENTS	
	STRATUM 1 (>5500)		STRATUM 2 (2000-5000)		STRATUM 3 (<2000)					
	SUPT.	PRINC.	SUPT.	PRINC.	SUPT.	PRINC.	SUPT.	PRINC.	SUPT.	PRINC.
a. Use form which calls for rating on a prescribed scale against performance standards.	4	10	1	1	1	–	6	11	42.86	19.64
b. Use form which calls for rating against individual job targets.	6	12	1	3	1	–	8	15	57.14	26.79
c. Use narrative form providing space for evaluator's comments only.	4	12	2	4	1	2	7	18	50.00	32.14
d. No form is used.	–	–	1	–	–	–	1	–	7.14	–
e. Self evaluation is required.	4	12	2	3	2	1	8	16	57.14	28.57
f. Conference is held with evaluatee before evaluation period begins.	6	20	2	3	2	–	10	23	71.43	41.07
g. Conference(s) is/are held during evaluation period.	5	17	3	2	1	–	9	19	64.29	33.93
h. Post-evaluation conference is held with evaluatee.	5	25	3	5	3	1	11	31	78.57	55.36

(CONTINUED)

TABLE XV
(CONTINUED)

i. Evaluation is automatically reviewed by a third party.	2	3	–	–	–		2	3	14.29	5.36
j. Evaluatee receives a copy of the completed evaluation.	7	16	3	6	2	2	12	34	85.71	60.71
k. Evaluatee is shown, but may not keep, a copy of the completed evaluation.	–	1	–	–	–	–	–	1	–	1.79
l. Evaluatee signs evaluation form.	4	5	3	5	2	2	9	12	64.29	21.43
m. Evaluatee's signature <u>does not</u> signify that he concurs with the evaluation.	4	5	3	3	2	1	9	9	64.29	16.07
n. Evaluatee may file a dissenting statement if he does not concur.	5	8	3	2	1	2	9	12	64.29	21.43
o. Evaluatee may request conference with his evaluator's supervisor if he does not concur.	4	11	3	3	1	1	8	15	57.14	26.79
Total number of respondents	7	42	4	8	3	6	14	56	--	--

for such practises. Only fifty-seven per cent of superintendents (and twenty-nine per cent of principals) indicated a self-evaluation is required; only seventy-one per cent of superintendents (and forty-one per cent) of principals indicate a pre-conference is used with the evaluatee; and seventy-nine per cent of superintendents (and fifty-five per cent of principals) held post-evaluation conferences. The evaluatee's receiving of a copy of the completed evaluation was reported by eighty-six per cent of the superintendents but by only sixty-one per cent of the principals. Only sixty-four per cent of superintendents and twenty-one per cent of principals noted that the evaluatee may file a dissenting statement; only fifty-seven per cent of principals stated that the evaluatee could request a conference with the evaluator's superior as a route of appeal.

The superintendents' responses did indicate something of a tendency towards more formative evaluation procedures, however. The characteristics which received support from a majority of the divisions' superintendents were:

1. Using a form which calls for rating against individual job targets.

2. Requiring a self-evaluation.

3. Holding a pre-conference with the evaluatee.

4. Holding conferences during the evaluation period.

5. Holding a post-conference with the evaluatee.

6. Evaluatee receiving a copy of the completed evaluation.

7. Evaluatee signing the evaluation form.

8. The evaluatee's signature not signifying concurrence with the evaluation.

9. The evaluatee's option of filing a dissenting statement.

10. The evaluatee's requesting a conference with the evaluator's superior.

Two major aspects of these characteristics are the involvement of the evaluatee in his own evaluation, and an emphasis on continued communication during the evaluation process. These two aspects, if emphasized as part of a division's evaluation procedure, might assist in the removal of apprehension and misunderstanding of the evaluatee with the evaluation process.

One of the more startling aspects of Table XIV was the apparent existence of a serious difference of opinion between superintendents and their principals regarding the characteristics of the evaluation procedures in use by their divisions. In every case but one (evaluatee is shown, but may not keep, a copy of the completed evaluation) the percentage of principals who related which procedural characteristics were used by their divisions was considerably below that of the superintendents. This was particularly noticeable in stratum one and three divisions and less so in stratum two. One striking example from stratum one will serve to illustrate this. Whereas all super- intendents in this stratum indicated that the evaluatee re- ceived a copy of the completed evaluation only twenty-six out

of forty-two principals (61.90 per cent) concurred.

Consideration of these differences of perception between superintendents and principals, and between strata, lead one to speculate as to possible causes such as:

1. In some school divisions the relative newness of the evaluation procedure may mean all the details have not been made familiar to principals.

2. Where principals have been informed regarding the procedure this information may have tended to be in verbal rather than in written form resulting in some distortion of perception.

3. In very large (ie. stratum one) divisions many principals may not as yet have had an opportunity to be evaluated and therefore may be unfamiliar with the procedure.

4. Somewhat smaller divisions (ie. stratum two) may be a more ideal size for superintendents to operate effectively an evaluation procedure.

5. The commitment of superintendents to the application of adequate principal evaluation procedures may vary among strata and divisions within a stratum. This commitment could be a direct result of a superintendent's (or the principals under him) level of knowledge and expertise in evaluation philosophy and technique.

6. Poor communication from superintendent to principals could have resulted in false impressions and a lack of understanding on the part of principals.

Tenure As a Principal

Table XVI indicates that the superintendents were unanimous in stating that principals in their divisions did not obtain tenure as principals. This was confirmed by all the principal responses from stratum two and three divisions, however, it is interesting to note that five principals (16.67 per cent of the responses) from stratum one divisions understood that tenure as a principal was achieved after two years. This tenure was described as that of a principal generally in four cases, and of a specific school in one case. It seems that some clarification is needed in these divisions to correct the principals' false impressions and adds further confirmation to the existence of communication problems.

Grievance Procedures

Both superintendents and principals were asked to indicate whether principals were covered by a formal, written grievance procedure and to select a description that applied to their division's procedure. The data are found in Table XVII.

There appeared to be general agreement among both superintendent and principal respondents that principals were covered by the standard grievance procedure covering all professional personnel in their division. There were a few exceptions to this view, mainly among principals, which may indicate misconceptions on their part.

Procedures in Dismissal of a Principal

Superintendents were asked to explain what procedures

TABLE XVI

SUPERINTENDENTS AND PRINCIPALS RESPONSES

REGARDING TENURE AS A PRINCIPAL

TENURE RECEIVED?	SUPERINTENDENTS			PRINCIPALS		
	STRATUM 1 (>5500)	STRATUM 2 (2000-5500)	STRATUM 3 (<2000)	STRATUM 1 (>5500)	STRATUM 2 (2000-5500)	STRATUM 3 (<2000)
NO	7	4	3	25	6	2
YES As a principal generally	-	-	-	4	-	-
In a particular school	-	-	-	1	-	-

TABLE XVII

FORMAL·WRITTEN GRIEVANCE PROCEDURES AS PERCEIVED BY SUPERINTENDENTS AND

PRINCIPALS IN FOURTEEN MANITOBA DIVISIONS

PROCEDURE	STRATUM 1 (>5500)		STRATUM 2 (2000-5500)		STRATUM 3 (<2000)		TOTAL	
	SUPT.	PRINC.	SUPT.	PRINC.	SUPT.	PRINC.	SUPT.	PRINC.
a. Principals are covered by their own grievance procedure in our school system.	-	-	1	-	-	-	1	-
b. Principals are covered by a grievance procedure which covers all professional personnel in our school system.	7	21	3	4	1	1	11	26
c. Principals are covered by a grievance procedure which covers all school employees.	-	2	-	-	-	-	-	2
d. Principals are covered by the teachers' grievance procedure but only involving teachers.	-	-	-	-	-	-	-	-
e. Principals are not covered by any grievance procedure in our school system.	-	3	1	2	-	1	1	6
f. No response.	-	5	-	1	2	-	2	6
TOTAL	7	31[a]	5[b]	7[c]	3	3[d]	-	-

a/ One respondent chose both b and c.   c/ One respondent chose both b and c.

b/ One respondent chose both a and b.   d/ One respondent chose both b and d.

or guidelines would apply in the dismissal of a principal.
Their responses are listed by enrolment stratum in Appendix
F. Some of these responses indicated the use of a conference
with the principal after informing him of the possibility of
dismissal or the existence of a problem area. This approach
is in keeping with a more formative means of resolving the
problem and in some divisions, would appear to include assistance
of some form to the principal in overcoming the difficulties.
In a couple of instances, usually in responses from superin-
tendents in stratum one and three, there was a hint of a more
summative approach with a suggestion that immediate compliance
was expected with little regard for discussion. The procedure
in these cases seemed to rise quickly to a crisis situation
in which the board became involved without any planned re-
mediation steps. One superintendent reported that he "would
meet principal, recommend changes, if these are not carried
through, report made to the board, who would make decision
of retaining as principal or not."

Satisfaction with the Procedure

Superintendents and principals were asked to indicate
whether they felt that their division's needs were being met
by the evaluation procedures in use and to comment if they
felt they were not. Their responses are found in Table XVIII
and the comments are in Appendix G.

TABLE XVIII

SATISFACTION OF SUPERINTENDENTS AND PRINCIPALS
THAT PRINCIPAL EVALUATION PROCEDURE IS MEETING THE
NEEDS OF THE DIVISION

RESPONDENT	STRATUM 1 (> 5500)		STRATUM 2 (2000-5500)		STRATUM 3 (< 2000)		TOTAL (%)	
	YES	NO	YES	NO	YES	NO	YES	NO
Superintendent	3	4	3	1	3	-	9 (64.29)	5 (35.71)
Principal a/	16	10	4	2	2	-	22 (64.71	12 (35.29)

a/ Four principals in stratum one chose not to respond.

Two points are worthy of note. First, there was a
high degree of agreement between the two groups (64.29 per cent
of superintendents and 64.71 per cent of principals) as to
whether or not the division's needs were being met. Second,
more than a third of each group (35.71 per cent of superintendents
and 35.29 per cent of principals) were not satisfied that the
division's needs were being met, particularly in the larger
stratum one school divisions.

Comments from superintendents indicated that they felt
that a further "refinement of instrument and additional procedures"
was necessary. Though principals' comments tended to support
the concept of principal evaluation in general, some principals
felt there was still room for improvement as many procedures
were in their infancy or had not been well articulated as yet.
Some principals feel that the evaluation did not result in
sufficient "suggestions for improvement coupled with follow-
up and...assistance" and were suspicious that "there are no

standards set down by the division against which one can base
one's self-evaluation, therefore, it one is honest and 'self-
searching' this is possibly an area that is pounced upon and
held against the principal."

Such elements of suspicion and distrust of the evaluator
may be aggravated by a lack of understanding of the intent of
the process and the procedures to be followed in the evaluation.
In most cases it would seem that the procedures had not been
used long enough to adequately formulate knowledgeable opinions
in evaluatees so that their responses tended to be quite sub-
jective.

Perceptions of Principals' Satisfaction

Both superintendents and principals were asked to in-
dicate how they felt their division's evaluation process was
accepted by principals. The results are found in Table XIX.

TABLE XIX

SUPERINTENDENTS' AND PRINCIPALS' PERCEPTION OF
PRINCIPALS' SATISFACTION WITH DIVISION'S EVALUATION PROCEDURE

RESPONDENT	STRATUM 1 (>5500)		STRATUM 2 (2000-5500)		STRATUM 3 (<2000)		TOTAL (%)	
	YES	NO	YES	NO	YES	NO	YES	NO
Superintendents	4	3	4	–	2	1	10(71.43)	4(28.57)
Principals a/	17	8	4	2	2	0	23(69.70)	10(30.30)

a/ Five principals chose not to respond.

Once again there was general agreement from both groups

that about thirty per cent of principals are not pleased with their division's procedures. Comments of the respondents are found in Appendix H. It seems that where principals had been actively involved in the development of the evaluation policy there was more acceptance of it.

A stratum one principal who agreed principals were satisfied that the division's procedure was meeting their needs indicated that "principals have been very involved in both the development, implementation and evaluation of the policy and procedures." Others could see areas of improvement required as they complained that "no overall objectives agreed to; no allowances for individual performance" or that the evaluation "does not reflect all things a principal does."

The need for a personal and individual aspect to the evaluation was evident in one principal's hope "to see the superintendent visit the school and at first hand observe the day to day operation of the school and its working environment." Another principal was concerned that his superiors did not know him as a person and how well he worked at his task. This lack of "direct supervision by the superintendent's department" leads some principals to feel that "there is a lack of knowledge" concerning their evaluation and "a lot of 'wool-pulling' by certain types."

Conclusion

An attempt to determine the state of principal evaluation in school divisions in Manitoba was made by surveying all superintendents in the province and a sample of principals in

fourteen school divisions where formal evaluation procedures
for principals were in effect.   The data were tabulated in a
series of tables usually based on a grouping of the divisions
into three enrolment strata.   The tables were analyzed and
the following findings resulted:

1. Only fourteen divisions in Manitoba (29.17 per cent
of those surveyed) were found to utilize formal evaluation
procedures for principals.   A higher proportion of stratum
one divisions (70 per cent) were found to have formal evaluation
procedures than those divisions in stratum two (20 per cent)
or stratum three (18.75 per cent).

2. Within these fourteen divisions a number of principals
in stratum one (28.57 per cent), stratum two (25 per cent) and
stratum three (66.67 per cent) were unaware that formal evaluation
procedures for principals existed in their divisions.

3. The use of probationary periods for principals did
not appear to be prevalent.   Only 35.71 per cent of superintendents
and 42.11 per cent of principals thought they were in use.
Some misunderstanding may be due to the fact that principals
are not granted tenure as principals but may be granted tenure
as teachers in a division.

4. One half of the superintendents and more than a third
(39.47 per cent) of the principals indicated that principals
were evaluated annually.   Many principals and one superintendent
noted that five year intervals usually occurred between
evaluations of a principal.

5. More than three-quarters of the superintendents and

about half of the principals agreed on the following purposes

for evaluating principals: to identify the areas in which

improvement is needed, to help the evaluatee establish relevant

job performance goals, and to assess present performance in

accordance with prescribed standards. More superintendents

(50 per cent) than principals (23.21 per cent) saw evaluation

as a means of establishing evidence where dismissal from service

is an issue.

6. The evaluation procedures used by divisions fall into

two general types--those using performance standards and those

using job performance goals. Most divisions utilize three of

the seven sub-categories within these types, namely procedures

three, five, and six as described in Table XIII. Larger divisions

are more likely to be using the more formative procedures found

in the job performance goal type though an exception was noted

with a couple of the smaller divisions.

7. Few of the number of characteristics associated with

the evaluation procedures in use by Manitoba divisions received

overwhelming acceptance by superintendents, and none did by

principals. Superintendents did, however, respond positively

towards utilizing a pre-evaluation conference with the evaluatee,

holding a post-evaluation conference with the evaluatee, and the

evaluatee receiving a copy of his evaluation. A number of

other characteristics received support from a majority of the

divisions' superintendents. The most noteable fact revealed

by the responses was the lack of understanding of the pro-

cedures used in their divisions by the principals. This was

particularly true of the principals from strata one and three leading one to conclude that a communication problem existed between superintendents and their principals on this topic.

8. No superintendents indicated that tenure was granted to principals in their positions yet some stratum one principals (16.67 per cent of them) thought that it was, indicating an apparent communication problem.

9. The only grievance procedure recognized in the divisions surveyed was that which covered all professional personnel in the school system.

10. The procedures reported by superintendents as used in dismissing a principal generally reflected the division's commitment to either the summative or the formative approach to evaluating principals.

11. The extent to which superintendents and principals agreed as to whether the division's needs were met by its particular evaluation procedure was similar. But a large part of both groups (nearly 35 per cent) felt that these needs are not being met.

12. There was concurrence between superintendents and principals perceptions as to whether principals' were satisfied with their division's evaluation procedure. An even larger number of superintendents (71.43 per cent) and principals (69.70 per cent) felt that principals were satisfied with their division's evaluation procedure.

CHAPTER V

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

I. SUMMARY

Purpose

The principal, as the key to the operational effective-
ness of a school, is coming under increasing scrutiny as more
attention is placed on accountability in education. In Manitoba
this attention will likely be increasingly translated into
evaluation of principal effectiveness since accountability
and appraisal go together. This study was conducted to deter-
mine the state of principal evaluation in school divisions in
Manitoba. It attempted to determine the criteria upon which
the evaluation of principals in Manitoba was based, the common
features found in evaluation of principals across the province,
what the formal evaluation procedures were, who was involved
in the evaluation, what follow-up there was to the evaluation
and whether the procedures used were meeting the needs of the
divisions or were found satisfying to the principals being
evaluated.

Methodology

A survey was conducted in the fall of 1977. A response
of 95.83 per cent to questionnaires which had been sent to all
superintendents of school divisions and the school district

86

of Mystery Lake in Manitoba determined that fourteen divisions had formal evaluation procedures for principals. One in every four principals from these fourteen divisions was selected to receive a second questionnaire. By December of 1977, responses had been received from 83.58 per cent of the principals surveyed.

The division responses were grouped by enrolment size into three strata: stratum one divisions contained more than 5500 students, stratum two divisions contained from 2000 to 5500 students, stratum three divisions had less than 2000 students. Data from the various responses were presented in a series of tables for comparison and analysis.

II. FINDINGS

1. Only fourteen (29.17 per cent) of the forty-eight school divisions/district surveyed reported utilizing formal evaluation procedures for principals. Fifty per cent of these responses were from the larger stratum one divisions, 28.57 per cent were from stratum two divisions, and 21.43 per cent were from stratum three divisions. A higher portion of the stratum one divisions (70 per cent) had formal principal evaluation procedures compared to divisions in strata two (20 per cent) or three (18.75 per cent).

2. A large number of principals in stratum one (28.57 per cent), stratum two (25 per cent) and stratum three (66.67 per cent) were unaware that formal evaluation procedures for principals existed in their divisions.

3. Thirty-five decimal seventy-one per cent of the superintendents but 42.11 per cent of the principals stated that probationary periods were used for principals in their divisions.

4. Fifty per cent of superintendents and fewer (39.47 per cent) principals indicated that principals were evaluated annually. A few stratum one respondents indicated five year intervals occurred between evaluations.

5. More than seventy-five per cent of the superintendents and more than forty per cent of principals identified the following purposes in use for evaluating principals in their divisions:

a) To identify areas in which improvement is needed.

b) To help the evaluatee establish relevant performance goals.

c) To assess the evaluatee's present performance in accordance with prescribed standards.

Only half of the superintendents and even fewer (23.21 per cent) principals indicated that establishing evidence where dismissal from service was an issue was a purpose of evaluating. Twenty-six decimal seventy-nine per cent of the principals and 28.57 per cent of the superintendents saw evaluation useful for having records of performance to determine qualifications for promotion.

6. The majority of school divisions (85.71 per cent) were using performance standards type procedures than job performance goal type procedures. Within these types, procedures tended to cluster into three of seven possible sub-categories.

The larger divisions were using the more formative job performance goal procedures though a few small divisions also were in this category.

7. Characteristics identified by more than sixty per cent of the superintendents as part of their division's evaluation procedure were:

a) conference held with evaluatee before evaluation period begins.

b) Conference(s) is/are held during evaluation period.

c) Post-evaluation conference held with evaluatee.

d) Evaluatee receives a copy of the completed evaluation.

e) Evaluatee signs evaluation form.

f) Signature does not signify concurrance with the evaluation.

g) Evaluatee may file a dissenting statement.

8. Strata one and three principals in particular were much less knowledgeable about their division's evaluation procedures than were their superintendents.

9. Contrary to the superintendents, 16.67 per cent of the stratum one principals believed that tenure was granted to principals as principals.

10. No grievance procedures, other than those provided to all professional personnel, were provided for principals.

11. Procedures for dismissal of a principal reflected

a division's commitment to either the summative or the formative approach to evaluation.

12. Sixty-four decimal twenty-nine per cent of the superintendents and 64.71 per cent of the principals agreed that the division's needs were being met by its evaluation procedure.

13. Seventy-one decimal forty-three per cent of the superintendents and 69.70 per cent of the principals stated that the principals were satisfied with their divisions's evaluation procedure.

III. CONCLUSIONS

Too few divisions presently have formal evaluation procedures, appearing to rely on informal procedures or perhaps none at all. Considering the present concern of the public regarding accountability principals, as professional educators, and superintendents, as persons accountable to school boards for the overall quality of educational personnel in the division, should be establishing regular and formative procedures which provide feed back for improvement of the person in the key role of principal.

A number of evaluation instruments are used by divisions with formal evaluation procedures. Through an examination of these instruments and the procedures which superintendents stated were practised one can conclude that larger divisions are more likely to be using the more formative job performance goal procedures. It may be, however, that one important

variable is the level of expertise and development of the
superintendent rather than size of the division.

Generally it is the superintendent who is the
evaluator in the procedure followed although in the practice
of job performance goal procedures some divisions allow for
the involvement of a principal's colleagues if he wishes.

Most of the principal and superintendent respondents
stated that the needs of the divisions appear to be met by the
procedures in use. They also stated that principals are
satisfied with these procedures. Yet many principals are
unaware of the existence or the details of the procedures used
to evaluate them in their divisions. It would appear that
where such procedures exist a greater effort must be made to
clarify them to the principals affected.

Where evaluation procedures do exist a natural evolution
for divisions would be to consider ways to make the procedures
more open, formative and comprehensive. Components such as
staff and self-evaluation should be considered as well as the
mutual development of suitable criteria for the evaluation
by the superintendent and principals.

If the principal evaluation procedures used are going
to be effective, they must not only contain procedural elements
which are administratively sound, but they must be recognized
and understood by the participants, particularly the evaluatees.
A commitment to particular procedures comes from involvement
in the development of them and, subsequently, adequate comm-
unication of the process and its possible consequences

especially in the remedial aspects.

There are great differences in the understanding of the post evaluation procedures between principals and superintendents. Many principals are unaware of opportunities to see a copy of the completed evaluation, that if the evaluatee signs the final evaluation form this does not signify concurrence with it, and that the evaluatee may request a conference with the evaluator's supervisor.

Elements of suspicion occur in an evaluation process where the evaluatee has not had an adequate involvement in its development so that the components and objectives are not clearly understood. If, however, the objectives of the evaluation are basically to identify areas where improvement is needed and to set relevant performance goals, and if this is done in a climate of support that ensures adequate professional development for the principal who requires it, then there is more likelihood that the evaluation procedure will be seen by more principals as a helpful tool rather than a means of retribution.

IV. IMPLICATIONS

The findings of this study suggest several implications for principals, superintendents, the Manitoba Association of Principals, the Manitoba Association of School Superintendents, the Manitoba Teachers' Society, school divisions and further research.

1. _Principals_. The need for esteem, autonomy and self-

actualization, and a recognition that one is part of a creative-
problem solving team may be resolved through an adequate, com-
prehensive and formative evaluation of principal procedure.
In divisions where such do not exist principals should encourage
their adoption. In divisions where procedures do exist,
principals should become aware of the characteristics of
these procedures.

2. MAP and MASS. The Manitoba Association of Principals
and the Manitoba Association of School Superintendents share
a common interest in evaluating principals. Workshops on a
divisional level, with the superintendent and all principals
participating, should be encouraged by these two groups. Such
workshops would be useful in clarifying and agreeing upon the
procedures and criteria to be used in evaluating principals.
Efforts should be made among superintendents and principals
groups to educate themselves about the possible types and
procedures which could be used in evaluating principals.

3. The Manitoba Teachers' Society. In its concern for
the development of teacher evaluation policies in the various
divisions and districts within the province of Manitoba the
Society would be well advised not to neglect the area of
principal evaluation, particularly in the aspects which
differentiate it from the evaluation of regular classroom
teachers.

4. School Divisions. Perceptions of the evaluation
procedures between superintendents and principals vary con-

siderably. Divisions which have adopted formal procedures
would do well to put them in writing and make them available
to all principals in order to remove some of the principals'
misconceptions. Self-assessment, staff assessment, documentation,
who is to evaluate, the frequency of the evaluation, the nature
of remediation and the grievance procedures possible should
be built into the evaluation procedure. Consideration should
also be given to the appraisal model by those divisions con-
sidering the development of a formal evaluation procedure for
principals.

V. RECOMMENDATIONS FOR FURTHER RESEARCH

After a suitable passage of time a replication of this
study might be undertaken to determine the progress made in
Manitoba divisions towards the establishment of formal evaluation
procedures, or the perception of these procedures by
principals.

A study might be done of the informal methods used
by superintendents in Manitoba to evaluate principals to
determine what these are, whether they are meeting the division's
needs and whether principals are satisfied with them.

A similar study could be made of the procedures used
to evaluate superintendents, a group of educators who are also
in the accountability limelight.

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APPENDIX A

Box 717,
The Pas, Manitoba.
R9A 1K7

77 09 30

Dear Superintendent;

It would seem that procedures used to evaluate the principal's
performance would be important to his/her professional growth
and personal satisfaction. I am carrying out research to
determine what methods are used to evaluate principals in
school divisions in Manitoba. In this endeavour, I would
greatly appreciate about fifteen minutes of your time.

Enclosed you will find a questionnaire entitled "Evaluation
of Principals". Please complete it or forward it to the
appropriate person in charge of principal evaluation in your
division. For your convenience I have enclosed a return envelope
addressed to me with postage paid.

Your response is very important as the sample I am using (the
school divisions of Manitoba) is somewhat limited. I would
like the results to be of some use to such groups as the Manitoba
Association of Principals, the Manitoba Teachers' Society,
the Manitoba Association of School Superintendents and the
Department of Educational Administration at the University
of Manitoba. For you anticipated assistance, I sincerely
thank you.

Yours truly,

Vaughn Wadelius

Enclos.

APPENDIX B

October, 1977   EVALUATION OF PRINCIPALS

SCHOOL Division_____No._____

Mailing Address_____

Name and Title of Respondent_____

Student population of your division_____

---

1. Does your school division have a <u>formal</u> method for periodically evaluating the performance of principals?

<p align="center">NO ☐   YES ☐</p>

If NO, please indicate above, complete question 1 (a), 9 and 10, then return this questionnaire.
If YES, please complete the remainder of the questionnaire and attach the documents requested.

(a) If you use <u>informal</u> methods of evaluating the principals in your division, please explain how this occurs:

_____

_____

_____

_____

_____

_____

2. Must principals serve a probationary period?

NO ☐   YES ☐   , for a _____-year period.

3. How frequently are principals evaluated:

DURING PROBATION?_____

THEREAFTER?_____

<p align="center">MORE_____⟶</p>

4. Which of the following practices are included in your evaluation procedures? CHECK ALL THAT APPLY.

_____a. Use form which calls for rating in terms of a prescribed scale.

_____b. Use form which calls for specific performance objectives.

_____c. Use narrative form (provi.ding space for evaluator's comments only).

_____d. Self-evaluation is REQUIRED.

_____e. Conference on the upcoming evaluation is held before the evaluation period begins.

_____f. Informal evaluator-evaluatee "conferences" are held during the evaluation process.

_____g. Conference is held after evaluation is completed.

_____h. Evaluation is automatically reviewed by someone other than the original evaluator.

_____i. The evaluatee receives a copy of the completed evaluation for his files.

_____j. The evaluatee is shown, but may not keep, a copy of the evaluation.

_____k. The evaluatee signs the evaluation form.

_____l. The evaluatee's signature does not signify that he concurs with the assessment.

_____m. If he is not satisfied with the assessment, the evaluatee may file a dissenting statement, which is appended to the evaluation form.

_____n. The evaluatee may request a conference with the evaluatee's superior if he is not satisfied with the evaluation.

5. For what purposes do you evaluate principals? (In the list below, please check each purpose for which, in your experience, evaluations have actually been applied in your division-- NOT the purposes for which evaluations ideally should be used).

_____a. To assess the evaluatee's present performance goals.

_____b. To help the evaluatee establish relevant performance goals.

_____c. To identify areas in which imrovement is needed.

_____d. To determine qualifications for permanent status.

_____e. To have records of performance to determine qualifications for promotion.

_____f. To establish evidence where dismissal from service is an issue.

MORE————————————————→

_____g. Other, eg., salary increments, compliance with board policy, (please specify):_____

_____

_____

_____

6. Do principals in your division achieve tenure as a principal (as opposed to tenure as a teacher)?

   NO ☐   YES ☐   , after a _____-year period.

   If YES, is this: (CHECK ALL THAT APPLY)

   _____as a principal generally (as opposed to a specific principal position)?

   _____as a principal in a specific position (eg., tenure as principal of a specific school)?

   _____other (please explain)_____

   _____

   _____

7. Are principals covered by a formal, written grievance procedure? CHECK THE ONE THAT APPLIES.

   _____a. Principals are covered by their own grievance procedure in our school system.

   _____b. Principals are covered by a grievance procedure which covers all professional personnel in our school system.

   _____c. Principals are covered by a grievance procedure which covers all school employees.

   _____d. Principals are covered by the teachers' grievance procedure but only in grievances involving teachers.

   _____e. Principals are not covered by any grievance procedure in our school system.

8. Regardless of your answer to #7, please explain what procedures would apply in the dismissal of a principal, or enclose written guidelines. (Use additional sheets if necessary).

   _____

   _____

   _____

MORE————————————————————>

9. Are you satisfied that the principal evaluation procedure
   your division uses is meeting the needs of your division?

   NO ☐   YES ☐   If NO, please comment: _____

   _____

   _____

   _____

10. Do you feel your principals are satisfied with your
    division's principal evaluation procedures?

    NO ☐   YES ☐   If NO, please comment:_____

    _____

    _____

    _____

   PLEASE ATTACH A COPY OF THE FORMS AND INSTRUCTIONS

   USED IN YOUR PROGRAM OF EVALUATION OF PRINCIPALS.

   IF NO FORMS ARE USED, CHECK HERE. ☐

   RETURN ONE COPY OF THIS QUESTIONNAIRE, TOGETHER WITH

   THE MATERIALS REQUESTED, TO:

                     VAUGHN WADELIUS
                     EVALUATION RESEARCH
                     BOX 717
                     THE PAS, MANITOBA
                     R9A 1K7

   THANK YOU FOR YOUR COOPERATION.

APPENDIX C

Box 717
The Pas, Manitoba
R9A 1K7

77 10 31

Dear Superintendent;

One month ago I mailed you a questionnaire entitled "Evaluation
of Principals" as part of the research I am doing to determine
the methods used to evaluate public school principals in Manitoba.
I have received a response from more than 75% of the school
divisions in the province so far, but I do not have a record
of receiving yours.

The accuracy of my findings would be enhanced if your division's
practices were included in the research so I am sending you
this letter as a reminder. If you have recently forwarded your
response I would like to thank you. If you have not done so
yet I would appreciate it if you would respond at your earliest
convenience.

If you do not intend to respond to the questionnaire I would
like you to let me know by using the enclosed addressed and
stamped envelope. It is not my wish to point out particular
individuals in my research, but only to reflect the provincial
state of affairs. Thank you for your consideration.

Yours truly,

Vaughn Wadelius

Enclos.

APPENDIX D

Box 717
The Pas, Manitoba
R9A 1K7

77 12 01

Dear Principal;

I am presently carrying out research for a thesis which I will
submit to the Faculty of Graduate Studies for the degree of
Master of Education. The purpose of my study is to determine
what methods are used to evaluate principals in school divisions
in Manitoba. You were randomly selected to complete this
questionnaire which is the second phase of my research. In
this endeavour, I would greatly appreciate about ten minutes
of your time.

Enclosed you will find a questionnaire entitled "Evaluation of
Principals--B". Please complete it and return it to me in the
enclosed return envelope with postage paid.

Your response will be treated confidentially and no reference
will be made to individual schools or principals in the analysis
of the data. I am hopeful that the results will be of use to
the Manitoba Association of Principals, the Manitoba Teachers'
Society and the Department of Educational Administration of
the University of Manitoba in the improvement of the principal-
ship. For your anticipated assistance, I sincerely thank you.

Yours truly,

Vaughn Wadelius

Enclos.

APPENDIX E

December 1, 1977.   EVALUATION OF PRINCIPALS - B

School Division_____No._____

_____

1. Does your school division have a <u>formal</u> method for periodically evaluating the performance of principals?

<div align="center">NO ☐   YES ☐</div>

      If NO, please indicate above and return this questionnaire.
      If YES, please complete the remainder of the questionnaire.

2. Must principals serve a probationary period?
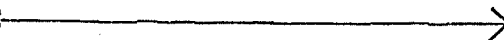
    NO ☐   YES ☐   ,for a _____-year period.

3. How frequently are principals evaluated:

    DURING PROBATION?_____

    THEREAFTER?_____

4. Which of the following practices are included in your evaluation procedures? CHECK ALL THAT APPLY

_____a. Use form which calls for rating in terms of a pre-scribed scale.

_____b. Use form which calls for specific performance objectives.

_____c. Use narrative form (providing space for evaluator's comments only).

_____d. Self evaluation is REQUIRED.

_____e. Conference on the upcoming evaluation is held before the evaluation period begins.

_____f. Informal evaluator-evaluatee "conferences" are held <u>during</u> the evaluation process.

_____g. Conference is held after evaluation is completed.

_____h. Evaluation is automatically reviewed by someone other than the original evaluator.

_____i. The evaluatee receives a copy of the completed evaluation for his files.

_____j. The evaluatee is shown, but may not keep, a copy of the evaluation.

_____k. The evaluatee signs the evaluation form.

_____l. The evaluatee's signature <u>does</u> <u>not</u> signify that he concurs with the assessment.

<div align="center">MORE————————————————————></div>

_____m. If he is not satisfied with the assessment, the evaluatee may file a dissenting statement, which is appended to the evaluation form.

_____n. The evaluatee may request a conference with the evaluatee's superior if he is not satisfied with the evaluation.

5. For what purposes are you evaluated? (In the list below, please check each purpose for which, in your experience, evaluations have actually been applied in your division-- NOT the purposes for which evaluations ideally should be used).

_____a. To assess the evaluatee's present performance in accordance with prescribed standards.

_____b. To help the evaluatee establish relevent performance goals.

_____c. To identify areas in which improvement is needed.

_____d. To determine qualifications for permanent status.

_____e. To have records of performance to determine qualifications for promotion.

_____f. To establish evidence where dismissal from service is an issue.

_____g. Other, e.g., salary increments, compliance with board policy, (please specify):_____

_____

_____

_____

6. Do principals in your division achieve tenure as a principal (as opposed to tenure as a teacher)?

   NO ☐   YES ☐   , after a _____-year period.

If YES, is this: (CHECK ALL THAT APPLY)

_____as a principal, generally (as opposed to a specific principal position)?

_____as a principal in a specific position (e.g., tenure as principal of a specific school)?

_____other (please explain)?_____

_____

_____

MORE————————————→

7. Are principals covered by a formal, written grievance procedure?
CHECK THE ONE THAT APPLIES.

_____a. Principals are covered by their own grievance procedure in our school system.

_____b. Principals are covered by a grievance procedure which covers all professional personnel in our school system.

_____c. Principals are covered by a grievance procedure which covers all school employees.

_____d. Principals are covered by the teachers' grievance procedure but only in grievances involving teachers.

_____e. Principals are not covered by any grievance procedure in our school system.

8. Are you satisfied that the principal evaluation procedure your division uses is meeting the needs of your division?

NO ☐   YES ☐   If NO, please comment:_____

_____

_____

9. Are you satisfied with your division's principal evaluation procedures?

NO ☐   YES ☐   If NO, please comment:_____

_____

_____

RETURN THIS QUESTIONNAIRE TO:

                    VAUGHN WADELIUS
                    EVALUATION RESEARCH
                    BOX 717
                    THE PAS, MANITOBA
                    R9A 1K7

THANK YOU FOR YOUR COOPERATION.

APPENDIX F

PROCEDURES DESCRIBED BY SUPERINTENDENTS
FOR USE IN DISMISSING PRINCIPALS

Stratum 1

1. Covered by collective agreement with teachers.

2. a) Evaluation review to determine gravity.

   b) Series of Conferences: (i) concerns, (ii) consider
      ways of upgrading, (iii) counsel with view to
      voluntary move to less demanding position.

   c) Forced move or dismissal.

3. Process would be the same as that legally and

   ethically required for dismissal of teacher.

4. When an emergency, the principal is informed of the

   possibility of dismissal, the president of the

   teachers' organization is also informed, and the

   principal is placed on a one year's probation. If

   dismissal then occurred and the principal objected,

   grievance procedure would follow.

Stratum 2

1. Notification of recommendation of Superintendent

   to Board. Opportunity to appeal the recommendation

   to the Board.

Stratum 3

1. Superintendent would meet principal, recommend

   changes, if these are not carried through, report

   made to the board, who would make decision of

   retaining as principal or not.

2. a) Problem recognized.

b) Problem considered by Superintendent.

c) Conference attempt to modify.

d) If (c) unsuccessful Board is involved.

e) Board and principal conference.

f) Principal is (i) retained with instruction to modify, (ii) "demoted" to teacher, (iii) released.

3. Procedures (a) Report would indicate dissatisfaction. (b) A second report written after remedial assistance would have to be positive or show improvement. (c) If we are not satisfied by the degree of improvement the principal is notified of his removal as principal. This is a Board sanctioned move.

APPENDIX G

RESPONDENTS' COMMENTS ON SATISFACTION THAT PROCEDURES
USED ARE MEETING DIVISION'S NEEDS

SUPERINTENDENTS' COMMENTS

Stratum 1

1. We need more work on the secondary level.

2. Still require refinement of instrument and additional
   procedures. Our present approach primarily aimed
   at professional development.

3. Always room for improvement.

Stratum 2

1. We are considering one to three objectives yearly
   over a 2-3 year period.

Stratum 3 (no comments)

PRINCIPALS' COMMENTS

Stratum 1

1. It is "under development". I believe it will be
   very good and will meet the needs of administrators.

2. The procedure basis is the Management by Objectives
   process where principals list their objectives for
   the year. These are reviewed by the superintendent's
   department, accepted and then achievement considered
   at year end.

3. One's superior should take a more active role in
   evaluation. This does not occur here.

4. The procedure is in infancy. It has been used for
   one year to date.

5. Not enough suggestions for improvement coupled with follow up and for assistance.

6. It is not yet well enough articulated.

7. I feel it is a fairly good procedure although there is considerable grumbling about it in our division.

8. There is doubt as to actual usage made of material gathered. Demotion has been known to occur.

9. Evaluations are made on popularity or who-you-know rather than on ability.

10. There are no standards set down by the division against which one can base one's self-evaluation, therefore, if one is honest and "self-searching" this is possibly an area that is pounced upon and held against the principal.

Stratum 2

1. It doesn't happen as often as it should, or even as it is laid out in the manual.

Stratum 3 (no comments)

APPENDIX H

RESPONDENTS' COMMENTS ON PERCEPTIONS OF PRINCIPAL
SATISFACTION WITH EVALUATION PROCEDURES USED IN THEIR
DIVISION

SUPERINTENDENT'S COMMENTS

Stratum 1

1. Working on one as we are not yet satisfied.

2. Principals helped develop it though some dislike it.

Stratum 2

1. They helped develop it.

Stratum 3

1. Some feel that an annual evaluation should be given.
   No discussion has been carried on regarding how a
   new evaluation system should be developed or
   carried on.

2. Nobody has expressed displeasure.

PRINCIPAL'S COMMENTS

Stratum 1

1. Principals have been very involved in both the
   development, implementation and evaluation of the
   policy and procedures.

2. No overall objectives agreed to; no allowances for
   individual performance.

3. Does not reflect all things a principal does. As
   well a lot seems only paper evaluation.

4. I would like to see the superintendent visit the
   school and at first hand observe the day to day

operation of the school and its working environment.

5. I'm not sure as evaluation procedure has only been operational for two years and thus experience in this area is limited.

6. It is not relevant enough to our own situation.

7. But it is not perfect.

8. But where do principals near retirement, not suitable for principalship go?

9. Superiors do not know me as a person and how well I work at my task.

10. I feel there is room for improvement in this area, but it would require financial support.

11. There is not enough direct supervision by the superintendent's department, therefore, there is lack of knowledge and a lot of "wool-pulling" by certain types.

12. More regular evaluations would be desirable.

Stratum 2

1. Not enough done in this area.

Stratum 3 (no comments)