

The University of Calgary

**A PERFORMANCE ASSESSMENT
AND DEVELOPMENT MODEL
FOR SCHOOL PRINCIPALS**

by

James S. Phelps


**A Thesis submitted to the
Faculty of Graduate Studies
in partial fulfilment of the
requirements for the
Degree of Doctor of Philosophy**

Department of Education Policy and Administrative Studies
The University of Calgary
Calgary, Alberta
June, 1989

© J.S. Phelps 1989

THE UNIVERSITY OF CALGARY
FACULTY OF GRADUATE STUDIES

The undersigned certify that they have read, and recommend to the Faculty of Graduate Studies for acceptance, a thesis entitled, "A performance assessment and development model for school principals" submitted by James S. Phelps in partial fulfilment of the requirements for the degree of Doctor of Philosophy.



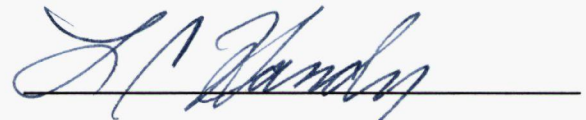
Dr. P.R. Adams, Supervisor
Educational Policy and Administrative Studies



Dr. J. McLellan
Educational Policy and Administrative Studies



Dr. E. Koch, Professor Emeritus
Educational Policy and Administrative Studies



Dr. L. Handy
University Counselling Services



Dr. G. McIntosh, External Examiner
The University of Alberta

June 29, 1989

August 17, 1989

National Library of Canada
OTTAWA, Ontario

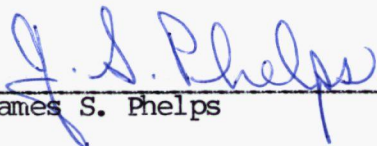
To Whom It May Concern:

Re: A Performance Assessment and
Development Model for School Principals
(Thesis by James S. Phelps)

The Implementation Document included in Appendix A and the Meta-Evaluation Instrument included in Appendix C were constructed by the author.

You should be aware that Appendix A - The Implementation Document, has been taken directly from the field testing materials and is in the actual print size used in the study. I understand that further reduction will take place before your institution catalogues the thesis. If after reduction Appendix A is no longer able to be read because of print size, I would have no objection if you wished to delete this portion of the thesis.

Yours truly,


James S. Phelps

tc

August 17, 1989

National Library of Canada
OTTAWA, Ontario

To Whom It May Concern:

Re: A Performance Assessment and
Development Model for School Principals
(Thesis by James S. Phelps)

The Implementation Document included in Appendix A and the Meta-Evaluation Instrument included in Appendix C were constructed by the author.

You should be aware that Appendix A - The Implementation Document, has been taken directly from the field testing materials and is in the actual print size used in the study. I understand that further reduction will take place before your institution catalogues the thesis. If after reduction Appendix A is no longer able to be read because of print size, I would have no objection if you wished to delete this portion of the thesis.

Yours truly,

James S. Phelps

tc

ABSTRACT

The primary purpose of this study was to refine a model and to develop an implementation document for a performance assessment and development system for school principals.

The contemporary literature related to performance appraisal and employee development was reviewed to identify and synthesize the key characteristics of effective performance assessment and development systems. A model designed by Dale L. Bolton (1980) for evaluating the performance of administrators was selected as the foundation for the performance assessment and development system. Bolton's original model was revised and adapted and a document was constructed to facilitate the implementation of the performance assessment and development system in school settings.

The revised model combined with an implementation document was constructed in the spring of 1985. This first draft of the revised model and the implementation document was circulated to supervisors of in-school administrators and to Alberta Education personnel with expertise in the area of school administration. Suggested changes for improvement were incorporated into the model and the implementation document. The length, format and the aesthetic appeal of the package of materials was revised. In August 1987 the second draft of the model with the accompanying implementation documents was submitted to a panel of experts. Feedback from the experts was utilized to revise the package of materials once again.

The revised system involved a three-stage model which operated in a continuous and cyclical process:

Stage I is the *Planning for Performance Assessment* stage. The principal's working environment was analyzed and with the working environment in mind, the purposes for the assessment and development were established, goals and objectives were set, and a measurement plan was formulated.

Stage II is the *Gathering Data* stage. All of the activities which were planned for in Stage I were implemented in Stage II. Measurement took place concurrently with implementation according to the measurement plan formulated in Stage I to ascertain whether goals and objectives had been pursued and if the procedures utilized appeared to be effective.

Stage III is the *Using Data* stage. The data gathered in Stage II were analyzed, interpreted and acted upon. Decisions were made as to how the responsibilities were performed and future action plans were formulated. Conferencing was probably the main source of interaction between the supervisor and the principal in this stage.

Open communication, development activities for the principal, evaluation of the processes and the outcomes were important elements in each stage.

At the completion of each cycle, a meta-evaluation is called for to evaluate the current cycle of the performance assessment and development system.

The performance assessment and development system was field tested in two schools, each in different school systems in southern Alberta. Evaluation was ongoing during the implementation process and a meta-evaluation was completed at the end of the cycle. Feedback supplied by the participants was generally positive regarding the system. Participants in both studies concluded that the performance assessment and development system accomplished the job – it assessed principal performance and provided developmental assistance to the principal to improve future performance. The formative and collaborative nature of the process was strongly supported by participants.

ACKNOWLEDGEMENTS

I would like to acknowledge the advice, encouragement and direction so willingly and competently provided by my supervisor, Dr. P. R. Adams. Special thanks are also extended to my supervisory committee, Dr. L. Handy and Dr. E. Koch, for their input into the project.

I also wish to acknowledge the positive support and understanding so generously given to me by the Board of Education of the County of Lethbridge #26 during this post-graduate academic pursuit.

The unwavering support and encouragement provided by my wife, Jean, and our two boys, Ian and Roy, has been greatly appreciated over the duration of this academic endeavour.

TABLE OF CONTENTS

CHAPTER I

INTRODUCTION	1
Background	1
Rationale	2
Purpose of the Study	3
The Need for the Study	4
Definitions	5
Performance assessment and development	5
Process	5
Model	6
Delimitations	6
Limitations	7

CHAPTER II

REVIEW OF THE LITERATURE	8
Assumptions Related to Human Behavior and the Nature of Man	8
The Importance of the Performance Assessment and Development of Principals	12
Assumptions and Characteristics of Performance Assessment and Development Systems	16
Meta-evaluation	25

CHAPTER III

METHOD AND RESEARCH DESIGN	27
Introduction	27
Theoretical Framework	27
The Model	30
The Research Method	37
Review of Initial Draft of Model and Implementation Document	37
Review of Second Draft of Model and Implementation Documents ...	40
The Evaluation Plan	45

Questions to be Addressed	51
Questions Related to the Implementation of the Three Stages of the Model	51
Questions Related to the General Elements of the Performance Assessment and Development System (Design)	51
Questions Focusing on the Implementation of the System	52
General Questions Related to the Implementation of the System and the Research	53
Instrumentation	53
Data Collection	54
Data Analysis	55
Significance	55
CHAPTER IV	
PRESENTATION AND ANALYSIS OF DATA	57
Introduction	57
Field Testing Phase	57
School A: Data Presentation and Analysis	60
Session One (Introduction)	60
Session Two (Planning for Performance Assessment)	62
Session Three (Gathering Data)	65
Session Four (Using Data)	66
Session Five (Meta-evaluation)	68
Session Six (Review of Meta-evaluation)	73
School B: Data Presentation and Discussion of Findings	77
Session One (Introduction)	77
Session Two (Analyze the Work Environment)	78
Session Three (Goals and Objectives)	80
Sessions Four and Five (Gathering Data)	82
Session Six (Using Data)	85
Session Seven (Meta-evaluation)	88
Session Eight (Review of Meta-evaluation)	96
CHAPTER V	
DISCUSSION AND INTERPRETATION	99
Review of Research Process	99
Review of Panel Feedback	100

Comparison of Field Testing Results	101
Proposed Revisions	105
CHAPTER VI	
SUMMARY, CONCLUSION AND IMPLICATIONS FOR FURTHER RESEARCH	108
Summary	108
Conclusions	110
Implications for Further Research	111
BIBLIOGRAPHY	115
APPENDIX A	123
IMPLEMENTATION DOCUMENT: A PERFORMANCE ASSESSMENT AND DEVELOPMENT MODEL FOR SCHOOL PRINCIPALS	
APPENDIX B	186
LETTER TO PANEL OF EXPERTS	
APPENDIX C	189
META-EVALUATION INSTRUMENT	
APPENDIX D	201
PARTICIPANT TESTIMONIAL RE AUTHENTICITY OF FIELD STUDY	

LIST OF TABLES

Table 1

Basic Assumptions of the Scientific and Naturalistic Paradigms	45
---	----

Table 2

Derivative Postures of the Scientific and Naturalistic Paradigms	46
---	----

LIST OF FIGURES

Figure 1	
Performance Assessment and Development Model	32
Figure 2	
Performance Assessment and Development Model	33
Figure 3	
Planning for Performance Assessment (Stage I)	34
Figure 4	
Gathering Data (Stage II)	35
Figure 5	
Using Data (Stage III)	36
Figure 6	
Representation of the Domain of Inquiry	47

CHAPTER I

INTRODUCTION

Background Information

The practice of assessing how people perform assigned tasks in organizations is not new. One can find references to formal performance assessment dating back to the third century A.D. when emperors of the Wei dynasty in China rated the performance of the official family members through the services of an “Imperial Rater” (Devries, Morrison, Shullman, and Gerlach 1981:13). Robert Owen in the early 1800’s utilized a performance assessment technique in his textile mills in Scotland. The United States military since the mid 1800’s has played a significant role in developing and refining the use of assessment techniques.

As organizations have grown and evolved in the twentieth century, so have performance assessments. The “Age of Efficiency,” characterized by such individuals as Frederick Taylor, concentrated on getting the maximum performance out of every worker and one way of doing this was through performance assessment. The “Age of Human Relations” which followed emphasized the development of group dynamics and the assessment of human performance.

More specifically, in North American education since the first one-room school was established, there has been performance assessment of both students and professional staff. The “inspectoral mode” was and probably still is, in many jurisdictions, a widely used approach.

The trend today has evolved from management setting performance standards to a more mutual involvement with the employee in setting performance standards and expectations. Over the years, methods and concepts have evolved regarding the assessment of performance, but the basic idea seems to have remained constant – there

is a tendency to rate performance of individuals in various activities whether it be in school situations as students or as adults in employment situations.

Rationale

Public education is facing increasing demands for fiscal and educational accountability (Sapone 1980:44). George L. Morrissey (1983:26) in commenting on the public sector concludes that the taxpayer has the right to know that tax dollars are being spent judiciously, that governmental employees are being held accountable for performing their jobs satisfactorily, and that those same employees are being given the opportunity to grow and become even more valuable. In Alberta Education's four-year plan, 1987 to 1990, the opinion is expressed that there is an increasing public demand for accountability and for receiving value for public funds spent on education (Planning and Policy Secretariat 1987:13). Utilization of the performance assessment process could be one method to serve the above purposes.

The movement towards more assessment in education is gaining momentum. The Stull Bill in California in 1972 was an attempt to improve instruction through a more objective evaluation system, e.g., setting performance objectives. The Stull Bill is one of the more well known attempts by government to mandate performance standards. As early as 1974, a survey indicated that nine states had mandated the evaluation of local school administrators and many others were in the process of developing evaluation programs (Educational Research Service 1974:23). M. Donald Thomas (1979:7) concludes that the most effective way to improve the quality of education is through performance assessment.

The trend towards increased evaluation of the educational function is apparent in Alberta. Alberta Education has formulated policies to evaluate student achievement, teachers, schools, school programs and school systems (Alberta Education:1983). In a

National Library of Canada
OTTAWA, Ontario

report commissioned by the Alberta Minister of Education (Advisory Committee on Implementing Teacher Evaluation 1985:5), it was recommended that an administrator evaluation program be implemented along with the teacher evaluation program.

One of the major topical areas of discussion recently has been the role of the principal. Because of the importance of the principalship in relationship to the functioning of a school, it is evident that constructive plans to assess performance as well as to provide for individual development in this position is worthy of consideration. The Foundation for Educational Leadership in Alberta, in a draft proposal (Tymko 1985:1), emphasized the critical nature of the role of the principal when pursuing quality and excellence in education. Alberta Education and the Alberta School Trustees' Association have adopted the position that educational leadership in the school is the primary role of the principal (Montgomery, McIntosh and Mattson 1988:4). A great deal of literature on effective schools and effective principals stresses the importance of effective leadership. Therefore, it would seem important to have well-developed systems in place to both assess and improve the performance of the principal.

Purpose of the Study

It is proposed that a performance assessment and individual development system be established which could be used by school jurisdictions in Alberta to assess and develop school principals. This could be part of the total evaluation policy package now being mandated by Alberta Education to ensure that school jurisdictions assess all components of their educational responsibility. The purpose of this study was to develop an instrument which could be used by supervisors and principals in schools to collaboratively assess the performance of the principal and, as well, to provide a basis for additional individual professional development activities for the principal. This instrument was then field tested in two school settings.

The Need for the Study

Performance assessment and employee development is a well-established procedure in many organizations – business, industry, education and government. It is postulated that the concepts that underlie these practices, as well as the practices themselves, will have application to the educational setting and specifically to the position of the school principal. This study should provide some insights about how these concepts and practices work in an educational setting.

More work has been done in the area of performance assessment and development for teachers than for principals. A contribution to the field of education in Alberta would be to provide school systems with a model for implementing performance assessment and an individual development system for the school principal. There is a definite need for this model to be based on theoretically sound principles of assessment and staff development, but yet be flexible enough to meet the individual and sometimes unique circumstances of particular schools and school systems. There is a need for more than a superficial evaluation approach. Individual principal development has to be an integral component of the proposed model. The assessment system would utilize techniques to assess the accomplishment of clearly stated objectives. Throughout the process, feedback would be provided along with opportunities for developmental activities for the principal as the need is recognized. It could be assumed that if the principal of a school can become more effective in meeting his/her responsibilities, then the school itself stands a good possibility of becoming a more effective institution for both teachers and students.

It is assumed that the majority of school principals are doing a competent job of meeting their responsibilities, but there may be many who could meet their responsibilities more effectively. This again underscores a need for a system to assess and, as well, to

develop school principals. The need for this study is to see whether competent behavior could be further enhanced and, as well, to provide for the needs of those principals who require more in-depth developmental assistance. If the current trend toward more evaluation of the various components of educational systems in Alberta continues, there is a definite need for a plan to assess the performance of principals. This plan would attempt to enhance performance by including the provision for continued development of the principal's skills and abilities as required.

The development of an appropriate document(s) that can be utilized in the implementation of the assessment and development system will be a major goal of this research.

Definitions

Performance assessment and development

Performance assessment and development is the process of identifying, measuring and developing human performance in organizations. An effective assessment system must not only accurately measure current performance levels, but also contain mechanisms for reinforcing strengths, and identifying deficiencies and feeding back such information to ratees in order that they may improve future performance. This second developmental aspect of assessment is as important as the measurement aspect (Baird, Beatty and Schneier 1982:4).

The terms performance assessment, performance review, performance appraisal, and performance evaluation appear to have relatively the same meaning for the purposes of this paper.

Process

A process is a series of actions, changes or functions that bring about an end or a result.

Model

A model is a graphical representation of a mental conceptualization which illustrates, schematically, the interrelationships and interactions of the various components in a given process.

Delimitations

The research study is delimited by the following:

1. The performance assessment and development document was critically reviewed by a panel of experts and after revisions it was field tested in two school settings with principals and supervisors. This research was a field study involving the construction of a performance assessment and development model for school principals and the subsequent applications of the document in two school settings.
2. The two schools in which the field testing took place were in two school jurisdictions in southern Alberta. One school was an elementary-junior high school and the other was an elementary-junior high-senior high school.
3. The research attempted to develop an assessment and development document which could be utilized in school systems. However, it should be noted that this does not imply that each school principal can be assessed on identical goals and objectives. The goals and objectives to be evaluated depend on which ones are targeted for the individual principal in relation to individual school needs. Different developmental activities are required depending on individual principal needs.
4. The evaluation plan for the research resembled more of a naturalistic (holistic) approach rather than a scientific (rational) approach largely because pure forms of either scientific or naturalistic inquiry are rarely found (Guba

and Lincoln 1981). This research plan included some elements that could be interpreted as scientific in nature, but the overall approach was more naturalistic.

5. The researcher supports the philosophical stance that principals have the ability to continue to grow and develop (improve) in the way in which they handle their job assignments.

Limitations

1. The study was limited to the author's conceptualization of the performance assessment and development process, which was established through a synthesis of contemporary ideas and new approaches to performance assessment and development presented in the literature by leading authorities in the field of education, business and industry.
2. Other limitations were imposed by the delimitations. For example, the ability to generalize on the findings was restricted as a result of the limited number of schools involved and the relatively short-term study approach. It may be perceived by some researchers that the naturalistic approach in itself was a limiting factor.

CHAPTER II

REVIEW OF THE LITERATURE

The review of literature and related research will examine a number of the underpinnings which are relevant to this particular study:

1. Assumptions relating to human behavior and the nature of man.
2. An explanation regarding the focus on the school principal for this performance assessment and development research.
3. An explanation and description of the performance assessment and development literature.

Assumptions Related to Human Behavior and the Nature of Man

One of the basic assumptions underlying the approach of this study to performance assessment and development follows the idea that man's primary tendencies best fit into the optimistic category.

Knowles and Saxberg (1971) describe the positions of two camps. The first camp subscribes to the pessimistic view of the nature of man:

1. Man is good in a state of nature, but is transformed by the nature of society into a predator and power-seeker; or
2. Man is by nature evil, i.e., he is born with certain instincts or drives which lead him to war on other men. As a result of these conditions, man cannot be trusted to exercise self-control, but must be treated as a means or instrument and constrained if society is to survive.

The second camp proposes an optimistic view – man as a creative and social being. This view has a number of variations. One variation is based upon social instinct and reason. Another variation involves the cooperation and survival approach. A third group views man's optimistic nature based on a "blank page" concept. Cultural determination also fits into the optimistic camp.

The characteristics of the pessimistic and optimistic views of human behavior are not to be considered mutually exclusive. The concept of primary tendency should be applied when considering these views. Cooperation and competition, or goodness and evil as human characteristics, are not discrete activities or qualities, but exist in various mixtures in human nature. The idea of primary tendency is a person's characteristic attitude set towards others. This tendency is the product of an individual's subjective processes and past relationships with significant others in his life, beginning at birth.

A significant amount has been written regarding assumptions about human behavior specifically as it relates to organizations. A well known author on this topic is Douglas McGregor with his assumptions about employee behavior – Theory X and Theory Y (Davis: 1981). His work has formed the basis for much of the research and later studies in this area. The two theories clearly distinguish between traditional autocratic assumptions about people (Theory X) from more behaviorally based assumptions about people (Theory Y). McGregor argues that most management actions flow directly from whatever theory of human behavior is held by managers.

One has to be careful not to take an absolute position, that is, Theory X is dysfunctional and Theory Y is functional or that everyone is mature, independent and self-motivated. Most people have the *potential* to be mature and self-motivated. It should be noted that some administrators who identify with Theory X often display behavior associated with Theory Y, and conversely, administrators who identify with Theory Y display Theory X behavior from time to time in response to particular individuals or situations. The approach to performance assessment and development in this study generally supports a Theory Y position.

Chris Argyris has compared bureaucratic/pyramidal values which are the organizational counterpart to Theory X assumptions about people with a more humanistic/demo-

cratic value system which is the organizational counterpart of Theory Y assumptions about people (Hersey and Blanchard: 1982:53).

Knowles and Saxberg (1971:16-17) formulated a set of propositions and made a number of assumptions about man in organizations:

1. Man has the capacity to be good rather than evil.
2. The organization is an instrument of man rather than the other way around.
3. Modern organizations seem pessimistic rather than optimistic concerning the nature of man.
4. Cooperation is a more natural state of human relations than competition.
5. The Existential Ethic is more appropriate to today's society than the Protestant Ethic.
6. In today's organizational society, democratic methods and values are nearly always preferable to autocratic methods.
7. Open organizations are more capable of growing and developing than closed ones.
8. Openness in interpersonal relations leads to personal growth and development and to more effective interpersonal communication; it facilitates essential change processes.
9. The human personality is not fixed. Under proper conditions, it can be changed in significant ways.
10. Building on man's capacities is better than building in remedies.
11. Self is a combination of personal initiative and conformity; man is both pilot and robot.
12. The self-concept is a primary motivator of human behavior.
13. Leadership is more than leading; it is also a helping relationship.
14. Man is more an end than means, i.e., he has potential which is prior to and superior to his uses as an instrument.

Edgar F. Huse (1975) states that the Theory X and Y approach is vastly oversimplified. However, the basic assumptions held by most Organizational Development

practitioners are grounded in McGregor's work. Organizational development has an optimistic and Theory Y flavor.

Another model which emphasizes an optimistic application to educational administration is the Eupsychian Management model. This philosophy of education was generated as a contemporary movement in psychology which sought a humanistic alternative to Freudian psychology and the psychology of the behaviorists. This movement is often referred to as "Third Force" psychology and the main spokesman has been Abraham Maslow. The main thrust of this model has been to bring optimum growth and development to all those who are in contact with the organization (Sergiovanni and Carver: 1980).

There are limits to which the Theory Y assumptions have applicability. With the method to be used in this research, it is assumed that a Theory Y approach should be the first one applied. It is speculated that in over ninety percent of the assessment and development applications the Theory Y approach will be successful. However, it may not work in all cases. If, over a period of time, the principal does not appear to respond to the individual growth and development thrust of the system, the supervisor may then have to become more directive. Areas of performance requiring improvement will have to be specified unilaterally and deadlines for meeting these improvements mandated.

This section has attempted to review a number of approaches and models based on optimistic assumptions regarding human behavior. Today, the majority view toward man in organizations is one that would have a tendency to be positive and optimistic about the nature of man and one that recognizes a growth and development potential for the individual within the organization. The performance assessment and development proposal for this study is built upon assumptions of this nature.

The Importance of the Performance Assessment and Development of Principals

A great deal of the literature on effective schools stresses the importance of leadership as one of the key ingredients in an effective school. The following writers and researchers add support to this viewpoint:

1. Principals of highly effective schools are instructional leaders (Peel Board of Education 1983:7).
2. In a study of thirty-two effective principals, the four areas of knowledge which contribute most significantly to leadership effectiveness all relate specifically to instructional leadership (MacGillvray 1985:8).
3. After reviewing seventy-five research articles and studies, one of the nine recurrent behaviors of effective principals was that of functioning as an instructional leader (Persell and Cookson 1982:22).
4. Effective school administrators will spend a great deal of their time in the role of instructional leader rather than in organizational maintenance and pupil control activities (Boyd 1983:1).
5. John W. Smith (1982:2) quoted from at least ten studies and research articles which underscored the importance of the principal's role of leadership in instruction.
6. J. Hager and L. Scarr emphasized the importance for an effective principal to be a strong instructional leader (1983:38).
7. The ASTA (1984:19) made the case that an effective principal should be an active leader in improving the school's instructional program.
8. One of the elements common to effective schools is strong instructional leadership on the part of the school principal (Purkey and Smith 1982:67).

The foregoing research and studies refer specifically to the principal as being the instructional leader. A large number of related research and studies refer to leadership rather than instructional leadership:

1. D.B. Strother (1983:291), in an extensive review of the literature, found repeatedly the researchers concluded that strong administrative leadership characterized effective schools.

2. In a review of five case studies on effective schools involving forty-three individual schools, one of the five common factors in each case was that of strong leadership on the part of the principal (Purkey and Smith 1982:65).
3. D. Duke (1982) stressed six key factors for effective leadership on the part of the principal.
4. L. Beall (1972:37) postulated that successful schools have strong leadership.
5. In a synthesis of the information relating to effective schools, it was found that the leadership role provided by the principal was one of the seven major factors associated with school effectiveness (Renihan and Renihan 1984:1).
6. Gordon Cawelti (1984:3) commented in an editorial that schools are rarely effective, in any sense of the word, unless the principal is a "good" leader.
7. Joan Shoemaker and Hugh Fraser (1982:180) reviewed ten well known studies on effective schooling and found that one of the four key themes characterizing the effective school was that of assertive, achievement-oriented leadership.
8. Chester Finn (1985:11), in outlining the characteristics for school effectiveness, stated that it was necessary to develop school level leadership by selecting and nurturing first-rate principals.
9. James Lipham (1981:1) suggests that the local school is the key to educational improvement and that the leadership of the principal is crucial to the school's success with students.
10. William Rutherford (1985:32) discusses five essential qualities of effective principals, all of which involve leadership skills.
11. Pat Renihan (1985:8), in his research, isolated seven characteristics of effective principals and leaderships skills were listed in the number two position of overall importance.
12. Harold Poelzer (1989:12) comments that principals have an enormous effect upon the quality of education provided by the staff and, hence, the quality of education that students receive; programs bloom or wither under the influence of the principal.
13. Thomas Corcoran and Bruce Wilson (1987:23), in a review of literature, found that parents, teachers and students unanimously cite the principal as providing the necessary vision and energy in creating and maintaining conditions of success.

14. Bruce Mather (1988:12) comments that whether Canadian, British or American, the effective research proves conclusively that the number one correlate of effectiveness in schools is effective leadership from the principal and vice principal.
15. Corey Wentzell (1987:47) states that it is impossible to create an effective school without having an effective school administration.

If leadership is as important as it appears to be in the literature for effective schools, then it must be important to assess how principals are currently performing and to provide assistance to them in the form of professional development activities so that future performance will become even better. The literature underscores the need to have a performance assessment and development model for school principals.

Another reason which underscores the need for the principalship to be evaluated on a regular basis and to be reviewed by means of a performance assessment and developmental system is the trend to give more responsibility and autonomy at the local school level. Again, the role of the principal is of crucial importance and therefore the performance would have to be continually assessed as well as enhanced, where applicable. The following review of the literature denotes this trend:

1. Leon Lessinger (1975:31) noted that the principal's responsibilities now embrace the entire set of managerial and instructional functions.
2. Some school systems began in the late 1970's to give principals more responsibility and decision-making power in their schools in such areas as staffing, budget and finance (Hedding 1978:32).
3. The growing significance of the principalship role in education is being facilitated in various school systems through the process of decentralization designed to give principals greater leadership responsibility (Culbertson 1974:1).
4. Chester Finn (1984:10-12) favors more strategic independence for schools – make the selection and deployment of professional staff predominantly a school level responsibility. State and federal policy makers should generally avoid inhibiting school level governance in fundamental levels of teaching, learning and internal organization.
5. John Goodlad (1984) uses the phrase, “every tub on its own bottom” to propose a decentralization of authority and responsibility to the local school.

6. Larry Ferguson (1984:30) urges all educators to address the need for excellence in education and the corresponding need for a decentralization of decision making with concomitant accountability.
7. The new *School Act* for Alberta enhances the position of the principal as the position is given more responsibility in legislation (*School Act* 1988).

If the position of the principal is involving more responsibility, there should be a performance assessment and development system in place to assist the principal in coping with these new challenges.

Another reason to develop a performance assessment and development system for principals involves the more limited amount of research on the performance assessment and development for principals as compared to that for teachers:

1. The evaluation of teachers and teaching performance has received systematic and sustained attention of theoreticians and practitioners, but the evaluation of administrators and administrative performance can only be characterized as scattered and spasmodic (Lipham 1975:13).
2. Jim MacDonald (1984:23) reported after reviewing the procedures for the formal evaluation of principals in Canada that little attention has been given to this matter.
3. F.I. Renihan (1980) referred to a 1976 national survey in Canada that found that only twenty-five percent of the responding school districts had formal principal evaluation procedures.
4. Joseph Murphy, Phillip Hallinger and Kent Peterson (1985:79-81) comment that principal evaluation remains substantially unchanged – it is more primitive today than teacher evaluation was before the advent of teacher effectiveness research. In many districts, principal evaluations are either nonexistent or perfunctory, episodic and nonsubstantive.

For the foregoing reasons, it is timely to develop a performance assessment and development system for school principals. In conclusion, R. Crowson and C. Porter-Gehrie (1981:27) describe the principal as education's most visible administrator. More than any other single individual in the school hierarchy, the principal is the pivotal

exchange point, the working broker between teachers and students on the one hand and the political establishment, superintendent, school board and taxpayer on the other.

Assumptions and Characteristics of Performance Assessment and Development Systems

Most performance assessment and development systems are based on a number of assumptions and principles:

1. James Zaharis (1978:59), in discussing staff development, outlined the following assumptions:
 - (a) Human resources are the school's greatest asset and its main business.
 - (b) No talent should go undeveloped. In the interest of both the individual and the organization, skills should be developed in full.
2. V. Storey and I. Housego (1980:2) identified another two assumptions – effective practice is identifiable and second party intervention in the work process is, or can be, useful.
3. R. Common (1984:7), in his plan for a performance assessment and development system for educators, said it should be based on the assumptions that the desire for growth is latent in everybody and that individuals look to the work place to grow personally and professionally.
4. Devries, Morrison, Shullman and Gerlach (1981:28) outlined the following assumptions:
 - (a) The nature of job performance is such that every individual can be held independently accountable for output by the organization.
 - (b) The organization can specify desirable or undesirable individual job performance in relation to organizational goals. Individual job performance is measurable.
5. Carol Hunter (1987:3) states that evaluation is a powerful tool for encouraging employee growth and development. It must be based on a philosophy which stresses a belief in people's abilities and desires to be successful.

George Redfern (1972:86) outlined the following assumptions related to the assessment of school principals:

1. The principal's productivity can be evaluated. Not only can it be, but it should be evaluated.
2. The principal should understand what's expected in the role. Responsibilities and expectations should be stated in written form and, if not in writing, oral understandings should be clear and carefully delineated.
3. The principal should know to whom to look for direction and supervision and should understand that evaluation is an inherent component of accountability.
4. Standards of excellence should be designed to be used by the principal as "yardsticks" against which performance may be measured.
5. Performance objectives related to the standards of excellence should be formulated cooperatively by the principal and the evaluator and used to evaluate performance.

A number of writers have reviewed the problems associated with performance assessment and development systems – what's wrong with them. Before discussing effective performance assessment and development systems, it is probably worthwhile to look at some of the negative aspects:

1. Some systems do not provide for enough two-way feedback (Allenbaugh:1983; Grove:1983; Menergy Performance Systems:1981; Moskal:1982; Walker:1980).
2. Some systems place too much emphasis on the importance of personality traits (Menergy Performance Systems:1981; Walker:1980; Nash:1983; Knezevich:1973; Brick:1972; Bolton:1980).
3. Some systems do not provide adequate training for those involved in carrying out the assessment (Business Week:1980; Grant:1983; Menergy Performance Systems:1981; Riley:1983; Walker:1980).
4. Some systems do not utilize a participative type of approach to performance assessment (Menergy Performance Systems:1981; Riley:1983; Walker:1980).
5. Some systems have conflicting multiple uses, e.g., some are utilized for both summative and formative purposes (Grove:1983; Walker:1980; Riley:1983).
6. Some systems do not establish clear, realistic, specific and measurable goals or performance standards (Grove:1983; Moskal:1982; Riley:1983; Walker:1980).

7. Some systems do not take effective action to reduce rater biases (Business Week:1980; Grant:1983; Grove:1983; Riley:1983; Walker:1980).
8. Some systems do not provide for developmental or performance follow-up (Moskal:1982; Walker:1980).

Kenneth Leithwood (1987:63) suggests three features of typical appraisal practices which detract from their usefulness:

1. They are based largely on implicit, unexamined judgments about what contributes to principal effectiveness.
2. They lack detailed performance expectations for the kinds of actions that foster school improvement.
3. They generally lack an explicit conception of growth in principal effectiveness.

Gary Natriello (1977), in a review of the literature on the performance assessment of principals, noted possible barriers to the acceptance and adoption of a performance-evaluation system:

1. Administrators often feel that evaluation is something that is done to them and not for them.
2. Many current evaluation systems use a checklist of predetermined qualities which administrators feel are oriented to past practices.
3. There is often a lack of clear definition of job functions.
4. There is a tendency to equate evaluation with observation, and administrators dislike such observation.
5. Administrators lack skills, knowledge and understanding relative to performance evaluation.
6. It is difficult for many educators to accept the view that performance evaluation, which they associate with business, is appropriate in school.

The performance assessment and development model which is presented in the next chapter of this dissertation, attempts to avoid the negative pitfalls presented.

There are a number of common characteristics of effective performance assessment and development systems. Most systems tend to be both evaluative (judgmental) and, as well, they are developmental – evaluate what is happening now and, as well, they plan for future improved performance (Walker:1970; ERS:1974; Lefton:1977; Devries:1981; Duhamel:1981; Gibson:1982). Other common characteristics are:

1. Most effective performance assessment and development systems provide feedback to the assessee in order that the individual can improve subsequent performance (Coney:1971; Carvell:1972; Redfern:1972; Knezevich:1973; Pharis:1973; ERS:1974; Colby:1975; Lefton:1977; Zakrajsek:1979; Bolton:1980; Baird:1981; Devries:1981; Duhamel:1981; Menergy:1981; Moskal:1982; Solomon:1982; Wells:1982; Allenbaugh:1983; Cleveland:1983; Gallegos:1983; Grove:1983; McAfee:1983; Morrissey:1983; Nash:1983; Pavett:1983).
2. Most effective performance assessment and development systems provide for employee development, inservice and training needs (ERS:1974; Colby:1975; Gephart:1975; Walker:1980; Redfern:1980; Baird:1981; Devries:1981; Hobson:1981; Menergy:1981; Szilagyi:1981; Gibson:1982; LIMRA:1982; Solomon:1982; Wells:1982; Cleveland:1983; Hautaluoma:1983; Morrissey:1983; Nash:1983; Common:1984).
3. Effective performance assessment and development systems often identify criteria used in allocating organization rewards (ERS:1974; Lefton:1977; Bolton:1980; Thomas:1980; Baird:1981; Szilagyi:1981; Hobson:1981; Genck:1982; Gibson:1982; Wells:1982; Gallegos:1983; Grove:1983; Morrissey:1983).
4. Effective performance assessment and development systems provide the information necessary for the organization to assess potential as input for personnel plans and, as well, they can be useful for the individual in career planning (ERS:1974; Walker:1980; Devries:1981; Kirby:1981; Gibson:1982; Grove:1983; Morrissey:1983; Nash:1983; Common:1984; King:1984).
5. Most effective performance assessment and development systems are able to translate overall organizational goals into objectives for the individual employee (Cummings:1973; ERS:1974; Zakrajsek:1979; Redfern:1980; Hobson:1981; Menergy:1981; Kirkpatrick:1982; Cleveland:1983; Grove:1983; Morrissey:1983; Nash:1983; Common:1984; King:1984).
6. Effective performance and development systems assist the employee in developing an awareness of his/her areas of competence (Gephart:1975; Lefton:1977; Redfern:1980; Thomas:1980; Genck:1982; Gibson:1982; Gallegos:1983; Kirby:1983; Morrissey:1983; Common:1984; MacDonald:1984; Lorenz:1985).

7. Most effective performance assessment and development systems insist on clear and concise job descriptions. Then the performance can be assessed in relationship to the job description and general areas in job performance and skills can be identified as requiring improvement. These decisions are often reached through a mutual consultative process (Coney:1972; Redfern:1972; Knezevich:1973; ERS:1974; Thomas:1980; Walker:1980; Kirby:1981; Menergy:1981; Sweeney:1981; Devries:1981; LIMRA:1982; Wells:1982; Cleveland:1983; Grove:1983; Gallegos:1983; Hautaluoma:1983; McAfee:1983; Morrissey:1983; MacDonald:1984).
8. Effective performance and development systems establish clear, realistic performance goals (usually mutually set and agreed upon before hand), both short and long range to assist the professional growth of the individual (Meyer:1965; Brick:1972; Coney:1972; Redfern:1972; ERS:1974; Colby:1975; Lefton:1977; Natriello:1977; Zakrajsek:1979; Bolton:1980; Walker:1980; Devries:1981; Duhamel:1981; Menergy:1981; Moskal:1982; Wells:1982; Allenbaugh:1983; Cleveland:1983; Morrissey:1983; Nash:1983; Riley:1983; Common:1984; MacDonald:1984; Manasse:1985; Knoop:1986).
9. Most effective performance assessment and development systems promote employee job satisfaction, job enrichment and overall employee job motivation (Meyer:1965; Redfern:1972; Pharis:1973; ERS:1974; Gephart:1975; Lefton:1977; Bolton:1980; Thomas:1980; Hobson:1981; Gibson:1982; Allenbaugh:1983; Grove:1983; McAfee:1983; Morrissey:1983; Nash:1983).
10. Effective performance assessment and development systems usually engender participative effort between the assessor and the assessee (Meyer:1965; Brick:1972; Redfern:1972; Knezevich:1973; ERS:1974; Natriello:1977; Bolton:1980; Lovrich:1980; Redfern:1980; Sapone:1980; Walker:1980; Devries:1981; Hobson:1981; Menergy:1981; Sweeney:1981; Genck:1982; LIMRA:1982; Moskal:1982; Cleveland:1983; Gallegos:1983; Hautaluoma:1983; McAfee:1983; Nash:1983; Riley:1983; Common:1984; Jones:1985; Knoop:1986).
11. Most effective performance assessment and development systems foster productive communication between the parties involved (Knezevich: 1973; ERS:1974; Bolton:1980; Redfern:1980; Walker:1980; Menergy:1981; Kirkpatrick:1982; Tyer:1982; Wells:1982; Morrissey:1983; Common:1984; Harrison:1988).
12. An effective performance assessment and development system will probably emphasize the positive aspects of performance but, as well, it will confront the negative aspects (Knezevich:1973; Pharis:1973; Lefton:1977; Kirby:1981; Menergy:1981; LIMRA:1982; Allenbaugh:1983; Jones:1985; Harrison:1988).

13. Most effective performance assessment and development systems are able to provide a basis for coaching and/or counselling the employee (Meyer:1965; Rosenberg:1973; Lefton:1977; Bolton:1980; Devries:1981; Allenbaugh:1983; Gallegos:1983; Common:1984; Jones:1985; Harrison:1988).
14. An effective performance assessment and development system will involve self-evaluation procedures as well as evaluation procedures by other stakeholders (Redfern:1972; Rosenberg:1973; Natriello:1977; Bolton:1980; Walker:1980; Devries:1981; Genck:1982; Cleveland:1983; Solomon:1983).
15. An effective performance assessment and development system is generally a continuous cyclical process (Meyer:1965; Cummings:1973; Colby:1975; Lefton:1977; Bolton:1980; Sapone:1980; Devries:1981; Menenergy:1981; Szilagyi:1981; Kirkpatrick:1982; Redfern:1982; LIMRA:1982; Solomon:1982; Cleveland:1983; Nash:1983; Common:1984).
16. Most effective performance assessment and development systems in organizations are flexible and provide for different types of appraisals for different purposes (Meyer:1965; Natriello:1977; Redfern:1980; Szilagyi:1981; Genck:1982; LIMRA:1982; Cleveland:1983; Hautaluoma:1983; Nash:1983; Jones:1985; Allison:1989).
17. Effective performance assessment and development systems are subsystems which are related to the other subsystems and, as well, to the total system organization, i.e., the evaluation systems used for administrators, teachers and support staff should be based on the same principles and be in concert with the system evaluation policy (Carvell:1972; Bolton:1980; Sapone:1980; Devries:1981; Szilagyi:1981; Genck:1982; LIMRA:1982; Cleveland:1983; Hautaluoma:1983; Nash:1983).
18. Most effective performance assessment and development systems require well trained assessors who are skilled in the art of evaluating (Lefton:1977; Redfern:1980; Menenergy:1981; Kirkpatrick:1982; Wells:1982; Cleveland:1983; Nash:1983).
19. A significant amount of the foregoing research mentioned a number of other descriptors of effective performance appraisal and development systems:
 - (a) The system has full management support.
 - (b) The system is well-planned.
 - (c) The system is given enough time in order to work properly.
 - (d) The system involves more than just the rating of character and personality traits.

- (e) The system provides for written reports and a copy for the employee.
- (f) The system provides for the evaluation of the performance assessment and development system itself.
- (g) The system incorporates an appeal procedure for the employee.

Regular professional development activities for principals allow them to grow professionally in their positions. A number of writers comment on professional development. Wood, Thompson and Russel (1981:61) outlined beliefs that should guide effective inservice education:

1. All personnel in schools need and should be involved in inservice throughout their careers.
2. The focus should be on helping staff improve their abilities to perform their professional responsibilities.
3. Educators vary widely in their professional competence, readiness and approaches to learning.

Wood, et al. (1981:88) also outlined some critical characteristics of professional development programs:

1. Inservice education should be conducted in a supportive climate of trust, peer support, open communication and staff commitment to a set of clearly understood norms for functioning in an institution (clear roles, program definition, instruction procedures, goals).
2. Decisions concerning the objectives, experiences and assessment of inservice education should be cooperatively developed by those involved in and affected by the training program.
3. Inservice education should be based upon assessed needs of participants. A need is defined as a gap between the expected professional performance and actual performance in the work setting.
4. Inservice education should be decentralized; focus on actual school problems, goals, needs and plans; and be conducted, whenever feasible, in the school setting.

Lloyd, Parks and Nelson (1985) concluded that administrators seek opportunities for growth and development and, through these opportunities, individuals develop

competence, confidence, self-esteem and the feeling that they are fulfilling their potential. The result is satisfaction with self, work and others. Inservice is a means to achieve these desired ends.

Peterson, Marshall and Grier (1987:48) stated that research recommends that professional development of educators should provide continuous support and opportunities to improve upon deficiencies on an ongoing basis.

Leithwood and Begley (1988:16) emphasize the limited amount of time spent on inservice for school administrators. Canadian school systems provide, on average, three days of training per year for their school administrators.

Haycock (1989:14), in supporting Shower's delineation of a process for effectiveness training, states that traditional approaches to professional development have a success rate of only twenty percent. The writer goes on to say that to be effective, inservice requires coaching follow-up on-site with support and feedback. It seems that change will come about only with deliberate on-site coaching.

The following performance assessment systems were examined to establish a background knowledge on the topic of performance assessment and development systems:

1. *Energy Companies*

- Beaudril Employee Evaluation Process
- BP Canada Staff Appraisal
- Bow Valley Industries Performance Evaluation/Employee Development
- Canadian Superior Oil Appraisal of Performance
- Chevron Standard Performance Evaluation
- Dome Employee Performance Review
- Esso Resources Employee Development Program
- Gulf Companies: The Employee Performance and Potential System

- Gulf Canada Main Department Performance Evaluation and Career Development
- Home Oil Performance and Development Review
- Mobil Appraisal of Performance
- Norcen Energy Resources Employee Development Review
- Nova Performance and Development Review
- Pan Canadian Employee Development Program
- Suncor Performance Review
- Texaco Canada Performance Assessment
- TransAlta Utilities Management/Professional Performance Review
- Union Oil Employee Performance Planning and Appraisal

2. *Government Agencies*

- Alberta Energy and Natural Resources Performance Appraisal
- Alberta Government Telephones Performance Analysis and Review
- Alberta Manpower Performance Appraisal
- Alberta Personnel Administration Performance Appraisal
- Alberta Research Council Personnel Appraisal
- Alberta Solicitor General Performance Appraisal
- Saskatchewan Public Service Commission Probationary Appraisal
- Sask Tel Employee Performance and Development Review

3. *Hospitals and Service Organizations*

- Calgary General Hospital Performance Appraisal
- Regina General Hospital Performance Appraisal
- St. Boniface General Hospital Performance Appraisal
- Mental Health/Calgary Personnel Performance Appraisal

- YMCA/YWCA Performance Appraisal: Executive Director
4. *Other Corporations*
- Corning Glass Works Performance Development and Review
 - Crestbrook Forest Industries Performance Appraisal
 - CN Rail Annual Staff Review
 - James Richardson and Sons Management/Supervisory Evaluation

Meta-evaluation

This research study utilizes a meta-evaluation technique as one tool to evaluate the field studies. Meta-evaluation is simply the evaluation of an evaluation. Stufflebeam and Shinkfield (1985:321) stated that this concept was introduced by Scriven in 1968 to emphasize that evaluators have a professional obligation to ensure that their proposed or completed evaluations are subjected to competent evaluation.

Nick Smith (1981:267) cites the two following definitions by Stufflebeam, and by Cook and Gruder for meta-evaluation:

Meta-evaluation is the process of delineating, obtaining, and using descriptive and judgmental information about the technical adequacy, utility, ethics and practicality of an evaluation in order to guide the evaluation and publicly report its strengths and weaknesses.

[We use] the term “meta-evaluation” to refer only to the evaluation of summative evaluation – studies where the data are collected directly from program participants within a systematic design framework.

Smith (1981:267) explains the reason for conducting meta-evaluations:

The primary reason for conducting meta-evaluations is to understand and improve the practice of evaluation itself. More specifically, individual meta-evaluation studies may be undertaken (focused on a single evaluation study or a collection of studies) in order to accomplish one or more of the following purposes:

- To assess the quality, impact or utilization of evaluation work;
- To study the nature of the evaluation process;

- To redress a possible evaluation abuse;
- To certify evaluation work, providing for accountability in evaluation;
- To illuminate and control for bias in evaluation work; or
- To assess the utility of new approaches to evaluation.

Meta-evaluations provide a quality control mechanism, then, that can be used to improve the theory and practice of evaluation.

Brinkerhoff, Brethower, Hluchyj and Nowakowski (1983:203) stated that less formal, internal meta-evaluation procedures are useful to revise an evaluation and also can help keep it on track. Likewise, meta-evaluation efforts help maintain commitment and involvement, and raise the credibility and authority of the evaluation.

It is expected that the review of the literature just concluded will provide a background of information to support the research to follow. The performance assessment and development model to be presented exhibits and incorporates the majority of the characteristics of effective performance assessment and development systems cited in the research.

CHAPTER III

METHOD AND RESEARCH DESIGN

Introduction

In this study, a model adapted and expanded upon from one originally designed by Dale L. Bolton (1980) was applied in two school settings. A planning document developed by the researcher for implementing the model was the main tool utilized in the application (see Appendix A).

A number of topics related to the methodology and research design are examined in this chapter. The topics are as follows: theoretical framework, the model, the research plan, the evaluation plan, some questions to be addressed, instrumentation, target groups, data collection and analysis, and significance.

Theoretical Framework

The underpinnings of this research are based upon the characteristics of effective performance and development systems in education, government and industry. Inherent in most effective performance and development systems is the assumption that people, in our culture, have the ability and desire to grow and develop, and thus perform better.

Knowles and Saxberg (1971), in a review of modern theories of organization, commented that modern theories of organization support the view that people have the capacity to become psychologically involved in cooperative activity and it is quite common for them to become self-motivated and self-controlled. Douglas McGregor (Davis:1981), with his theory of assumptions about employee behavior, supports the idea that most people have the potential to be mature and self-motivated. Organizational Development (OD) practitioners are grounded in McGregor's work (Huse:1975) and the OD theory has a Theory Y flavor. Abraham Maslow, with the Eupsychian Management model for educational administration, supported as the main thrust of this model the idea of

bringing optimum growth and development to all those who are in contact with the organization (Sergiovani and Carver: 1980:51-53). In a plan for a performance assessment and development system for educators, R. Common (1984:7) said that systems of this type should be based on the assumptions that the desire for growth is latent in everybody and that individuals look to the work place to grow personally and professionally. The performance assessment and development model for principals utilized in this study reflected the above assumptions – man has the potential for positive growth and development in organizations.

A significant number of writers and researchers have described the purposes and characteristics of successful performance assessment and development systems. The review of the literature in Chapter II summarizes the most common purposes as follows:

1. To provide feedback to the employee so that future performance can be improved. This is usually followed up with ongoing inservice or training activities to help the employee to improve and develop the skills required (more formative in nature).
2. To assist the organization management in deciding what the future employment prospects might be for the employee – promotion, transfer, disciplinary action or termination. This procedure can also help the organization validate employee selection procedures (more summative in nature).

The purpose of the model and the performance assessment document field tested in this particular research conforms more to the first purpose even though there are some elements of the second purpose included for consideration – more formative in nature than summative.

Many elements of effective performance assessment and development systems were referred to earlier in Chapter II. Many of the effective systems promote the following:

1. The establishment of clear, realistic performance goals usually mutually set by the participants.
2. The translation of overall organizational goals into objectives for the individual employee.
3. An insistence on clear and concise job descriptions.
4. Employee job satisfaction, job enrichment and overall employee job motivation.
5. The engendering of collective effort between the assessor and the assessee.
6. The development of productive communication between the assessor and assessee.
7. An emphasis on the positive aspects of performance, as well as recognition of the aspects which require improvement.
8. The involvement of self-evaluation procedures, as well as supervisor and other stakeholder evaluative involvement.
9. A continuous cyclical performance assessment and development process.
10. Provision for different assessments depending on the individuals and situations.
11. The relationship with other assessment (evaluation) systems within the organization.
12. The utilization of experienced assessors.
13. Full management support.
14. An appeal procedure for the employee.

(The foregoing fourteen elements are noted in Chapter II.)

The performance assessment system used in this study reflects the majority of the following characteristics:

1. A continuous and cyclical process.
2. The examination of input, process and output.
3. The consideration of processes and key results of several people.
4. A subsystem interrelated with other subsystems in the school organization.
5. Self-evaluation plus evaluation by fellow professionals.
6. The assessment of common objectives and unique objectives.
7. Monitoring the performance assessment plan to determine its effectiveness.
8. Provision for the growth and development of the principal.
9. A participative process involving the building of trust relationships among the participants (Bolton 1980:37).

The Model

There are three stages which operate on a continuous and cyclical process in the model. Stage I is the *Planning for Performance Assessment* stage. The principal's working environment is analyzed and with the working environment in mind, the purposes for the assessment and development are established, goals and objectives are set, and a measurement plan is formulated. Open communication by the participants is important in planning for assessment. Development activities are implemented to assist the principal in developing specific skills he/she may require in this stage. Evaluation of the processes and the outcomes in this stage is a necessary requirement.

Stage II is the *Gathering Data* stage. All of the activities which were planned for in Stage I are implemented in Stage II. Measurement takes place concurrently with implementation according to the measurement plan formulated in Stage I to ascertain

whether goals and objectives have been pursued and if the procedures utilized appear to be effective. Again, the necessity for open communication is emphasized, specific skill development continues for the principal, and the processes implemented and outcomes achieved in this stage are evaluated.

Stage III is the *Using Data* stage. The data gathered in Stage II are analyzed, interpreted and acted upon. Decisions are made as to how the responsibilities were performed and future action plans are formulated. Conferencing is probably the main source of interaction between the supervisor and the principal in this stage. Again, the necessity for open communication is emphasized, specific skill development continues for the principal, and outcomes achieved in this stage are evaluated.

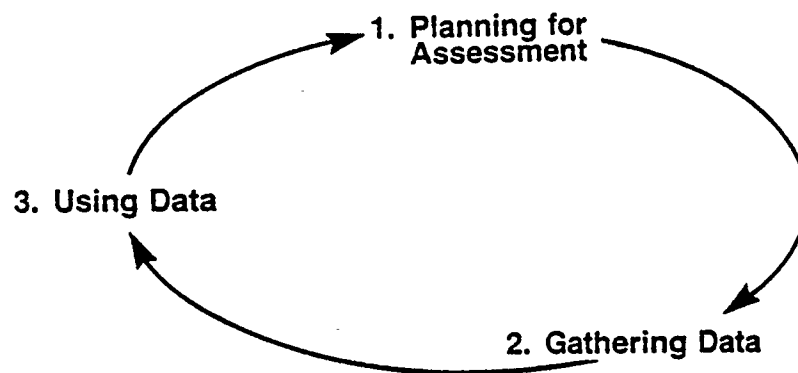
The next step, after the completion of Stage III, is to evaluate the total performance assessment and development model. This should be done to detect errors that may have surfaced because of implementation or changes in circumstances, constraints or environment, and to detect whether the assessment and development system produces the desired results. The evaluation should focus on the design and the implementation of the model because these are the two major areas in which problems can occur.

After the three stages and the evaluation have been completed, it is time to continue the cycle once again starting with Stage I and, therefore, the process is continuous and cyclical.

The figures which follow present the model in a visual format. Figure 1 describes the three-stage cyclical process. Figure 2 lays out the three stages and the major components of each stage. Figures 3, 4 and 5 describe each of the three stages in more detail.

A PERFORMANCE ASSESSMENT AND DEVELOPMENT MODEL FOR SCHOOL PRINCIPALS

A three stage cyclical process:



Adapted and expanded from a model designed
by Dale L. Bolton (1980).

Figure 1: A Performance Assessment and Development Model

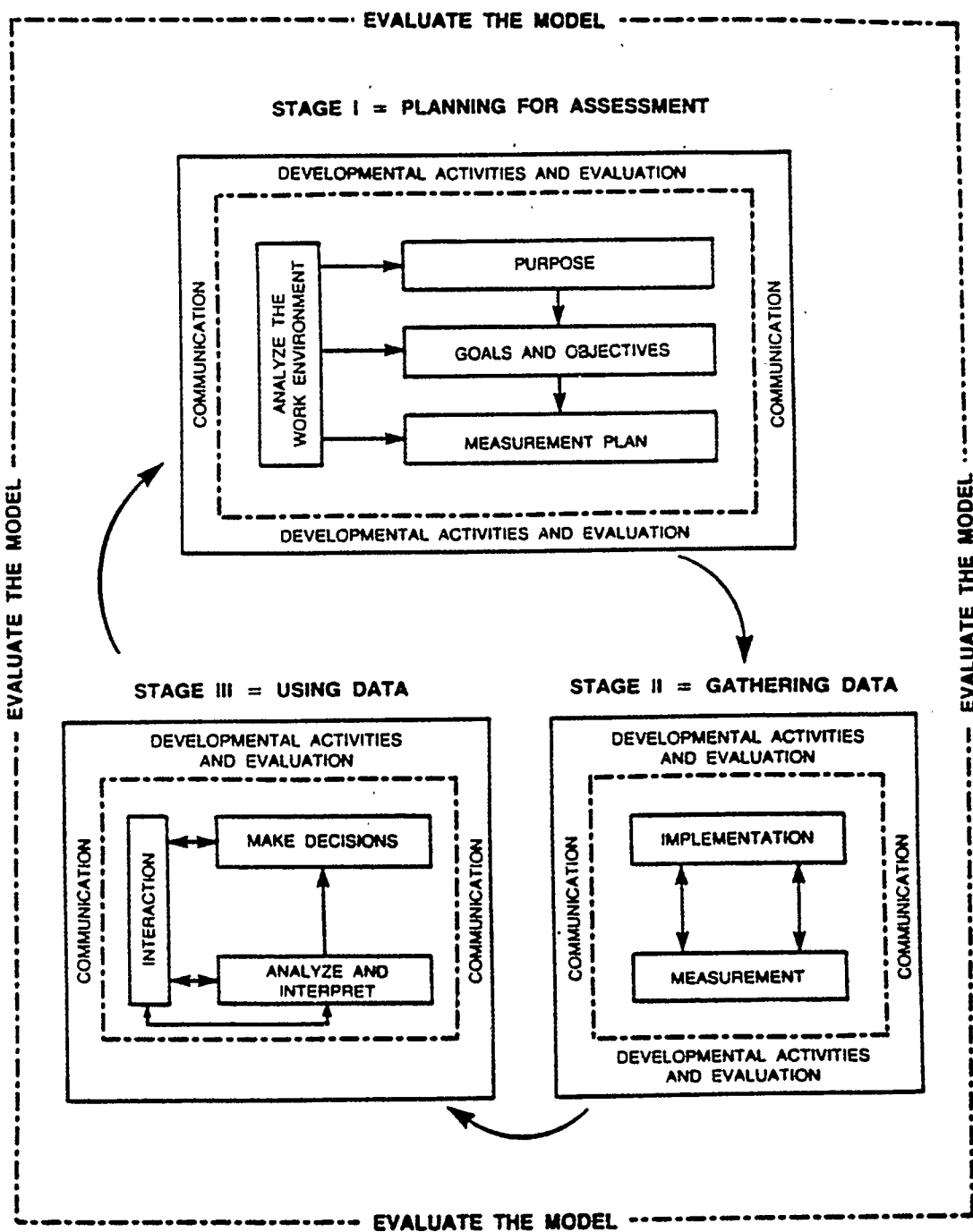


Figure 2: Performance Assessment and Development Model

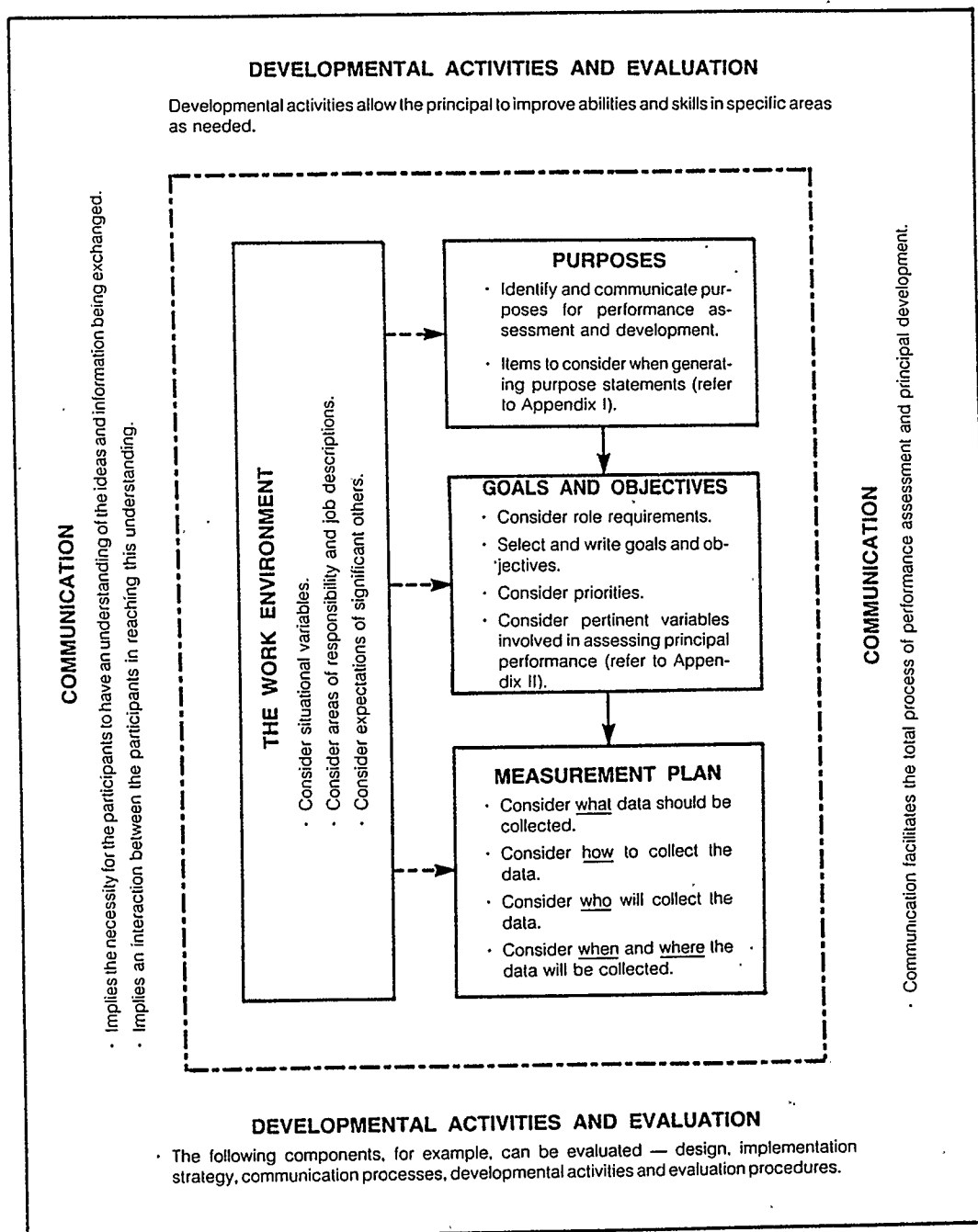


Figure 3: Planning for Performance Assessment (Stage I)

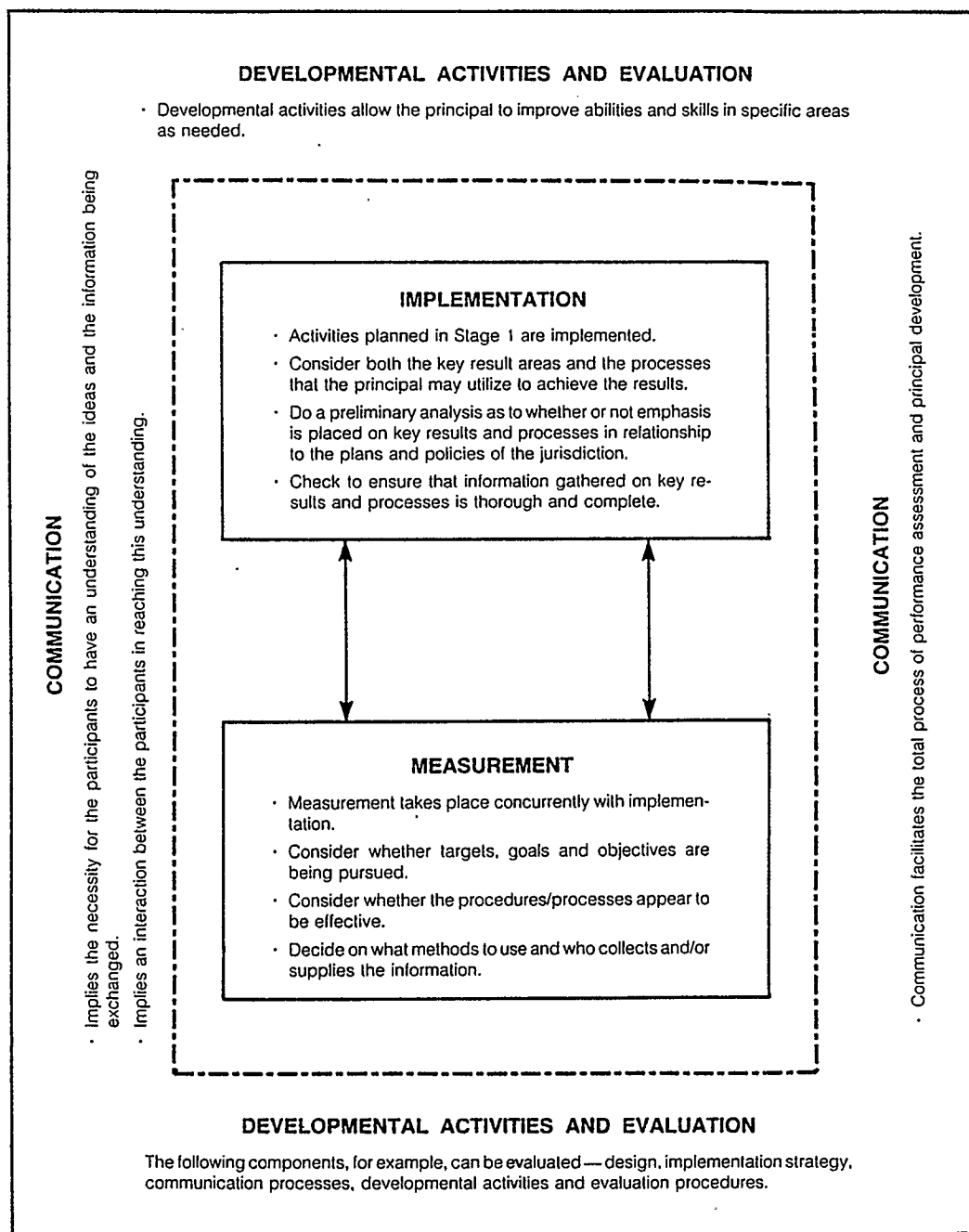


Figure 4: Gathering Data (Stage II)

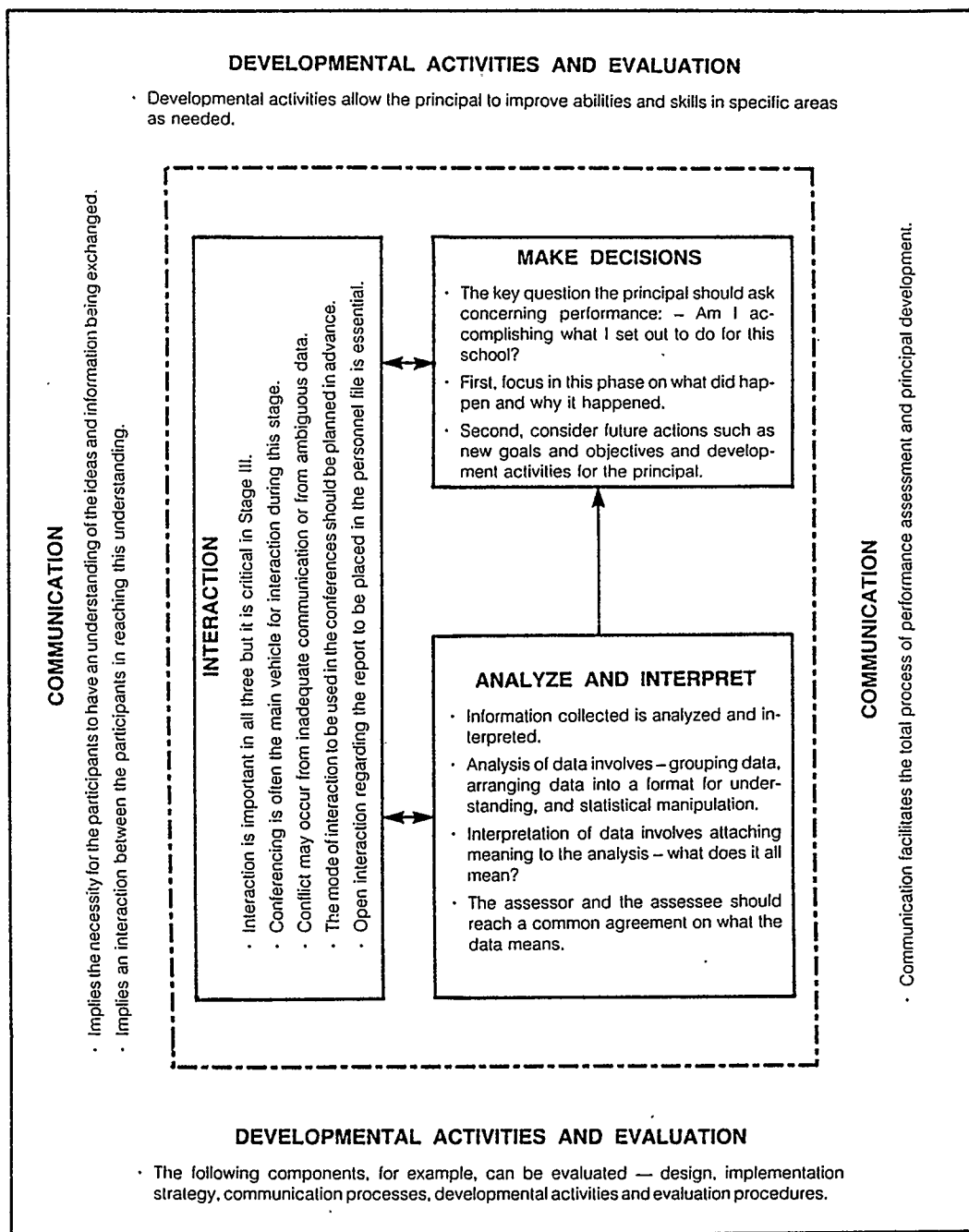


Figure 5: Using Data (Stage III)

The Research Method

The research activities occurred in the following order:

Review of Initial Draft of Model and Implementation Document

A model for performance assessment and development of school principals, combined with an implementation document, was constructed by the researcher in the spring of 1985. The first drafts of the model and this implementation document were circulated to supervisors of in-school administrators and to Alberta Education personnel with expertise in the area of school administration. All superintendents, deputy superintendents, and three members from the Lethbridge Regional Office of Alberta Education were asked to respond with perceptions as to validity and the applicability of the model in school settings. Feedback was also requested on the perceived strengths and weaknesses, and suggestions were solicited for the improvement of the model and the document.

The model and the document were sent to twenty-five individuals with twenty of those selected responding (80 percent). Participants responded in different ways – some with written comments, some by telephone interviews and some by personal interviews. The researcher did a final review and perception check with all respondents via a brief telephone interview.

All but one respondent replied with positive comments concerning the general applicability and need for such a performance assessment and development plan. The following comments were presented:

- Your blueprint is comprehensive and, I believe, will be a useful tool in developing a model for assessing performance of in-school administrators and assisting them to improve their performance.

- It is also timely with the emphasis Alberta Education is currently placing upon evaluation and improvement of instruction.
- I can only say the proposal appears to have a great deal of merit.
- . . . in a district, the appraisers could modify various aspects to suit local needs.
- I am in support of your proposed blueprint.
- The blueprint has practical application and holds together.
- . . . I like the overall conceptualization of the evaluation process in the form of a circular process involving distinct stages.
- The overall model is fairly easy to comprehend and understand; this may lessen some fears that staff have concerning an evaluation since the steps are clearly illustrated and are on-going.
- I appreciate the relative ease with which the model can be understood.
- . . . the model would be an excellent starting point for any assessment program, of course in particular for in-school administrators.
- It provides a major framework from which the evaluator and the evaluatee can build a unique assessment program tailored to meet the needs of the particular situation.
- . . . the model provides an extensive list of administrative functions, processes and desired products to be considered in any assessment. One could pick and choose in accordance with the desired breadth of the assessment.
- I would expect that if your model would be followed a high degree of individual satisfaction with the process, and probably the results, would occur.
- . . . basically a viable model.
- . . . to implement the plan in a school will take a significant amount of time – this is a strength as well as a weakness.
- . . . the bottom line is I like it and would like to use it.

- . . . I like the flexibility of being able to use what is applicable to a particular school setting.
- The three-stage model (cyclical process) seems very logical and useful as a general framework for performance assessment of in-school administrators.
- . . . I think you have a good framework here that has all the important components in it (either explicitly or implied).
- . . . the evaluation of the assessment model is an excellent component of the process.

There were a number of suggestions for changes and improvements, some to the model and the majority to the implementation document. The most common comments suggested that the document was too lengthy (98 pages in total) and because of its length it would therefore be somewhat overpowering to users and would be difficult to use in systems with limited supervisory capabilities. It was suggested by a number of respondents that the format should be simplified and the package of materials made more attractive. Respondents critiqued the model and the document in a comprehensive manner by writing comments in the document where they had suggestions for improvements. These suggestions related to such components as the need to deal with ambiguous terms and concepts, grammatical changes, additions and deletions of items, and the need to clarify and simplify some diagrams and terminology. Two respondents commented on the need to continually emphasize the importance of effective communication to make this plan work as intended. Two other respondents commented on the need to continually reinforce the idea that this is a collaborative approach to the assessment of performance and development and that the approach should be more formative than summative. All of the respondents except one concluded that the performance assessment and development plan would be valid and applicable for use in school systems if some of the suggested modifications were adopted.

The researcher utilized the feedback obtained from the respondents and revised the length, the format and the aesthetic appeal of the package of materials. The large package of materials was separated into three documents – a synoptic explanatory document of the model and the process (8 pages), a planning document for implementing the model (24 pages) and an optional planning document (18 pages). These changes compressed the package of materials from ninety-eight pages to fifty pages. The package of materials was then prepared commercially with larger, improved print and the diagrams were upgraded so they were easier to comprehend. Overall, the package physically appeared more inviting to the eye. The majority of the other suggestions made by the respondents were also incorporated in the revisions.

Review of Second Draft of Model and Implementation Documents

In August 1987 the second draft of the model with the accompanying implementation documents was submitted to a panel of experts. Three members had practicing backgrounds in the area of administrator evaluation and one was a university faculty member with expertise in evaluation. All four have earned doctorate degrees. The process began with individual orientation sessions with the four experts (one education professor withdrew) to familiarize them with the materials and to respond to questions. The materials were then left with them for further analysis (refer to Appendix B for a copy of the instructions and feedback presented to the panel). All respondents replied with written comments and, after the researcher reviewed the comments, a concluding interview was held with each one.

Each panel member was asked to present their general impression of the research. The following comments summarize the responses:

- . . . very timely – it is interesting and looks promising – it will be interesting to see how it will work in a school setting.

- . . . a very interesting and an important topic within educational administration at this time.
- I like the concept of performance assessment and professional development complementing one another . . . interesting as well as useful.
- I agree with the three-stage cyclical process and it should be useful for both principals and supervisors.

The experts were also asked to respond to the following questions related to validity: (1) Will each stage do what it purports to do? and (2) Will the total model, with the accompanying instruments, do what it purports to do? The panel members responded by assessing the model and the implementation documents separately. All four experts expressed the opinion that each stage, as well as the total model, should accomplish what they purported to do, e.g., in the three stages a supervisor and a principal would be able to plan for assessment, gather and use the data. The total model would provide an avenue for assessing the performance of the principal and assist in the further development of job-related skills required by the principal. One expert had some reservation as to whether or not the model could be used for both performance assessment and professional development. The panel member went on to comment that one would have to be careful when applying the model that the performance assessment component and the professional development did not conflict. The other three experts expressed the opinion that the concept of having both performance assessment and professional development working together to help the principal to grow and to perform at a higher level was a strong point in favor of the model.

The four experts expressed the basic opinion that the two documents (Document II – *A Planning for Implementing the Model*, and Document III – *An Additional but Optional Planning Document for Implementing the Model*) should provide the avenue(s) for implementing the model as purported. Opinions were somewhat split on the two

documents. Three panel members predicted that Document II, with some minor modifications, would accomplish the task of implementing the model as proposed, and Document III could be used as an additional and optional document if required. The other panel member presented the opinion that Document II was too directive and that Document III, with some language clarification, would be a better one to use in implementing the model as it allowed for more divergent thinking and would better address the qualitative aspects of the principalship. Two of the three other panel members expressed the opinion that even Document II, in some areas, required more direction for the supervisor and the principal in working through the document. The experts with practitioner backgrounds appeared to prefer more direction in the documents than the faculty expert with an evaluation background.

The panel of experts supplied an extensive amount of specific feedback regarding the clarity and the appropriateness of the content and the wording in the documents. The experts also suggested additions and deletions for the documents, especially Document II. All panel members examined Document II in detail. Constructive criticism was given regarding improved wording, consistent terminology and grammatical usage. Suggestions were given about items and sections which some experts found to be complicated and/or unclear. Two experts expressed the opinion that there should be more forced-choice questions rather than the open-ended question format, whereas another expert expressed the opposite opinion. The majority opinion reflected a need for direction using the questions as guidelines for the supervisor and the principal to follow. Experts expressed the opinion that some questions required more space for participant response. There were significantly more positive and constructive comments regarding Document II than negative ones.

Document III, the optional planning document which was more open-ended in nature, was endorsed positively by the experts with a few suggestions for language clarification, as a useful additional document for those users who wished to do more extensive planning.

There were a few questions raised again about the overall format utilized for the model and the accompanying documents. It was suggested that perhaps all three documents could be compressed into one document. This would make it more "user friendly."

The researcher analyzed the comments presented by the panel of experts and incorporated most of them into one revised planning document reduced from approximately fifty working pages to approximately twenty-five working pages. In the new document there is a working page and opposite to the working page there is a diagram of the particular stage being addressed. This allows the participants to refer to the diagram of the model as they are responding to the questions in the planning document and to keep track of their progress through each of the three stages. One-half of each working page was left blank except for a major section heading at the top for those supervisors and principals who wish additional space for user planning. It was emphasized that the questions addressed in the document were only suggestions and it was up to the individual supervisor and principals to pick and choose which ones were relevant for their particular situation. The researcher responded to suggestions made by the panel to streamline questions, to remove redundant questions and to add additional relevant questions. Grammatical errors were addressed, an attempt was made to use consistent terminology, and sexist language was corrected. More questions were constructed in a forced-choice format, but as well, more space and opportunity was provided for those who wished to explore more of the qualitative aspects of the

principalship. More space was provided for those participants who wished to write extensive plans.

In the fall of 1987, two school systems were approached to field test the model with the accompanying implementation document. These schools were not selected randomly. The schools were chosen because the supervisors expressed an interest in having the opportunity to apply a performance assessment and development system in their school jurisdictions. Neither jurisdiction had a system in operation at the time. The two systems which volunteered to participate were readily accessible to the researcher which facilitated the required on-site visitations. Initial approval was received to field test in a school in a medium sized rural/urban split school division (referred to as School A in the field study). The other school selected was a school located in a village in a rural county school system (referred to as School B in the field study). One of the field tests involved the principal, the assistant principal and the deputy Superintendent; and the other field test involved the principal and the director of curriculum and instruction.

At the same time, in the fall of 1987, the research project was submitted to the Education Joint Research Ethics Committee for review. Permission to proceed was granted on September 25, 1987 after conditions set by the Committee were addressed by the researcher regarding the final disposition of research data collected that could possibly put participants "at risk."

In the spring of 1988, after the model and the implementation document had been revised one more time, formal meetings were held with the participants to start the actual field testing activity. The revised materials incorporated the proposed recommendations suggested by the panel of experts (see Appendix A). The field testing phase was completed by mid-February 1989.

The foregoing activities beginning in the spring of 1985 and culminating in late winter 1989 outline the activities that occurred in the research plan.

The Evaluation Plan

The nature of this evaluation resembles a naturalistic (holistic) approach more so than a scientific (rational) approach (Guba and Lincoln:1981). A condensed comparison of these two approaches is included in Table 1. Assumptions about reality, the inquirer/subject relationship and the nature of truth statements are analyzed in the setting of the two paradigms (Guba/Lincoln 1981:65).

Table 1
Basic Assumptions of the Scientific and Naturalistic Paradigms

Assumptions About	Paradigm	
	Scientific	Naturalistic
Reality	Singular, convergent, fragmentable	Multiple, divergent, interrelated
Inquirer/subject relationship	Independent	Interrelated
Nature of truth statements	Generalizations – nomothetic statements focus on similarities	Working hypotheses – idiographic statements – focus on differences

In Table 2, Guba and Lincoln (1981:65) outline the derivative postures of the scientific and naturalistic paradigms. The general characteristics, as well as the methodological characteristics, are examined in this framework.

Table 2
Derivative Postures of the Scientific and Naturalistic Paradigms

Postures About	Scientific Paradigm General Characteristics	Naturalistic Paradigm
Preferred techniques	Quantitative	Qualitative
Quality criterion	Rigor	Relevance
Source of theory	A priori	Grounded
Questions of causality	Can x cause y?	Does x cause y in a natural setting?
Knowledge types used	Propositional	Propositional and tacit
Stance	Reductionist	Expansionist
Purpose	Verification	Discovery
Methodological Characteristics		
Instrument	Paper-and-pencil on physical device	Inquirer (often)
Timing of the specification of data collection and analysis rules	Before inquiry	During and after inquiry
Design	Preordinate	Emergent
Style	Intervention	Selection
Setting	Laboratory	Nature
Treatment	Stable	Variable
Analytic	Variables	Patterns
Contextual elements	Control	Invited interference

Postures represent differences in usage among followers of the two paradigms – differences that are not intrinsic to the paradigms but represent “natural inclinations” such as preferences for quantitative or qualitative techniques or preferences for rigor or relevance. Compromises on postures are possible and should be sought assiduously, but the compromises must be attained with respect to the particular inquiry problem – they are not simply “middle positions” or “golden means.”

In Figure 6, Guba and Lincoln (1981:79) figuratively represent the two domains of inquiry – naturalistic and scientific. Naturalistic inquiry is operationally defined as a function of the constraints placed upon antecedent conditions and outputs of the inquiry. The extreme of scientific inquiry, commonly called experimentation, severely constrains both antecedent conditions and output factors, while the extreme of naturalistic inquiry constrains neither. This formulation is useful because it links all forms of inquiry within a single conceptual structure because it suggests that pure forms of either scientific or naturalistic inquiry are rarely found.

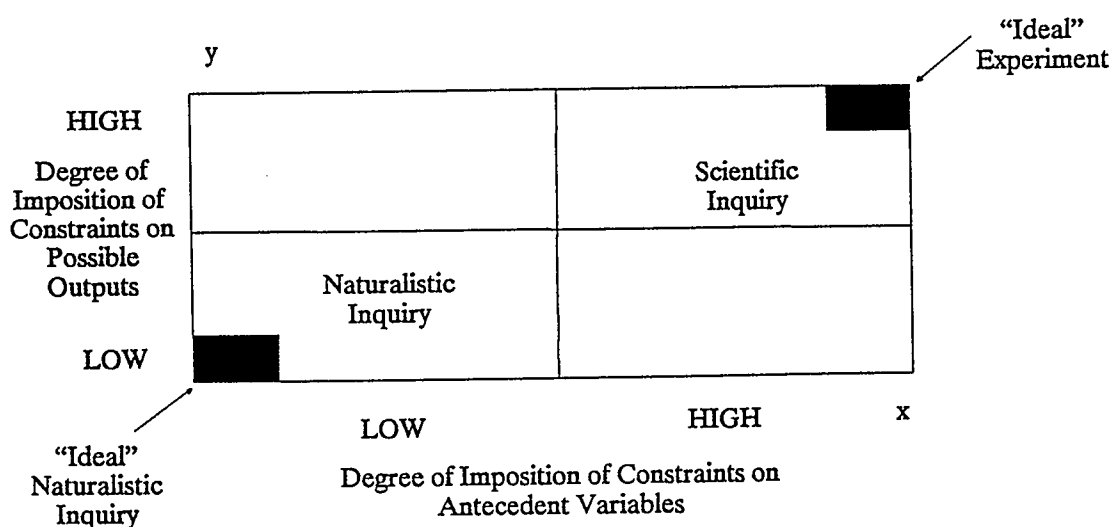


Figure 6: Representation of the Domain of Inquiry

The basic design for a naturalistic study tends to evolve during the course of the study, but some elements of the study must be prespecified. Benson and Michael (1987:51), in reviewing the writings of Lincoln and Guba, state that the following elements should be prespecified: the focus of the study, the site(s) of data collection, instrumentation, successive phases of the study and the trustworthiness of the data.

Madaus, Scriven and Stufflebeam (1983:213), in reviewing evaluation models, refer to the positive testimonial by Lincoln and Guba of the naturalistic approach. It offers a contextual relevance and richness that is unmatched; it displays a sensitivity to process virtually excluded in paradigms stressing control and experimentation; it is driven by theory grounded in the data – the naturalist does not search for data that fit a theory, but develops a theory to explain the data. Finally, naturalistic approaches take full advantage of the not inconsiderable power of the human-as-instrument, providing a more than adequate trade-off for the presumably more objective approach that characterizes rationalistic inquiry.

Madaus, Scriven and Stufflebeam (1983:330) cite the following defense for the naturalistic approach:

Finally, we have argued that while several centuries of rationalistic inquiry have allowed the development of rather strict and inviolable canons of rigor, the naturalistic school is only beginning to develop an arsenal of weapons against the charge of non-rigor or untrustworthiness. We have demonstrated that it is possible to consider the questions of internal validity, external validity, reliability, and objectivity within the framework of naturalism, but argued for concepts which are more germane – credibility, transferability, dependability and confirmability. We proposed criteria by which external reviewers of naturalistic research might judge the trustworthiness of those studies. While these criteria do not provide unassailable defenses against charges of untrustworthiness, they nevertheless assure the consumer of such research that appropriate steps have been taken to produce data from human sources and contexts that are meaningful, trackable, verifiable and grounded in the real-life situations from which they were derived.

The naturalistic paradigm seems to us to have much to recommend it. We urge that it be given a fair trial (Madaus, Scriven and Stufflebeam 1983:330).

Guba and Lincoln (1981:127) defend this approach:

Naturalistic methods are no worse than scientific in achieving neutrality and may at times be better. Whatever degree of apparent objectivity may be lost is more than compensated for by the continuously emerging insights that naturalistic methods produce.

This research utilizes a case study approach to describe what happened when the performance assessment and development model and the implementation document were field tested in the schools. The case study, which is often used in a naturalistic type of evaluation, is not a specific technique but rather a method of organizing data for the purpose of analyzing a particular research project (Van Dalen 1979:294).

A case study is similar to a survey, but instead of gathering data concerning a few factors from a large number of social units, investigators make an intensive study of a limited number of representative cases. A case study is narrower in scope but more exhaustive and more qualitative in nature than a survey. A case study may provide insights that will help an investigator formulate a fruitful hypothesis for further study. A particular condition that exists in a unique instance suggests a factor to look for in other cases.

Stake (Madaus, Scriven and Stufflebeam 1983) comments on the case study method: In American research circles, most methodologists have been of positivistic persuasion. The more episodic, subjective procedures, common to the case study, have been considered weaker than the experimental or correlational studies for explaining things.

When explanation, propositional knowledge and law are the aims of an inquiry, the case study will often be at a disadvantage. When the aims are understanding, extension

of experience and increase in conviction in that which is known, the disadvantage disappears.

The characteristics of the method are usually more suited to expansionist than reductionist pursuits. Theory building is the search for essences, pervasive and determining ingredients and the makings of laws. The case study, however, proliferates rather than narrows. The case study attends to the idiosyncratic more than to the pervasive. The fact that it has been useful in theory building does not mean that is its best use.

Case studies are likely to continue to be popular because of their style and to be useful for exploration for those who search for explanatory laws. And, moreover, because of the universality and importance of experiential understanding and, because of their compatibility with such understanding, case studies can be expected to continue to have an epistemological advantage over other inquiry methods as a basis for naturalistic generalization.

Guba and Lincoln (1981) state that there are three main kinds of human-to-human measures for collecting data in the naturalistic approach – interviewing, observation and nonverbal communication. They also state that using documents and records are a useful means of collecting data in this type of approach. This particular study will utilize these measures with the case study method in collecting and analyzing the data.

This research project generally fits under the umbrella of naturalistic research as opposed to that of scientific research. Research takes place in two different and somewhat dissimilar field settings. The nature of the study is more expansionist rather than reductionist, i.e., open and exploring for new insights as opposed to highly structured and focused. The purpose relates more to the discovery of elements and insights not yet included in the existing theories as opposed to the verification of hypotheses formulated in advance. The researcher is not independent from the study but is rather actively

involved as an instrument (interviewer and observer). This study utilizes the collaborative approach of action research (French and Bell 1978:16) which is easily accommodated within the parameters of the naturalistic paradigm. The action research model consists of:

1. A preliminary diagnosis or review of the specific situation,
2. Data gathering from the client group,
3. Data feedback to the client group,
4. Data exploration with the client group,
5. Action planning, and
6. Action.

Questions to be Addressed

Participants in the case studies were requested to respond to questions on the following topics. The majority of these topics are included in the evaluation section of the implementation document.

Questions Related to the Implementation of the Three Stages of the Model

Each section in each stage will be reviewed by questioning the participants as to whether or not the topics addressed in the stages provided the assistance required to implement the stages as proposed. The participants were asked to respond to a similar question for each stage which attempts to assess whether or not each stage accomplished what it purported to accomplish.

Questions Related to the General Elements of the Performance Assessment and Development System (Design)

Participants were asked to verify whether or not the following key elements of the performance assessment and development system were evident. The system:

1. Is a continuous and cyclical process;
2. Involves the examination of input, process and output;

3. Interrelates with other evaluation sub-systems in the school and school system;
4. Allows for a component of self-evaluation;
5. Provides for the assessment of goals and objectives;
6. Provides for the professional growth and development of the principal;
7. Provides for the monitoring of the performance assessment plan to determine its effectiveness;
8. Operates as a participative process involving the building of trust relationships;
9. Provides flexibility for the performance assessment and development of principals who have to function differently in varying locations and institutions;
10. Allows for modifications during the process, e.g., goals and objectives can be modified; and
11. Encourages feedback and open communication between participants.

Questions Focusing on the Implementation of the System

Participants will be asked to respond to the following questions involving the implementation of the system. During the implementation:

1. Was feedback provided to the principal so that subsequent performance could be improved?
2. Was inservice training provided for the developmental needs of the principal?
and
3. Did the use of the system facilitate:
 - (a) The translation of organizational goals into objectives for the principal?

- (b) Performance being evaluated on the basis of clear and concise job descriptions?
- (c) The establishment of clear, realistic performance goals (mutually set)?
- (d) The promotion of job satisfaction for the principal?
- (e) The promotion of job enrichment for the principal?
- (f) Increased motivation for the principal?
- (g) Effective communication between the principal and the supervisor? and
- (h) The discussion of the positive as well as the negative aspects of the performance?

General Questions Related to the Implementation of the System and the Research

1. Was it possible to successfully implement this particular model of a performance assessment and development system?
2. Did the implementation of this model assist school systems in helping school principals become more effective through the assessment of their performance and through the provision of appropriate developmental activities?
3. What are participant perceptions of this system as a whole, e.g., what are the strengths, weaknesses and possible methods to improve upon the system?
4. What can be said about the credibility, fittingness, auditability and confirmability of the results of this research?

Because of the naturalistic nature of this approach to research, there will be more questions arising as the study progresses.

Instrumentation

The types of instruments used to collect information for the research were the type commonly used in naturalistic/descriptive studies. In the initial construction and refinement of the model and the implementation document, the main instruments used

were questionnaires which were both somewhat directive but, as well, provided for open-ended responses. Interviews between the subjects and the researcher were also utilized in this phase of the research.

In the field testing phase of the research, observation was a major instrument used. In both cases the researcher was an observer – in one case an active participant observer and in the other more of a non-participant observer. In these above roles, the researcher was an instrument as well, in line with the naturalistic study approach. The model and the implementation document also served as instruments in the study. There were ongoing interviews with the participants both in a personal mode and by telephone. Examination of written records such as school system policies, school evaluation reports, school policies, job descriptions, mission statements and school philosophies were completed. A questionnaire and follow-up interview to the questionnaire were utilized in the final evaluation of the model and the implementation document. The participants also examined the written description of the field study and agreed with the content of the report (refer to Appendix D).

Data Collection

In the revision phases of the research when the model and the implementation document(s) were being revised, data were collected by written questionnaire, and personal and telephone interviews.

In the field testing phase, data were collected via field notes, tape recorded sessions with participants, capsule comments in the implementation document, examination of written documents, and through a final evaluation questionnaire and follow-up interview.

Data Analysis

In the first two phases where the model and the implementation document were being reconstructed after feedback, changes were usually incorporated if there was a significant number of responses suggesting a change or a deletion. Since much of the advice was based on expert opinion, some changes or deletions were made on the suggestions of a limited number of responses and, in some cases, on the feedback by one expert. All opinions from experts were analyzed on an individual as well as on a collective basis. The researcher was required to make value judgments on some feedback if there was conflicting expert opinion.

In the field testing phases where the model and the implementation document were applied in two different school settings, the analysis of the data tended to be more descriptive in nature. Similarities in the results of the two applications were analyzed and, just as important, the dissimilarities were analyzed. The researcher then attempted to explore the possible explanations for the similarities and dissimilarities. There are also implications for future research arising from this type of analysis as some findings require further study.

Significance

Evaluation is a key concept in education today, especially in Alberta. Currently educators are working with models to evaluate school systems, schools, programs and teachers, but there is very little in place to evaluate principals. It is conceivable that this model of performance assessment and development of school principals would assist in filling a void by providing a useful tool for school systems in assessing and developing principals. In this era of effective school literature, it could be postulated that this model

would assist in developing effective principals and these principals in turn would make their schools more effective.

This research should have implications for both practitioners in the field who can utilize such a model, as well as the researchers who could refine, substantiate and improve upon the model and the document. There may be implications for further research emanating from this study.

CHAPTER IV

PRESENTATION AND ANALYSIS OF DATA

Introduction

As a basis for initial formulation of the model with the performance assessment and development document, a number of performance assessment systems were obtained and reviewed from industry, business and government agencies. The industry and business systems included oil, utility, transportation, investment, service and health related organizations. A number of systems from government agencies in Alberta and Saskatchewan were also reviewed to assist the researcher in formulating a perception of performance assessment and development systems that existed outside of the educational sphere. Over thirty different performance assessment systems were reviewed for the above purpose.

In the field of education, particularly in the area of school administrator assessment, there was not a great deal of research on comprehensive and developmental systems. A model developed by Dale Bolton (1980) outlining a plan for the evaluation and development of school administrators was a system that this researcher perceived should be examined in detail and, as well, field tested in Alberta school settings. Bolton's original model was revised and adapted and a document was constructed to facilitate the implementation of the performance assessment and development system in school settings.

Field Testing Phase

The field testing took place in two schools during the same time period from April 1988 to February 1989. The schools were referred to as School A and School B to ensure anonymity. Procedures were established for the introduction of the performance assessment and development plan and for the implementation of the first stage of the system. The following procedures were introduced and agreed to by participants:

1. The researcher would review and discuss the total document with the supervisor and the principal, emphasizing the following:
 - (a) The assumption that the principal is the key player in the school.
 - (b) The philosophical and other major assumptions that underlie the use of this approach to performance assessment and development.
 - (c) A “walk-through” of the application of the model (how it works).
 - (d) An explanation of the approach to be utilized in field testing the document. The field testing of the three stages would be a “hands-on” approach. The supervisor and the principal would work through the stages in the actual school setting.
2. Field testing – *Stage I: Planning for Performance Assessment*: The outlined steps would proceed in numerical order.
 - (a) The principal would collect the background material required in Stage I, *Step I – Analyze the Work Environment*, e.g., job description, etc.
 - (b) The principal would then supply a copy of the material collected above to the supervisor to review prior to their first joint meeting.
 - (c) The supervisor and principal together should review the material collected.
 - (d) The participants together should review and mutually understand the mission statement, agree to specific purposes for the plan, examine the procedures to be utilized to accomplish the purposes and decide as to whether or not the purposes and procedures have been clearly identified, discussed and fully understood.

- (e) Once the above has been completed, then it is on to *Step III – Establish Goals and Objectives*. The environmental data analyzed earlier should be considered when establishing goals and objectives.
- (f) The supervisor and principal in concert should review, discuss and agree to items related to the role of the principal, goals/objectives, the related priorities, and the variables to be considered when assessing principal performance.
- (g) The implementation of the model has now reached *Step IV – Examine the Measurement Plan*. At this point, the supervisor and the principal should devise and agree to a written measurement plan to ascertain in the future stages whether or not they have achieved the purpose(s) of the assessment plan, the goals and the specific objectives.
- (h) It is important throughout this stage to keep in mind the importance of open communication between participants, the utilization of appropriate developmental activities, and ongoing evaluation activities.

As outlined in the model, *Stage I: Planning for Performance Assessment* should now be completed. There should be total agreement between the supervisor and the principal as to where they are going, how they are going to get there, when they are going to get there and, as well, have a plan to tell them in the future whether or not the trip was successful.

Procedures for the implementation of Stages II and III were not specified at this time as the researcher believed that the participants in both schools had enough direction to get the plan underway, and how the plan proceeded from this stage should evolve through collaborative planning at the school level between the principal(s) and the supervisor using the planning document as a reference.

It is noted that many informal contacts, either by telephone or while the participants were meeting on other topics, resulted in additional discussions regarding the performance assessment and development plan. These types of contacts occurred at least once a week during the field testing phase. The data to be presented in this research will focus on the scheduled conferences between the participants.

School A: Data Presentation and Analysis

A preliminary meeting was held in late February 1988 and the participants were given copies of the research materials to review before the first formal session scheduled for April 13, 1988. It was decided that the participants would be the deputy superintendent, the principal and the assistant principal. It was agreed that the researcher would use audiotapes and field notes to record the sessions. The researcher informed the participants that he would attend all formal sessions and would be available for informal meetings as required. The principal and the assistant principal appeared to be somewhat anxious and perhaps a little wary whereas the deputy superintendent was very enthusiastic about the project. There did not appear to be a highly developed trusting relationship in existence between the participants at this point in time.

Session One (Introduction)

The first working session was held on April 13, 1988 at the school. The group consisted of the above-mentioned participants and the researcher. A review of school system policy on evaluation was presented by the deputy superintendent. The researcher then outlined briefly the nature of this particular research topic and the current trends and concepts related to performance assessment. The participants together reviewed the model and the implementation document. Following the brief overview, the participants asked a few questions and commented that the plan looked promising and they were looking forward to being assessed using this plan.

The session continued by working through the three stages. Suggestions for changes and additions were presented. Approximately one and one-half hours were spent working through Stage I and the participants agreed that this was necessary because this stage established the groundwork for the study. Another hour was utilized for review and discussion of the remainder of the document. The procedures for field testing were reviewed. Participants collaboratively agreed as to what materials had to be prepared for the next meeting, when they would be prepared and distributed, and who would be responsible for the preparation.

A number of observations as to what transpired during this first session were recorded from an analysis of the audiotapes and the field notes. As the session progressed, the participants became more involved in discussion, more animated, and started making suggestions for the inclusion or exclusion of items. The principal and the assistant principal presented a number of unsolicited comments about the project – this approach made them feel part of the process and the performance assessment was being done with their involvement and not “to them.” The principal and the assistant principal perceived this performance assessment and development system would assist them in performing their responsibilities better and would protect them from unwarranted criticism because responsibilities would be spelled out clearly. The in-school administrators concluded that, after the introductory session, any misapprehension they held prior to the session had been dispelled. The deputy superintendent emphasized that the developmental (formative) thrust of the plan was a great feature. All three participants commented on the importance of the first session as the process and the working relationships were established at this time. The three participants near the end of this first session agreed that this research project would not just be an academic exercise, but

it would be utilized as a formal performance assessment and development plan for the two in-school administrators (their request).

Participants expressed some concern as to the amount of time that would be required to perform an adequate job of implementing this system. Initially, the plan had been set to operate the field testing component until the end of June 1988. The participants agreed that this was not sufficient time and revised the plan to run the field test until the end of January 1989. The three participants also asked the researcher to become an active member in the implementation of this plan and at this point the researcher became a participant observer. A tentative agenda, assignment of tasks and the next meeting date were established collaboratively by the participants at the conclusion of the session.

Session Two (Planning for Performance Assessment)

This session was held on May 3, 1988 from 9:00 a.m. until noon. The major purpose of the meeting was to work through *Stage I: Planning for Performance Assessment*. The principal and the assistant principal presented the material prepared by them as a result of an analysis of the work environment, demographic variables, job descriptions and expectations of stakeholders.

The first hour of the session involved the presentation by the two in-school administrators. They suggested a change in the demographic data section which was agreed to by all participants. This section was discussed in some length. The participants reviewed the current job descriptions and what items should be included in these descriptions. The expectations of stakeholder groups for this particular school were discussed and the impact that these expectations held for in-school administrator performance.

The participants agreed that the major purpose of this performance assessment plan was to improve instructional leadership in the school. The group agreed that many of the other types of purposes included in the document would be included as related purposes. The following goals were set to facilitate the accomplishment of the major purpose:

1. Review the statement of philosophy and develop a mission statement for inclusion in the school handbook by September 15, 1988 (first priority).
2. Rewrite job descriptions for each administrator with an emphasis on curriculum/instructional leadership by October 15, 1988.
3. Propose recommendations for changes to the school system policy handbook committee regarding the duties and responsibilities of in-school administrators by October 15, 1988.
4. Establish additional procedures for receiving feedback from stakeholder groups by December 15, 1988.

The participants, in the next step, decided on a measurement plan. The timelines were set for attaining the goals and the supervisor and the in-school administrators agreed that a collaborative examination by the participants would be used to reach consensus as to whether the goals had been achieved according to expectations. This would be done largely by inspecting the written documents such as the job description, the school philosophy and the mission statement, and policies developed to achieve the goal statements.

The final step in Stage I involved a review of participants' communication process, use of developmental activities, and evaluation procedures. A number of observations were made during the second session from an analysis of the audiotapes and field notes. The principal and the vice principal were the discussion leaders in the first part of this

session as background material was presented on the work environment. The supervisor reviewed how the performance assessment and development plan would mesh with other evaluation policies in the school system. The principal, assistant principal and the deputy superintendent agreed on the importance of job descriptions. Initially, the in-school administrators were of the opinion that their current job descriptions were satisfactory but, after some feedback from the deputy superintendent, it was decided to construct the descriptions in a more specific framework. The in-school administrators discussed the interdependence of their positions and some areas of responsibilities that had not previously been considered. The participants discussed how the goals set in the school would complement school system priorities. The participants were open and candid with each other in discussion and there appeared to be a perception that participants were equals in this process. There were no negative comments recorded about the performance assessment system. The principal mentioned that he had only been evaluated once in twenty years of service and he wished it had been more often for his own development. The participants liked the implementation document because it provided a continuing focus for the performance assessment and development plan. It was noted that the implementation document was utilized selectively as the participants followed the steps in the model, but did not utilize every item as many were not applicable for their plan.

The supervisor worked with the principal and vice principal in providing developmental assistance in the area of writing mission statements, school philosophy statements, and goals and objectives. The audiotapes, field notes and feedback from the participants indicate that productive communication was part of the process and all agreed that the process facilitated communication between the participants. When evaluating what had transpired to the end of Stage I, all participants agreed that the process was working well. In a perception check, it was agreed Stage I in the implementation document had

provided a more than satisfactory vehicle in planning for assessment. The design of this stage and the implementation activities were satisfactory.

Session Three (Gathering Data)

The participants agreed that after the session in May, another session would not be held until the new school term in the fall of 1988. Unexpectedly, the deputy superintendent was on leave for a period in September and October so a formal session was not held until November. At this session in November, a thorough review of what had been done to date was the first order of business. Session Three focused on *Stage II: Gathering Data* activities.

In this session, the activities planned in Stage I were implemented. The in-school administrators had prepared draft copies of a school mission statement and school philosophy which were distributed to the staff and to the deputy superintendent for constructive feedback prior to this meeting. The same procedure was followed with the draft copies of the job descriptions. These drafts were later discussed at a staff meeting and with the deputy superintendent. During Session Three the draft copies were reviewed again with the deputy superintendent and the participant observer. The in-school administrators utilized a variety of processes to achieve results in the desired outcome areas such as negotiating, communicating and initiating change.

The implementation phase and the measurement phase were occurring together. The principal, assistant principal and the deputy superintendent agreed they were accomplishing their intended goals. The mission statement, school philosophy statement and the job descriptions would require only minor revisions.

Communication between the participants continued to be a key activity as participants openly debated until a consensus was reached on the revisions to be made to the draft copies. Developmental activities were ongoing as the in-school administrators

became more knowledgeable about mission statements, school philosophies and job descriptions. Evaluative comments were presented by the participants as they proceeded through this stage. The participants reinforced the idea that this performance assessment and development process facilitates the building of understanding and trust. The deputy superintendent commented that it would be valuable if this process could be carried over into the total school evaluation activity. Another positive comment was that this was an ongoing and flexible process which the participants found to be enjoyable and not stressful. The value of the document as both a planning and an evaluative tool that focuses on job performance rather than individual personalities was another positive facet.

At the conclusion of this session, the deputy superintendent, principal and the assistant principal agreed to a brief meeting on December 15, 1988 to review the revised mission statement and the statement of school philosophy, and to set timelines for priorities in the job descriptions.

Session Four (Using Data)

This session included mainly elements from Stage III. The purpose of the session was to review the finalized copies of the mission statement, school philosophy, job descriptions and the performance of the two administrators. Reporting of the results from this session was based on field notes and information from audiotapes. The session was held on January 23, 1989 from 9:00 a.m. until noon.

This was the wrap-up conference of the performance assessment and development exercise. Participants had agreed in Stage I that feedback on performance would be supplied to the principal and assistant principal throughout the process beginning in Stage II and culminating in Stage III. In Stage I the participants had also agreed that they would reach collaborative agreement as to whether or not the goals set were appropriately attained. This process worked smoothly with open debate but not conflict. Data were

analyzed and interpreted as the achievement of goals was compared to the original plan utilizing a collaborative approach.

The mission statement, the statement of school philosophy and the administrator job descriptions had been endorsed by the school staff, the in-school administrators, and the deputy superintendent. The format of the job descriptions complied with the school system requirement for action plans. The job descriptions were constructed so that they could be updated yearly with a minimum of effort. The principal's job description contained responsibilities for teacher supervision/evaluation, inservice/curriculum development, budget, community liaison, discipline, support staff supervision, report cards, parent-teacher conferences and cumulative records. The assistant principal's responsibilities mainly focused on teacher supervision and program coordination. The new mission statement for the school commented on the unique nature of the school and presented a plan to promote the academic and personal growth of all the children by teaching skills which would enable them to become successful students and useful members of society. The statement of philosophy expanded upon the mission statement and reviewed the purposes of education and the role of the school. It was agreed that the procedures used to implement the above goals worked as planned. The participants mutually agreed that two of the goals, originally planned for attainment in this cycle of the plan, would be referred for action to the next cycle of the performance assessment and development plan. The plan was flexible enough to accommodate this change and procedures were readily altered to accommodate the change. They agreed that the four goals targeted involved too much work for one cycle. The participants, as well as addressing the two goals not attained in this cycle, decided they would pursue two new goals in the next cycle related to classroom supervision and curriculum leadership activities.

Interaction among the participants facilitated the analysis and the interpretation of data and it allowed them to make decisions in an open and collaborative fashion. If conflict were to occur, it would usually happen in Stage III and that is why positive interaction among participants was essential. The trust relationship among the participants was well developed by this time and they were communicating openly. The report on the performance of the two administrators was written collaboratively and all four participants, including the participant observer, would be involved in the presentation to the board of trustees. The participants agreed to the contents and the nature of the reports and with the knowledge that a copy would be placed in their employment record file. The performance reports were positive with some suggestions for further professional development activities.

Communication among participants was productive. The participants agreed that the process involved in this plan was developmental in itself as they perceived themselves to be more open, more trustful, and more understanding with each other because of the collaborative approach required in this plan. The perceptions of the participants were that Stage III provided them with the necessary guidelines and support information to use the data – to analyze and interpret data and to then make decisions as to the success of their performance assessment and development plans.

At the conclusion of this meeting, it was agreed that the principal, assistant principal and the deputy superintendent would get together on February 3, 1989 to complete the participants' evaluation instrument. The final interview with the participants to discuss the comments on the evaluation instrument was set for February 16, 1989.

Session Five (Meta-evaluation)

During Session Five the principal, assistant principal and the deputy superintendent completed an evaluation instrument collaboratively to supply information on how the

performance assessment and development plan operated for their purposes. The researcher was not in attendance as a participant observer during the completion of the meta-evaluation document as his presence may have had a biasing influence on the results. The participants responded to forced-choice questions soliciting feedback as to whether or not the following sections in the implementation document provided the necessary support for the implementation of the plan.

Did the following sections in Stage I facilitate the implementation of the model?
(please check one)

Stage I: Planning for Performance Assessment

Section	Response	
	Yes	No
Work Environment	✓	
Purpose(s)	✓	
Goals and Objectives	✓	
Measurement Plan	✓	
Communication, Developmental Activities and Evaluation	✓	

Stage II: Gathering Data

Section	Response	
	Yes	No
Implementation	✓	
Measurement	✓	
Communication, Developmental Activities and Evaluation	✓	

Stage III: Using Data

Section	Response	
	Yes	No
Introduction (Conferences)	✓	
Analyzing and Interpreting	✓	
Decision-Making	✓	
Interaction	✓	
Communication, Developmental Activities and Evaluation	✓	

The participants supplied written comments with each of the forced-choice responses explaining how they found the sections useful in implementing the performance assessment plan.

A perception check was included with each stage to solicit participant opinion on whether or not each stage accomplished the major purpose of that stage.

Did the materials provided in Stage I, in your opinion, enable the supervisor and the administrator(s) to plan the performance assessment activity? (please check one)

Yes √ No

The participants, in addition, commented that the procedures for the performance assessment and the development activities were planned for in a positive non-stressful manner.

Did the materials provided in Stage II, in your opinion, enable the supervisor and the administrator(s) to gather the data required for the performance assessment and development activity? (please check one)

Yes √ No

The participants commented that the materials were "very effective" in assisting them to gather the data.

Did the materials provided in Stage III, in your opinion, enable the supervisor and the administrator(s) to use the data collected in Stage II to decide on the success of the performance assessment and developmental activity? (please check one)

Yes √ No

The participants commented that the implementation document utilized effective procedures to decide on the success of the activity.

In the next section of the evaluation instrument, the participants responded as to whether or not the system included the key elements that are normally found in effective performance assessment and development systems. They agreed that all of the elements listed were included and they also, in most cases, added written comments:

1. A continuous and cyclical process.

Comment: The cyclical process is a strong point.

2. The examination of input, process and output.

3. Interrelates with other evaluation sub-systems in the school and school system.

Comment: This process goes beyond the existing evaluation procedures in the system.

4. Allows for a component of self-evaluation.

Comment: Very much so.

5. Provides for the assessment of goals and objectives.

Comment: It also allows for immediate modifications of goals and objectives.

6. Provides for the monitoring of the performance assessment plan to determine its effectiveness.

7. Provides for the professional growth and development of the principal.

Comment: Both the principal and assistant principal believed that it created a situation for professional growth.

8. Operates as a participative process involving the building of trust relationships among the participants.

Comment: All three of us feel that it built trust which is a key factor in building effective relationships.

9. Allows for the performance assessment and development of principals who have to function differently in different locations and situations.

Comment: It allows the participants to control what is appropriate for their situation.

10. Allows for modifications during the process, e.g., goals and objectives can be modified.

Comment: Very much so because it actually happened.

11. Provides for feedback and open communication between participants.

The next section in the evaluation document used questions which focused on the implementation of the performance assessment and development system. Participants agreed that the following statements were indicative of their specific experiences with the system (there were no negative responses):

1. Feedback was provided to the principal so that subsequent performance could be improved.
2. Inservice training was provided for the developmental needs of the principal(s).

Comment: Inservice was a part of the process.

3. The use of the system:
 - (a) Facilitated the translation of organizational goals into objectives for the individual principal.

Comment: Changes have taken place in this school because of the process. More changes are expected to take place.

- (b) Provided for performance assessment being evaluated on the basis of clear and concise job descriptions.

Comment: Job descriptions were revised; specific goals in the job description were given timelines for accomplishment.

- (c) Facilitated the establishment of clear, realistic performance goals (usually mutually set) which facilitated the professional growth of the principal as well as it met the organization's goals and objectives.
 - (d) Promoted job satisfaction for the principal.
 - (e) Promoted the possibilities of job enrichment.
 - (f) Provided additional motivation for the principal.
 - (g) Facilitated effective communication between the principal and the supervisor.
 - (h) Addressed the positive as well as the negative aspects of performance.

Comment: It was easier to make and accept suggestions for change.

- (i) Promoted self-evaluation as well as evaluation by others.

- (j) Provided flexibility to meet the varying needs of different schools and principals.

In the concluding section, the participants were requested to respond with their perceptions of the performance assessment and development system as a whole. These were to be expressed as strengths and/or weaknesses. The following perceptions were listed as *strengths* of the system:

1. It is a democratic developmental technique for evaluating the administration component of the principal and assistant principal roles in the school.
2. There is a low stress factor for all those participating in the process.
3. It helps to develop trust and understanding.
4. It provided a necessary formal review of the existing goals and roles of the school administration.
5. It established a mind set which focused on continuous development.
6. The process has brought about change in the school without stress or disruption.
7. The time spent enabled trust and collegiality to become deeply seated.

The only perceived *weakness* concerned the significant amount of time required to implement the system, but the participants suggested that it would probably require less time in the following cycles. They also commented that the time spent was worthwhile.

Session Six (Review of Meta-evaluation)

The purpose of the session was to review the responses on the evaluation instrument regarding the performance assessment and development system. This meeting was held on February 16, 1989 at the school with all participants in attendance.

The principal, assistant principal and the deputy superintendent expressed the opinion that the system worked well in this school setting. The following positive comments were noted:

1. The model with the accompanying implementation document provided a comprehensive background of items that could be considered in a performance assessment and development plan, but participants had the flexibility to use only the materials that were applicable for their situation.
2. There is the flexibility to modify the plans as one proceeds, e.g., goals and objectives can be changed or deleted as the plan unfolds.
3. The continuous cyclical process is better than a "one-shot" approach.
4. This system meshes with the other evaluation sub-systems in the school division, e.g., it is an important component in a total school evaluation.
5. The system focuses the assessment and development on the administration milieu of the school. Other types of administrator evaluation often focuses too closely on the personality and teaching ability of the administrator.
6. The system is non-stressful on the participants, whereas other systems can be very stressful.
7. The process used in the system tends to build a stronger administrative team including the in-school administrator(s) and the supervisor.
8. The use of the system facilitates the development of a trusting relationship and the participants get to know one another better because to use the system properly, participants are required to be involved in a great deal of open discussion with each other in a number of meetings.

The participants offered a number of personal comments on their perceptions of the performance assessment and development system:

- . . . it is a valuable system and it is superior to what we are currently doing in the area of administrator evaluation.
- . . . the system is flexible, but it still keeps your focus on what has to be done.
- . . . we have been working together for 15 years, but after using this system I feel we know and understand one another much better.
- . . . using this system has been developmental for all of us as we are now using a team approach.
- . . . I never knew for sure where I fit into the administrative milieu, but now I understand my role much better – this experience has been good for me.
- . . . it creates a non-stressful evaluation environment which is very important.
- . . . even as a central office supervisor, I now feel part of this school and the comprehensive background of knowledge that I have acquired during this process has changed my perceptions of this school.
- . . . time consuming but time well spent.
- . . . we can now constructively criticize one another in a non-threatening manner as we are open and not defensive with one another.
- . . . (deputy superintendent) we are now using some of the elements of this system in our school evaluations – more collaboration and a more developmental approach. We are not so much interested in what is wrong with the school, but we focus more on how we can make the school a better place to learn.
- . . . a less stressful method of bringing about change.
- . . . I have been a central office administrator for nearly 20 years and I have never used a system to evaluate in-school administrators that seems to work so well . . . better than other techniques.

The participants also commented on some areas in the system that could be improved upon to make it more effective.

1. The meta-evaluation instrument that was utilized to evaluate the performance assessment and development model and document needs to be revised as it lacks clarity in some sections. The participants were not sure of the meaning of some of the items. This instrument was not as easy to work with as was the implementation document. The participants mentioned that some sections appeared too repetitive, e.g., the communication, evaluation and developmental activities section (this could be shortened and still accomplish the same purpose).
2. The length of the sessions was satisfactory (two to three hours), but they were spaced over too long a time period for the first cycle.
3. The cycle of the performance assessment and development system should coincide with the school term.
4. The initial implementation of the system is somewhat time consuming, but the participants predicted that future cycles would not require as much time as the participants would be familiar with the system and be acclimatized to working with each other.

At the conclusion of this session, the participants decided that all of them would be involved in the presentation of the report at the school board meeting (again, a collaborative process). It was decided that the process as well as the outcomes had to be emphasized in the report. The growth and development of the relationship between the participants was just as important as attaining the goals, e.g., a school mission statement, a philosophy statement, and revised job descriptions. An administrative team had

developed with the three administrators. The members trusted each other, understood each other and worked well together for the benefit of the school and the school system.

School B: Data Presentation and Discussion of Findings

A preliminary meeting was held in early March 1988 and the participants were presented with copies of the research materials to review before the first formal session which was scheduled for April 14, 1988. It was agreed that the participants would be the director of curriculum and instruction and the school principal. The researcher would be an observer and would record the sessions with audiotapes and field notes. The researcher informed the participants that he would attend all formal sessions and would be available for any informal meetings as required. The principal and the director appeared to have a reasonably open and trusting working relationship already in place (as compared to School A).

Session One (Introduction)

The first working session was held on April 14, 1988. The same basic approach was used with participants from both school settings. The researcher outlined briefly the nature of the research topic and the current trends and concepts related to performance assessment. Next, the participants reviewed the model and the implementation document.

As the participants worked through the document, suggestions for changes were discussed and implemented, e.g., two items were added to the analysis of the work environment section. A great deal of discussion and many questions were addressed as the group worked through the overview of the implementation document. After this review, the researcher familiarized the participants with the field testing procedures.

Once again, a number of observations were recorded from an analysis of the audiotapes and the field notes. The principal and the director communicated openly from the start of the session. The participants changed their original plan to complete this

project by the end of June 1988 to a projected completion date at the end of January 1989. A number of unsolicited comments were presented by the two participants. The principal liked the "non-threatening" approach utilized in this plan. The principal also commented that the developmental approach would help him to develop and grow in his position. The director endorsed the collaborative and developmental approach of the plan. Both participants commented on how the process appeared to nurture open communication and planning. They expressed the opinion that they wanted this to be more than an academic exercise; they expected this would have benefits for personal growth and for school improvement. At the end of the first session, the principal and the director endorsed the plan with no reservations being expressed and stated they were looking forward to a very positive experience.

Before the session concluded, the supervisor reviewed the proceedings of the first session and the participants collaboratively agreed on their assignments for the next meeting. The next meeting was established for April 21, 1988. The first session lasted two and one-half hours.

Session Two (Analyze the Work Environment)

The session was held on the afternoon (1:30 p.m. to 4:30 p.m.) of April 21, 1988. The agenda involved working through the analysis of the work environment – demographic variables, job descriptions and expectations of stakeholders.

As had been planned in Session One, the principal had completed the section on the analysis of the work environment for this meeting. The principal was the discussion leader for the first part of the meeting as he presented the analysis. The participants agreed that an item that addressed the socio-economic background of the student population would be an additional useful item to include in the demographic information

section. Later the director and the principal agreed that the required demographic information had been collected.

The participants then reviewed the section on the principal's job description. The job description (revised November 1987) and the components such as management, educational leadership and supervisory responsibilities were discussed. The participants worked through the job description and categorized the items into the various responsibility areas, e.g., educational leadership, management, etc. The director and the principal agreed that this revised job description could be utilized as one of the criteria on which to assess the performance of the principal.

The expectations of the stakeholders was the next section analyzed by the participants. The perceived expectations of the stakeholder groups and how these expectations were ascertained were discussed in detail. One additional stakeholder group was included for this particular school environment – the local school advisory board. It was agreed that the stakeholder groups were involved in the school decision-making process where applicable.

In the next section, the participants established the purposes for the performance assessment and development plan. To begin, the school mission statement was reviewed and discussed to provide background information for the discussion of the purposes of the assessment. The principal and the director decided collaboratively that the primary purpose for the performance assessment and development plan would be to determine methods for the principal to improve his individual performance through professional growth and development activities. The other major purpose was to assist the principal in the area of self-evaluation.

To conclude this session, the director reviewed the proceedings of the second session with the principal and both agreed on what had been accomplished to date in

Stage I: Planning for Performance Assessment – the analysis of the work environment was complete and the primary and secondary purposes for the performance assessment had been established. The completion of Stage I was established as the agenda for the next meeting to be held on May 12, 1988.

Session Three (Goals and Objectives)

The session on May 12, 1988 began with a review of the last meeting – stakeholder expectations and the purposes of the performance assessment. The participants reviewed the agreed upon priorities for the assessment. Session Three focused upon the setting of goals and objectives. The following were the goals:

1. To facilitate the realization of other goals, both academic and social, contained in the school statement of philosophy. The principal and the director developed three objectives to assist in the achievement of the goal. Criteria were established to measure the success of goal attainment.
2. To improve the quality of parent/school communication. Four objectives were constructed and a measurement plan was established to help ascertain the success of the goal attainment.
3. To provide leadership in the improvement of staff cohesiveness. Again, objectives were developed and a measurement plan formulated.

Originally, the participants had discussed pursuing four goals, but they mutually agreed that the achievement of three goals would be a sufficient task for this cycle of the plan.

The process involved in setting the goals and objectives was an exercise in collaborative planning. The principal suggested goals and objectives while the director assisted him in spelling them out clearly and suggesting ways and means to achieve them. The director also played a key role in establishing the measurement plan. Goals and

objectives were written on the blackboard by the director and the participants would then refine them. The director, using a reflective approach, helped the principal flesh out his rough ideas for goals and objectives. This approach also ensured that both participants fully understood the goals, objectives and the measurement plan.

The participants, in the next step, established a measurement plan. Tentative timelines were set for attaining the goals and the principal and the director agreed that a collaborative examination would be used to reach consensus as to whether or not the goals had been achieved. The objectives and the measurement plan provided the framework for this decision-making process.

In order to complete Stage I, the participants reviewed the communication process, use of developmental activities and evaluation procedures. The audiotapes confirmed that there was productive two-way communication occurring between the participants as they jointly planned the performance assessment activity. Time was taken for some developmental activity as the principal and the director reviewed the process of writing goals, objectives and evaluation plans. Evaluation of the activities in Stage I was ongoing throughout the three sessions. Items were added and revised in the implementation document. The participants commented frequently on the pros and cons of this particular plan. The overall opinion favored this performance assessment and development plan. The principal stated that he believed "... this activity will help me to become a better principal and in turn this will make our school better." Both individuals commented that the plan encouraged the participants to discuss in depth the pursuit of improved educational leadership in a non-threatening manner. The director commented "... the process builds empathy and it strengthens mutual understanding between the principal and the supervisor - an exercise in team building."

The participants concluded the session with the director summarizing the activities that took place. The principal and the director decided that the planning materials were in place and they would be implemented in the new school term in September 1988. Another formal session would be scheduled in October 1988 to review the progress to date.

Sessions Four and Five (Gathering Data)

Session Four was the first formal meeting to be held since the session on May 12. The session (October 17, 1988) focused on reviewing the assessment plan and the progress made in implementing the plan.

Session Five, held on October 20, 1988, was a continuation of the session held three days previously. Since the meeting in May, the principal and the director had decided to delete the goal related to staff cohesiveness and to include a new goal that dealt with the implementation of the new *Distance Learning Project*. This session concentrated on preparing the final draft of the goals, objectives and the evaluation plans. The finalized draft was presented as follows:

GOAL 1

*To facilitate the realization of goals,
both academic and social, contained in the statement of the philosophy.*

Objective	Implementation	Evaluation
To implement procedures which will provide access to resources, facilitate the inservicing of staff, keep both administration and staff aware of curricular change, and encourage interchange of knowledge and methodology among staff members.	<ol style="list-style-type: none"> 1. Designate unofficial department heads who would act as curriculum leaders in their respective areas of expertise. 2. Meetings will be scheduled with these curriculum leaders and the principal to keep him aware of current thrusts and new resources. 3. Establish a file for curriculum information in the office. 	<ol style="list-style-type: none"> 1. List of curriculum leaders and their activities during the year. 2. Log of meetings held and content discussed. 3. Presence of a curriculum file.
Through classroom observation, to enhance the principal's own knowledge and awareness of staff strengths and areas needing improvement, to provide assistance when required, and to familiarize himself with individual student problems in the classroom.	<ol style="list-style-type: none"> 1. Visit each teacher at least twice, utilizing the <i>Instrument for the Observation of Teaching Activities</i> on the third visit. 2. To develop a schedule for teaching observations, and to maintain a log of those visits. 	<ol style="list-style-type: none"> 1. Develop and administer a short survey instrument to staff at the conclusion of the year to assess their impression as to the usefulness of the observations. 2. Examination of the observation schedule and log.
To create student awareness of native culture.	<ol style="list-style-type: none"> 1. To schedule a native awareness week. 2. To involve the Local Advisory Board in planning and assessment of the native awareness week. 	<ol style="list-style-type: none"> 1. Examination of schedule of activities. 2. Survey of staff and selected student groups.
To ensure progress reporting is fair and consistent from one grade to the next, and across courses within the school.	<ol style="list-style-type: none"> 1. Teacher preparation of mark summary sheet. 2. Review by principal of marks, particularly at the first reporting period. 3. Discussion with teachers as to the reporting base utilized. 	<ol style="list-style-type: none"> 1. Examination of mark summary sheets. 2. Review of principal's assessment of evaluation uniformity.

GOAL 2

To improve the quality of parent/school communication.

Objective	Implementation	Evaluation
To produce a bi-monthly newsletter.	1. Scheduling of parents for dance supervision, library, volunteer work, help with bike-a-thon/walk-a-thon.	1. Examine the list of parent activities.
To involve parents formally in school functions.	2. Letter sent to parents at beginning of year to ask for assistance.	2. Develop and administer a survey to collect reactions of parents who have been involved with the school.
	3. Keep a central registry of all those who volunteer at the school.	3. Review the file of newsletter and other parent communications.
	4. Hold a volunteer appreciation tea in the spring.	

GOAL 3

To provide leadership in the implementation stage of the Distance Education Project.

To set goals to ensure student lessons are completed regularly and on time.	1. Set a completion timetable and record actual completion dates.	1. Examination of completion of data and policy statement, as well as success figures.
	2. Arrange tutoring as necessary (in-class placement, individual tutoring).	
To develop a school policy for Distance Education which is consistent with other schools offering the program in the system.	1. Meet with the other school in the system on Distance Education and with central office administrators to develop a system policy, and then to refine it for school application.	1. Examination of policy developed.
To make provision for Distance Education on the 1990-91 timetable.		

The implementation phase and the measurement phase were occurring together.

The principal and the director were in agreement that the performance assessment and

development plan was unfolding as planned. The goals, objectives and the evaluation were being implemented and data was being gathered as required in Stage II.

Communication continued between the participants as a major activity as they worked together to finalize the goals, objectives and evaluation plans and to gather the feedback data. Developmental activities occurred for the principal, e.g., the principal attended sessions on Distance Learning and others related to native education. The participants, in evaluating their progress with the performance assignment and development plan to date, concluded that the system was working as planned.

Session Six (Using Data)

The session was held on January 20, 1989 and the topics centered around the elements of *Stage III: Using Data*. Reporting of the activities was based on information from audiotapes and field notes. The purpose of the session was to use the data collected over the preceding three months and to chart directions for the future.

Participants had agreed in Stage I that feedback on performance would be supplied to the principal throughout the process beginning in Stage II and culminating in Stage III. Collaborative agreement between the two participants was to be the method used to decide whether or not the goals had been attained appropriately. This process operated in a formative manner with open debate and positive interaction. Data were analyzed and interpreted as the progress towards the achievement of goals was evaluated.

The participants reviewed each goal and the accompanying objectives with discussion. It was decided by the principal and the director that the first goal had been achieved to their level of expectation which was the realization of goals, both academic and social, contained in the statement of philosophy. Staff curriculum leaders were in place and records were being kept of their leadership activities. The principal was keeping a log of his meetings and discussions with the curriculum leaders. A circulating curriculum

file had been established as planned. The participants decided to continue with the curriculum leader concept and to continue with efforts to improve the curriculum circulating file procedures. The principal and the director developed a new plan to involve teachers more in planning the format for classroom visitations for next term (this is a continuation and refinement of the second objective related to classroom visitations). The participants agreed that the process to implement the third objective related to native awareness was underway and would be ongoing. Achievement of the objective dealing with fairness in student progress reporting had been attained.

The director and the principal agreed that the second major goal dealing with the improvement of the quality of parent/school communication was being accomplished successfully. Parent volunteers were being utilized more in the school both in curricular and extracurricular activities. A bi-monthly school newsletter was being circulated to parents.

The goal involving policy development for the new *Distance Learning Project* was in the process of being achieved. A Distance Learning policy had been developed for the school system with major impetus coming from this school. Each student enrolled in Distance Learning courses had a schedule for lesson completion which was being monitored by school administration. Students in Distance Learning courses would have scheduled class periods to pursue their lessons in the 1989-90 school term (a continuing objective related to the above goal).

The analysis and the interpretation of the data was facilitated by the positive interaction between the participants and it allowed them to make decisions in an open and collaborative manner. Communication was uninhibited between the principal and the director as the trusting and empathetic relationship was firmly established. The participants agreed to write the final report collaboratively at the end of the school term

and they agreed that a copy of the report would be placed in the principal's employment record file. The interim performance report was very supportive of the goals the principal had accomplished to date and the ongoing activities related to the objectives not yet achieved. The principal was performing his professional assignment according to his job description and was involved in a self-evaluation process in conjunction with the collaborative process being utilized by the director and the principal.

Communication continues to be an important process in the implementation of the performance assessment and development plan. The principal and the director discussed the status of goal and objective attainment thoroughly. The process involves two people working, discussing and exploring together how the administration of the school can become more effective – a team approach. The director reviewed and summarized the discussion and then both individuals confirmed what had been stated in the director's summary. There appeared to be full understanding of what had been done, what still had to be done, and a plan was in place to complete or to proceed with the ongoing objectives.

Professional development activities were initiated for the principal. An inservice session was held for the principal and the staff to familiarize them with a teacher supervision model. The principal and the director explored ideas on how to keep teachers informed on new curriculum developments. The principal attended sessions sponsored by Alberta Education on the new *Distance Learning Project*. A recommendation has been made by the principal and the director for the school system to run a workshop for all school administrators on the publishing of newsletters for parents.

Evaluation of the performance assessment and development process was again commented upon by the participants in this session. The principal and the director advocated this type of assessment and development plan for all administrators in the school system as it provided performance feedback and appropriate professional

development activities for the principal and, as well, it fostered the building of a stronger, more positive understanding relationship between the supervisor and the school – it is beneficial and developmental for both participants.

The participants agreed to meet on February 9, 1989 to complete the participants' evaluation instrument. A final interview between the principal, the director and the researcher was set for February 20, 1989.

Session Seven (Meta-evaluation)

The principal and the director completed an evaluation instrument collaboratively to supply information on how the performance assessment and development plan operated for their purposes and recorded the discussion on audiotape. Participants responded to forced-choice questions soliciting feedback as to whether or not the following sections in the document assisted in the implementation of the system.

Did the following sections in Stage I facilitate the implementation of the system?
(please check one)

Stage I: Planning for Performance Assessment

Section	Response	
	Yes	No
Work Environment	✓	
Purpose(s)	✓	
Goals and Objectives	✓	
Measurement Plan	✓	
Communication, Development Activities and Evaluation	✓	

Comments regarding work environment:

- There could be an item included to gather data about the principal's background training and previous professional development experiences, i.e., a resumé could be included.
- The participants questioned whether the term "work environment" was the best choice of terminology, e.g., would "job setting" be a better term.

Comments regarding purpose(s):

- Perhaps there could be more emphasis on the formative aspects of the document. Is the document trying to cover too much by trying to explore career planning and justifying hiring practices? The focus should emphasize principal growth and development.

Comments regarding goals and objectives:

- A good section with penetrating questions.

Comments regarding a new section to be included between purposes and the measurement plan section:

- An additional section should be included explaining how the participants plan to pursue the goals and objectives established before one talks about the measurement section.

Comments regarding measurement plan:

- This section is excellent, but should follow a section on how the accomplishment of the goals and objectives will be pursued.

Comments regarding communication, developmental activities and evaluation:

- This section is a bit cumbersome and hard to work through (not sure why). Perhaps the responses required could be shortened to forced-choice questions:

Are the participants communicating effectively?

Yes ____ No ____ (check one)

Are developmental activities for the principal being considered and utilized in this stage?

Yes ____ No ____ (check one)

Is the assessment plan working as outlined in this stage?

Yes ____ No ____ (check one)

- . . . and if the participants wished to include additional comments, a few blank lines could be included with each forced-choice question.

Did the following sections in Stage II facilitate the implementation of the model?

(please mark one)

Stage II: Gathering Data

Section	Response	
	Yes	No
Implementation	✓	
Measurement	✓	
Communication, Developmental Activities and Evaluation	✓	

Comments regarding implementation section:

- Item #2 could be reworded to be more positive as follows:
To make a desirable working and learning environment even better for teachers and students. The other five items relate directly to an improvement plan.

Comments regarding measurement section:

- Good section.

Comments regarding communication, developmental activities and evaluation section:

- The same comments applied for this section in Stage II as they did in Stage I.

Did the following sections in Stage III facilitate the implementation of the model?

(please check one)

Stage III: Using Data

Section	Response	
	Yes	No
Introduction (Conferences)	✓	
Analyzing and Interpreting	✓	
Decision-Making	✓	
Interaction	✓	
Communication, Developmental Activities and Evaluation	✓	

Comments regarding introduction section:

- Stage III really personifies the formative nature of the document
... that's good.

There were no additional comments regarding the analyzing and interpreting section, the decision-making section nor the interaction section.

Comments regarding communication, developmental activities and evaluation section:

- The same comments applied for this section in Stage III as they did in Stages I and II.

A perception check was included with each stage to solicit participant opinion on whether or not the stage accomplished what had been intended.

Did the materials provided in Stage I, in your opinion, enable the supervisor and the administrator(s) to plan the performance assessment activity? (please check one)

Yes ✓ No

The participants commented:

- ... this stage could be improved by adding a section between the goals and objectives section and the measurement section where the implementation strategy would be developed. An implementation plan for the goals and objectives – what will be done, when will it be done, how will it be done – this would provide a smooth transition into the measurement section.

Did the materials provided in Stage II, in your opinion, enable the supervisor and the administrator(s) to gather the data required for the performance assessment and development activity? (please check one)

Yes ✓ No

The participants did not include any additional comments.

Did the materials provided in Stage III, in your opinion, enable the supervisor and the administrator(s) to use the data collected in Stage II to decide on the success of the performance assessment and developmental activity? (please check one)

Yes ✓ No

The participants commented:

- . . . the formative intent in the document design really comes through in this section.
- . . . the implementation document utilized effective procedures to decide on the success of the activity.

In the next section of the evaluation instrument, the participants responded as to whether or not the system included the key elements that are normally found in effective performance assessment and development systems. They agreed that all of the characteristics listed were included and, in some cases, added written comments:

1. A continuous and cyclical process.

Comment: A real strength of the process.

2. The examination of input, process and output.

Comment: Nil.

3. Interrelates with other evaluation sub-systems in the school and school system.

Comment: The collegial approach utilized is quite different from other evaluation systems being used in our schools. We should be using this approach more in all of our evaluations.

4. Allows for a component of self-evaluation.

Comment: Nil.

5. Provides for the assessment of goals and objectives.

Comment: Nil.

6. Provides for the monitoring of the performance assessment plan to determine its effectiveness.

Comment: Nil.

7. Provides for the professional growth and development of the principal.

Comment: Nil.

8. Operates as a participative process involving the building of trust relationships among the participants.

Comment: Definitely – the collegial model works well.

9. Allows for the performance assessment and development of principals who have to function differently in different locations and situations.

Comment: The N/A response allows for the deletion of some aspects that don't fit the particular situation.

10. Allows for modifications during the process, e.g., goals and objectives can be modified.

Comment: Yes, we did this in our application.

11. Provides for feedback and open communication between participants.

Comment: Nil.

The next section in the evaluation document posed questions which focused on the implementation of the performance assessment and development system. Participants agreed that the following statements were indicative of their specific experiences with the system (there were no negative responses):

1. Feedback was provided to the principal so that subsequent performance could be improved.

Comment: Yes, this was done.

2. Inservice training was provided for the developmental needs of the principal(s).

Comment: Some has been done to this point in time and more will follow.

3. The use of the system:

- (a) Facilitated the translation of organizational goals into objectives for the individual principal.

Comment: In talking about goals they become clearer and the interchange of ideas is very beneficial.

- (b) Provided for performance assessment being evaluated on the basis of clear and concise job descriptions.

Comment: The participants perceived that . . . performance should be evaluated more on goals and objectives collaboratively set and not so much on job descriptions. Evaluation by job description tends to be more summative than formative in approach.

- (c) Facilitated the establishment of clear, realistic performance goals (usually mutually set) which facilitated the professional growth of the principal as well as it met the organization's goals and objectives.

Comment: Nil.

- (d) Promoted job satisfaction for the principal.

Comment: It provides opportunity to talk to someone outside the school (principal often 'alone' in the school and can't discuss feelings, attitudes and dreams with anyone).

- (e) Promoted the possibilities of job enrichment.

Comment: Not sure why this item is included.

- (f) Provided additional motivation for the principal.

Comment: The principal stated . . . an unqualified yes – it helps an administrator improve his school and, as well, it is a support structure for the principal – he feels part of a larger team.

- (g) Facilitated effective communication between the principal and the supervisor.

Comment: Nil.

- (h) Addressed the positive as well as the negative aspects of performance.

Comment: Nil.

- (i) Promoted self-evaluation as well as evaluation by others.

Comment: Nil.

- (j) Provided flexibility to meet the varying needs of different schools and principals.

Comment: Nil.

In the concluding section, the participants were requested to respond with their perceptions of the performance assessment and development system as a whole. These were to be expressed as strengths and/or weaknesses. The following perceptions were listed as *strengths* of the system:

- The system creates a framework for the positive assessment and development of principals. It creates a framework for dialogue to occur (an excuse to talk!). Allows more in-depth analysis and opportunity to explore the principal's philosophy.
- A specific, detailed "plan" emerges which serves as a focus for the year, and results assist with further planning for the following years (ongoing professional development and growth).
- A collegial relationship developed between the supervisor and the principal; allows rapport building to occur; gets to issues of interpersonal concern.
- The format is excellent by incorporating the diagram of the particular stage of the model being addressed included on the opposite page, is a clear view for easy reference, while you are working through the implementation document.

The following perceptions were listed as *weaknesses*:

- The time commitment required to implement the system is quite lengthy. It takes time, but it is time well spent.
- Some of the wording and parts of the format are somewhat "academic." The basic plan is very simple, but some sections are confusing.

The following suggestions were presented by the participants:

- Simplify the system wherever possible without jeopardizing the positive aspects of the system.
- Add a section in Stage I between the goals and objectives section and the measurement section to deal with implementation strategy for achieving the goals and objectives.
- The system should be implemented at the beginning of the school term and the succeeding cycles should coincide with the succeeding school terms.
- Explore the possibility of having fewer formal sessions during the implementation, perhaps a minimum of three to a maximum of five.

The first implementation cycle requires more sessions because it takes more time to become familiar with the system.

Session Eight (Review of Meta-evaluation)

The agenda for this meeting focused on a conference between the researcher, the principal and the director to review the responses by the participants in the evaluation document. An audiotape had been prepared of Session Seven as the principal and the director had completed the document. The researcher reviewed and discussed the responses to the evaluation document with the participants. The material on the audiotape provided additional background information for discussion in the conference.

All of the responses and comments included in Session Seven were reviewed and discussed by the researcher with the two participants. The principal and the director expressed the opinion that the system worked well and they also presented a number of suggestions they perceived could make the system even better:

- Add a number of items to the implementation document to provide additional relevant information, i.e., provide for the inclusion of a resumé from the principal.
- Delete some unnecessary items, i.e., delete the item on verification of hiring practices.
- Clarify items the intent of which was somewhat vague, i.e., the section at the end of each stage designed to address evaluation, communication and development activities should be improved.
- Highlight the formative rather than the summative approach in the system. . . . performance assessment should not be an activity that a supervisor "does to" a principal, but should be an activity that they "do together." It should be collaborative and developmental.
- Focus on what the principal should be doing in the school and "down play" such considerations as future career planning and the verification of hiring practices. Trying to cover too many related employment topics weakens the system.
- Schedule formal sessions between the participants "off-campus" as there will be fewer interruptions and, therefore, more time to spend "on-task."

- Principal self-evaluation should be continually highlighted as well as the collaborative approach. "The principal should be constantly aware as to how he is meeting the criteria set out in the job description and be able to request developmental assistance in areas that require further development." (statement by principal)
- Job descriptions should be established collaboratively between the supervisor and the principal.

. . . there is much more to performance assessment and development systems than the monitoring of a job description. (statement by participants)

This system permits the principal to go far beyond the dictates of his job description . . . it allows him to "grow" while working with his supervisor in a team approach . . . a job description establishes a minimum performance standard . . . this system encourages the principal to pursue excellence . . . the performance of the job description responsibilities should be a minimal part of the performance assessment and development system. (statement by principal)

The director and the principal endorsed the system with the following positive remarks involving their personal perceptions:

- This plan has the view of evaluation as a stage in a developmental plan rather than a benchmark of past action . . . it is a future oriented rather than rooted in the past . . . if we follow the benchmark approach then we would look at the job description very closely, but this system focuses on a growth plan for the future and, therefore, job descriptions are only a small part of the evaluation. (comment by director)
- We liked the idea . . . of laying out a performance assessment and development plan together and then being able to keep this plan in front of us as we worked toward our target outcomes . . . the model and the implementation document keeps us focused on our targets. The implementation document, by having the stages of the model diagrammed on the reverse side of each page, helps to assure a clear focus on where we are at now in the model and where we are going.
- We like the flexibility of the system . . . we changed goals, objectives and other parts of our plan as we worked through the system and because we made changes, we did not think we had failed, but rather these changes were necessary to make our plan more realistic . . . a positive rather than a negative approach to change.
- We really feel that the processes involved in Stage III personify the formative nature of this system . . . the collaborative process really enhances this system.

- Team building is another aspect of this system which received favorable comment from the participants:

... in the first cycle through this system it is very important that the participants gain a good understanding of the model and the instrument and, as well, build a strong, trusting and harmonious working relationship ... it would be dangerous to rush the process.

- Partially related to the foregoing comment, the principal commented:

The principal tends to be somewhat of an island unto himself in a school and needs the opportunity to be able to discuss openly and get feedback from other administrators, preferably from outside of the school, about his ideas, plans and aspirations for the school. This performance assessment and development plan has given me this opportunity. I feel we were able to discuss any issue or concern openly in a non-threatening atmosphere. This new relationship will continue to be valuable to me in the future.

The director commented:

I found out more about the principal's perceptions about his job, his school, his plans, and his feelings about how things were going in his school than I ever probably would have by any other process. I have worked as a supervisor in this school for the last few years and at one time worked as the second administrator in this same school with the principal, but I feel that now I have a much better understanding of, and relationship with, this individual.

The principal commented again:

The system establishes ground rules between the supervisor and the principal for open communication ... basic ground rules for effective communication ... this collegial model creates a forum for better communication than occurs in many other types of evaluation models.

At the conclusion of the session, the participants decided that the performance assessment and development plan report would still be written collaboratively. One copy of the written report would go to the principal and the other would be placed in the principal's personnel file. Even though there was an established positive working relationship at the beginning of this process, there was even a stronger and more trusting team relationship cemented during the performance assessment and development activity.

CHAPTER V

DISCUSSION AND INTERPRETATION

Review of Research Process

In this research, as in any research, it was important to provide an acceptable level of rigor. The term rigor refers to the need to persuade others of the authenticity of the information provided and the interpretations that were drawn from the research. The four aspects of rigor usually considered in naturalistic research are truth value (credibility), applicability (transferability), consistency (dependability), and neutrality (confirmability).

Credibility is the term used to refer to the aspect of truth value. The crucial question asked (as per naturalistic research) was, "Did the data sources find the inquirer's analysis, formulation and interpretations to be credible (believable)?" Feedback received in Phases One and Two from the panel of experts supported the idea that the model and the implementation document (with a few suggested changes) were credible formulations which deserved further application in school settings. The inquirer reported back to the data sources in the two field study applications with the presentation, analysis and interpretation of the information collected in the field studies and, in both cases, the data sources supported the findings. Naturalistic researchers postulate that when feedback from two or more data sources support the findings of a study, then the uncertainty of the interpretation is greatly reduced and credibility is increased. It is therefore assumed that this research has established an acceptable level of credibility.

Transferability is the term utilized to describe the aspect of rigor referred to as applicability. Credibility, as established previously, enhances transferability because the research findings are not meaningless and, therefore, should have some degree of transferability. The information collected in both field studies yielded similar results.

This would indicate a degree of transferability between the contexts of the two field studies. “Fittingness” between contexts rather than generalization is the naturalist’s key concept in dealing with the aspect of rigor referred to as applicability.

The aspect of rigor referred to as consistency is described by the term dependability in naturalistic research. This aspect refers to what can be done to demonstrate replicability. The naturalistic investigator will often use an audit procedure to establish dependability. Auditability requires that the work of one evaluator or team can be tested by a second evaluator or team. It could be interpreted that the work accomplished and the results obtained by the field study in School A were more or less replicated in School B. This type of auditing procedure should yield a minimum level of consistency necessary for reproducing trustworthy data.

Confirmability is the term used to describe the aspect of rigor referred to as neutrality. The issue is not the objectivity of the researcher, but rather the confirmability of the information obtained. The concept of confirmability shifts the burden of proof from the researcher to the information itself – the researcher reports the data so it can be confirmed from other sources. This research has partially fulfilled this requirement by having two independent field studies more or less providing the similar data. It would be useful in the future to have another field study using the same materials in a different school context with new participants to assess whether or not the results from the initial field studies were confirmable in a new context.

Review of Panel Feedback

The total research project appeared to unfold as planned. The initial draft of the model and the implementation document were critiqued by educational administrators in southern Alberta. Respondents replied with perceptions as to the validity, applicability, strengths and weaknesses, and provided suggestions for improvement of the model and

document. The feedback was used to revise the length, some of the content, the format and the aesthetic appeal of the package of materials. Administrators supported the concept of developing a model and a performance assessment and development implementation document.

A review of the revised model and the implementation document by a panel of experts constituted the next phase of the research. The panel members commented with general impressions of the research plan and perceptions regarding each stage of the plan and with perceptions of the total model and implementation documents. Feedback from the experts generally supported the performance assessment and development system. Suggestions for revisions from the panel members were incorporated into a revised model and implementation document.

The model and the implementation document for the performance assessment and development plan were critiqued and revised according to the expert opinion supplied on the first two drafts of the system. A revised model and implementation document were field tested in school settings – the next phase of the research plan.

Comparison of Field Testing Results

Participants in both studies volunteered evaluative comments about the model and the implementation on an ongoing basis while the field studies were being conducted. During the first session both groups, without consultation between groups, decided to utilize the performance assessment and development system as an actual performance assessment and development activity instead of it being just an academic exercise. At the same time, both groups independently extended the timeline for the proposed completion of the activity from June 30, 1988 to January 31, 1989.

A number of similar comments were offered independently and were unsolicited. These positive comments referred to the non-threatening, developmental and formative

approach of the system. Supportive remarks were presented on how the system appears to nurture open communication, facilitate planning, and the building of trusting and empathetic relationships between the supervisors and administrators – a team building activity. Positive comments were directed at the flexibility of the system. For example, goals were modified after they had been established. The ability to use the system selectively was appreciated by the participants as they were able to choose the relevant items in the document to be used for their specific performance assessment and development needs. Each group perceived that the performance assessment and development system should be used throughout their school systems. At the completion of each of the three stages, the participants commented that in their opinions, each stage accomplished its specified purpose. Each group expressed limited concern about the amount of time required to implement the system. All of the foregoing comments, excepting the one regarding time, supported the performance assessment and development system. Participants formulated these opinions themselves as they implemented the performance assessment and development system.

The meta-evaluation after the completion of Stage III produced responses that could be compared between the two field studies. In both cases, the participants responded in the affirmative to all of the forced-choice questions which solicited feedback as to whether or not the major sections in each stage of the implementation document provided the necessary support to implement the system. The participants in School A provided less written feedback after each of the forced-choice questions than did the participants in School B. School B participants supplied feedback which supported their positive forced-choice responses and gave suggestions, in some instances, for possible improvements to the document (some of these will be discussed in more detail in the section of the research dealing with proposed revisions to the document).

Both sets of participants responded in the affirmative to the questions which asked for a perception check as to whether or not each stage in the implementation document accomplished what was perceived to be the major purpose of that stage. Did Stage I provide the necessary support and direction in "planning for assessment?" This same question had been addressed earlier at the completion of each stage during the implementation process. The responses in both instances were consistent.

In the next section of the evaluation instrument, the participants in both studies responded as to whether or not the system included the key elements that are normally found in effective performance assessment and development systems. Participants in both case studies unanimously agreed that the eleven elements suggested were evident in the performance assessment and development system. The participants from School A provided more written feedback along with the forced-choice questions than did the participants from School B (a reversal from the first section).

Participants, in both studies, unanimously agreed that the topics addressed by the forced-choice questions regarding the implementation of the performance assessment and development system were indicative of their specific and positive experiences with the system (there were no negative responses). The three major areas addressed feedback, inservice training and the characteristics of the system. Both groups provided forced-choice responses (refer to Chapter IV for detailed responses). The system appeared to do the job as it provided an avenue to assess the performance of the principals and, at the same time, it helped them to grow in their positions.

In the final section of the evaluation document, the participants responded with perceptions of the performance assessment and development system as a whole. Comments were expressed as strengths and weaknesses of the system. Most of the strengths listed were similar in both studies. Both groups commented that the system

creates a process for the positive assessment and development of principals. Many positive comments about the process were expressed as it facilitated the building of rapport, trust, collegiality and understanding. Similar positive comments were expressed about ongoing growth, principal development and formative assessment. A few suggestions were presented to improve the usability of the document (these will be discussed later under the section on proposed revisions). Once again, the time commitment required to implement the system was listed as a concern but, on the other hand, both groups agreed it was time well spent. The groups were of the opinion that the first cycle required more time to implement, but the succeeding cycles would not require as much time as participants would be familiar with the system. Since neither of these groups of participants had been involved previously in a performance assessment and development system tailored for principals, it was difficult to assess what could be considered too much of a time commitment in comparison to what could be an acceptable time commitment. Additional time required could range from fifteen to thirty hours per school term, depending on how the individuals involved decided to implement the system. The first implementation would probably take close to thirty hours. This would include the conferencing time as well as the preparation time. Many of the materials such as job descriptions, goals and objectives prepared by the principal should be prepared anyway in the normal operation of the school. Principals and supervisors are busy people and time is always at a premium. The question to be addressed has to be whether or not the time and resources required to implement and operate this performance assessment and development system provides a sufficient reward in improved principal performance to warrant the investment.

A final conference, with the researcher present, was held with each group independently to review and explore the responses presented on the meta-evaluation document

which was completed by the supervisor and the principal(s) at a previous meeting which did not include the researcher. Almost all of the comments elicited in the final conference referring to the meta-evaluation had been presented previously either during the implementation process or in the meta-evaluation document (for a review of these comments refer to Session Six with School A and to Session Eight with School B). Suggestions for changes will be presented in the section on proposed revisions. The personal comments presented (refer to Session Six for School A and to Session Eight for School B) portrayed a positive endorsement for the performance assessment and development system.

The feedback from the participants during the implementation, from the meta-evaluation document and from the final conference, indicated the research answered the questions asked in Chapter III. The elements of effective performance assessment and development systems were incorporated in the model and the implementation document. Questions related to the process of implementation, the design of the model and the implementation document were addressed. The comments in response to the questions strongly supported the performance assessment and development system. The participants agreed that the major purpose had been achieved as feedback had been provided to the principals so that future performance could be improved and activities for continuing principal professional development were part of the process. The process of building a collaborative team approach appears to be equally as important to the participants as the performance assessment activity itself.

Proposed Revisions

The performance assessment and development model does not appear to require revision. There were no suggestions to make changes to the model. The basic format for

the implementation document appeared to be satisfactory. However, revisions were suggested that would make the implementation document more effective, as follows:

1. The document attempts to cover too many aspects of the performance assessment domain and by doing this it may confuse and overpower the users. The focus should be on the formative and developmental aspects of the system such as being future oriented in helping the principal to become better in his job. Summative aspects should be downplayed or eliminated.
2. The collaborative process needs to be in the forefront at all times. The building of a strong administrative team involving the principal and the supervisor is a major outgrowth of this system.
3. Every section in each of the stages should be reviewed with the criticisms offered by the participants as a guide. Items which are unclear in meaning, ambiguous or redundant should be revised or removed. The change in focus will lead to the elimination of a number of the summative items.
4. In Stage I, items will be added in the analysis of the work environment section, for example, an item on the socioeconomic background of the community and an item detailing the principal's background training and previous participation in professional development activities. A section will be added in Stage I between the section on goals and objectives and the measurement section to outline the implementation strategy for achieving the goals and objectives. In each stage, the section on communication, evaluation and developmental activities could be streamlined similar to the suggestions detailed in Session Seven with the participants from School B.
5. The topics addressed in the meta-evaluation document appear to be satisfactory, but the specific questions need to be refined to remove redundancy,

repetitiveness and to improve the clarity and meaning of some of the questions.

The implementation process for the system could be enhanced if the following procedures were followed:

1. The cycle for the performance assessment and development system should be synchronized with the school year, for example, start in late August and complete the cycle in June.
2. A tentative timetable should be established at the beginning of the cycle detailing timelines and setting formal session dates. It is important to keep the process moving, but to still allow for flexibility to revise the schedule as the process evolves.
3. The principal and the supervisor should decide prior to the beginning of the implementation of the system whether or not they intend to involve the assistant or vice principal as well (the administrative team). In the two field study cases, both options appeared to work equally well as one study involved the principal and the supervisor whereas the other study involved a principal, an assistant principal and a supervisor.
4. The participants can decide where to hold their formal sessions. In one field study, the participants held their formal session outside of the school at the supervisor's office to avoid interruptions. In the other field study, the participants preferred to hold the session at the school because this was the action center.

CHAPTER VI

SUMMARY, CONCLUSION AND IMPLICATIONS FOR FURTHER RESEARCH

A summary of the purpose, as well as the conclusions of the study, are presented in this chapter. A number of implications for further research related to this performance assessment and development system for principals are presented for consideration.

Summary

The primary purpose of this study was to refine a model and to develop an implementation document for a performance assessment and development system for school principals. This system would complement the evaluation policy package now being mandated by Alberta Education to ensure that school jurisdictions assess all components of their educational responsibilities.

The contemporary literature related to performance appraisal and employee development was reviewed to identify and synthesize the key characteristics of effective performance assessment and development systems. A model designed by Dale L. Bolton (1980) for evaluating the performance of administrators was selected as the foundation for the performance assessment and development system. Bolton's original model was revised and adapted and a document was constructed to facilitate the implementation of the performance assessment and development system in school settings.

The revised model combined with an implementation document had been constructed for this study in the spring of 1985. This first draft of the revised model and the implementation document was circulated to supervisors of in-school administrators and to Alberta Education personnel with expertise in the area of school administration. Suggested changes for improvement were incorporated into the model and the implementation document. The length, format and the aesthetic appeal of the package of materials was revised. In August 1987 the second draft of the model, with the accompanying

implementation documents, was submitted to a panel of experts. Three members of the panel had practicing backgrounds in the area of administrator evaluation and the other member was a university faculty member with expertise in evaluation. Expert feedback was supplied which was utilized to revise the package of materials once again.

The revised system involved a three-stage model which operated in a continuous and cyclical process:

Stage I is the *Planning for Performance Assessment* stage. The principal's working environment was analyzed and with the working environment in mind, the purposes for the assessment and development were established, goals and objectives were set, and a measurement plan was formulated. Open communication by the participants was important in planning for assessment. Development activities were implemented to assist the principal in developing specific skills required in the stage. Evaluation of the processes and the outcomes in this stage was a necessary requirement.

Stage II is the *Gathering Data* stage. All of the activities which were planned for in Stage I were implemented in Stage II. Measurement took place concurrently with implementation according to the measurement plan formulated in Stage I to ascertain whether goals and objectives had been pursued and if the procedures utilized appeared to be effective. Again, the necessity for open communication was emphasized, specific skill development continued for the principal, and the processes employed and outcomes achieved in this stage were evaluated.

Stage III is the *Using Data* stage. The data gathered in Stage II were analyzed, interpreted and acted upon. Decisions were made as to how the responsibilities were performed and future action plans were formulated. Conferencing was probably the main source of interaction between the supervisor and the

principal in this stage. Again, the necessity for open communication was emphasized, specific skill development continued for the principal, and outcomes achieved in this stage were evaluated.

At the completion of each cycle, a meta-evaluation was completed to evaluate the current cycle of the performance assessment and development system.

The performance assessment and development system was field tested in two schools, each in different school systems in southern Alberta, between April 1988 and February 1989. Evaluation was ongoing during the implementation process and a meta-evaluation was completed at the end of the cycle. Feedback supplied by the participants was generally positive regarding the system. Participants in both studies concluded that the performance assessment and development system accomplished the job – it assessed principal performance and provided developmental assistance to the principal to improve future performance. The formative and collaborative nature of the process was strongly supported by participants.

Conclusions

A number of conclusions evolve out of the research:

1. The research process appeared to meet the rigor requirement set for the study – two drafts of the model and the implementation documents critiqued by experts followed by field studies in two schools which were also critiqued by the participants. The information provided from the research and the interpretations drawn from the research should have an acceptable degree of authenticity.
2. The study indicates that the major sections described in each stage of the implementation document provided the necessary support to implement the system.

3. The study indicates that each stage accomplished the major purpose of that stage, e.g., Stage I provided the support and guidance required in “planning for assessment.”
4. The study indicates the system included the key elements which are normally found in effective performance and development systems.
5. The study indicates that the system provided an avenue to assess the performance of the principals and, at the same time, it provided development activities to help improve future performance.
6. Another major benefit of implementing the system was the team building that took place with participants. The building of trusting relationships, effective communication activities, and collaborative planning had to be beneficial to participants as well as to the school system.

In conclusion, the study indicates that the performance assessment and development model works as outlined. The implementation document for the system facilitates the implementation of the model in school settings. These findings are not totally conclusive due to the limited application, but the study provides encouragement for researchers to proceed with additional studies.

Implications for Further Research

That research spawns additional research is probably a truism and this research study supports that conclusion. The study has generated a number of implications for further research which could enhance our understanding of how this performance assessment and development system functions or could function better. There is also the possibility that the questions addressed could enhance our understanding of performance assessment and development systems in general.

There are a number of implications concerning revisions to the implementation document before further field testing is inaugurated:

1. The length and the clarity of the document should be examined and simplified where possible. Perhaps the document has conflicting and multiple uses which should be addressed. The system should concentrate on the present performance of the principal and how future performance can be enhanced through professional development. The aspects of career planning and appropriate hiring practices, for example, could be omitted. The focus should be on the formative rather than the summative aspects of performance assessment.
2. The implementation document could be streamlined with the focus on major sections in each stage. The document could be supplemented with a handbook outlining optional items to be considered depending on the requirements of the particular school situation and perhaps with optional data gathering instruments.
3. Procedures involved in the implementation process should be examined. Formal meeting sessions should be scheduled on a regular basis and a tentative schedule should be established during the initial planning session. Procedures to facilitate team building, collaborative effort, and improved communication should be highlighted along with the performance assessment and development aspects. The amount of time required to implement the system should be examined. The time spent should be a profitable investment. Forbes and Hollar (1985:245) comment that by trying to oversimplify something which is as complex as performance assessment is not

a wise thing to do because the systematic evaluation of administrator performance takes time and requires a comprehensive plan.

4. The developmental component of the system should be examined and strengthened. The setting in the school and the ongoing nature of the developmental aspect of this system is important. Relating professional development directly to the requirements of the individual principal is worthwhile. The supervisor should be able to provide ongoing coaching for the principal as the individual incorporates the developmental activities into the performance pattern. It is possible that supervisors and principals could start building a repertoire of developmental activities, for example, a binder containing relevant journal articles, a clipping file, a catalogue of upcoming professional development seminars and conferences, a list of presenters on various professional development topics, and an index of staff members with their areas of expertise within the school system, to mention just a few ideas.
5. There are a number of other innovations that would be worth implementing in future applications of the system:
 - (a) The system should be operated for more than one cycle through the three stages – perhaps two or three cycles. This would indicate whether the results remain consistent and if the time requirement becomes less onerous after the first cycle.
 - (b) It would be worthwhile to ascertain what the outcome would be if more peer and self-evaluation techniques were utilized.
 - (c) The system should be examined in a larger and diverse sampling of school situations – size, location and type of school. A larger sampling

of administrators should be examined with experience and training as possible variables.

- (d) Future researchers should consider incorporating a pre-implementation training session for supervisors that would enable them to provide effective leadership in the implementation process with the principals.

There are, no doubt, other implications for further research arising out of this particular study which will be explored by other researchers in the future and which will contribute to the expanding knowledge base on performance assessment and development of principals.

BIBLIOGRAPHY

- ASTA (1984). *ASTA system reviews*. Edmonton: Alberta School Trustees' Association.
- Advisory Committee on Implementing Teacher Evaluation (1985). *Policies and programs*. Edmonton: Alberta Education.
- Alberta Education (1983). Proposed provincial evaluation policy, *A draft proposal by Alberta education*. Edmonton: Alberta Education.
- Alberta Education (1985). *Partners in education: Principles for a new School Act*. Edmonton: Alberta Education.
- Alberta Education (1987). *Directions to 1990*. Edmonton: Alberta Education.
- Allenbaugh, G. E. (1983). Coaching: A management tool for a more effective work performance. *Management Review*, 72(5), 21-26.
- Allison, D. J. (1989). Assessing principal assessment centres. *The Canadian Administrator*, 28(6), 5-8.
- Andrew, L. D., Parks, D. J., and Nelson, L. A. (1985). *Administrators handbook for improving faculty morale*. Bloomington: Phi Delta Kappa.
- Baird, L. S., Beatty, R. W., and Schneier, C. E. (1982). *The performance appraisal source book*. Amherst, MA: Human Resource Development Press.
- Beall, L. L. (1972). Case study no. 7: Evaluating the principal. *Thrust for Educational Leadership*, 2(2), 36-39.
- Bogdan, R., and Biklen, S. K. (1982). *Qualitative research for education*. Boston: Allyn and Bacon.
- Bolton, D. L. (1974). Evaluating school processes and products: A responsibility of school principals. *Performance objectives for school principals: Concepts and instruments*. Berkeley: McCutchan Publishing.
- Bolton, D. L. (1980). *Evaluating administrative personnel in school systems*. New York: Teachers College Press.
- Boyd, W. L. (1983). What school administrators do and don't do: Implications for effective schools. *The Canadian Administrator*, 22(6), 1-4.
- Brick, M., and Sanchis, R. (1972). Case study no. 4: Evaluating the principal. *Thrust for Educational Leadership*, 2(1), 32-37.
- Brinkerhoff, R. O., Brethower, D. M., Hluchyj, T., and Nowakowski J. R. (1983). *Program evaluation*. Boston: Kluwer-Nyhoff Publishing.
- Campbell, A. (1984). Performance management key to improved productivity. *The Globe and Mail*, (February 6).

- Corcoran, T. B., and Wilson, B. L. (1987). Successful secondary schools. *The Educational Digest*, LIII(1), 22-24.
- Carroll, S. J., Jr., and Tosi, H. L., Jr. (1973). *Management by objectives: Applications and research*. New York: Macmillan.
- Carvell, J. (1972). Case study no. 6: Evaluating administrative performance. *Thrust for Educational Leadership*, 2(2), 31-35.
- Cawelti, G. (1984). Behavior patterns of effective principals. *Educational Leadership*, 41(5), 3.
- Cleveland, A. (1983). *Executive officer performance evaluation*. Edmonton: Alberta School Trustees Educational Services.
- Colby, J., and Wallace, R. (1975). Performance appraisal: Help or hindrance to employee productivity? *The Personnel Administrator*, 20(6), 37-39.
- Common, R. (1984). Praise: A performance review process for educators. *The Canadian School Executive*, (June), 7-10.
- Coney, R. (1972). Performance evaluation. *Thrust for Educational Leadership*, 2(1), 11-13.
- Cronbach, L. J. (1982). *Designing evaluations of educational and social programs*. San Francisco: Jossey-Bass Publishers.
- Crowson, R. L., and Porter-Gehrie, C. (1981). The urban school principalship: An organizational stability role. *Planning and Change*, 12(1), 26-53.
- Culbertson, J. A., Henson, C., and Morrison, R. (1974). *Performance objectives for school principals*. Berkeley: McCutchan Publishing.
- Cummings, L., and Schwab, D. (1973). *Performance in organizations: Determinants and appraisal*. Glenview, IL: Scott, Foresman and Company.
- Davis, K. (1981). *Human behavior at work*. New York: McGraw-Hill.
- Devries, D. L., Morrison, A. M., Shullman, S., and Gerlach, M. (1981). *Performance appraisal on the line*. New York: John Wiley and Sons.
- Duhamel, R., Cyze, M., Lamacraft, G., and Rutherford, C. (1981). The evaluation of principals. *Education Canada*, (Summer), 20-27.
- Duke, D. L. (1982). What can principals do? Leadership functions and instructional effectiveness. *NASSP Bulletin*, (October), 1-12.
- Educational Research Services (1974). *Evaluating administrative performance*. Educational Research Services Inc.

- Ferguson, L. W. (1984). A new management style for educational excellence. *The Trustee*, 54(3), 29-30.
- Finn, C. E., Jr. (1984). Toward strategic independence: Nine commandments for enhancing school effectiveness. *Kappan*, 65(8), 518-524.
- Forbes, R., and Hollar, E. C. (1985). *Administrator evaluation*. Bloomington: Phi Delta Kappa.
- French, W. L. and Bell, C. H., Jr. (1978). *Organization development*. Englewood Cliffs, NJ: Prentice-Hall.
- Gallegos, P. (1983). Communicating performance results. *Journal of Systems Management*, (March), 25-31.
- Gaynor, A. K. (1975). The role of the school administrator: Perspectives for a conference on administrator evaluation. *The evaluation of administrative performance: Parameters, problems and practices*. Bloomington: Phi Delta Kappa.
- Genck, F. (1982). Improving performance. *The School Administrator*, (January), 14-15.
- Gephart, W., Ingle, R., and Potter, W. J. (1975). The evaluation of administrative performance: Parameters, problems and practices. *A CEDR Monograph*. Bloomington: Phi Delta Kappa.
- Goodlad, J. (1984). *A place called school*. New York: McGraw-Hill.
- Grant, P. C. (1983). Performance assessment: A statistical and probalistic approach. *Industrial Management*, (January/February), 26-28.
- Grove, A. S. (1983). Performance appraisal: Manager as judge and jury. *Research Management*, 26(6), 32-38.
- Guba, E. G., and Lincoln, Y. S. (1981). *Effective evaluation*. San Francisco: Jossey-Bass.
- Hager, J. L., and Scarr, L. E. (1983). Effective schools – effective principals: How to develop both. *Educational Leadership*, 40(5), 38-40.
- Harrison, W. C., and Peterson, K. D. (1988). Evaluation of principals: The process can be improved. *NASSP Bulletin*, 72(508), 1-4.
- Hautaluoma, J., Kaman, V., and Kryger, B. (1983). Performance appraisal for human resource management: Implications of a pre-post study. *Human Resource Planning*, 6(1), 41-48.
- Haycock, K. (1989). More effective PD programs for principals. *The Canadian School Executive*, 8(8), 14-15.
- Hedding, F. M. (1978). Do your principals have enough power? *The American School Board Journal*, 165(2), 30-33.

- Hersey, P., and Blanchard, K. (1982). *Management of organizational behavior*. Englewood Cliffs, NJ: Prentice-Hall.
- Hobson, C., Mendel, R., and Gibson, F. (1981). Clarifying performance appraisal criteria. *Organizational Behavior and Human Performance*, 28(2), 164-188.
- Hunter, C. (1987). Implementing performance appraisal. *The Canadian School Executive*, 6(8), 3-7.
- Huse, E. F. (1975). *Organization development and change*. New York: West Publishing.
- Jones, J. R. (1985). Coaching for effectiveness in supervision. *The Canadian School Executive*, 4(7), 17.
- King, P. (1984). *Performance planning and appraisal*. New York: McGraw-Hill.
- Kirby, P. (1981). Part 2: A systematic approach to performance appraisal. *Management World*, (November), 28-30.
- Kirkpatrick, D. (1982). *How to improve performance through appraisal and coaching*. New York: Amacom.
- Knoop, R. (1986). Setting and achieving objectives. *Education Canada*, 26(4), 12-15.
- Knowles, H. P., and Saxberg, B. O. (1971). *Personality and leadership behavior*. Don Mills: Addison-Wesley.
- Knezevich, S. J. (1973). *New directions for education*. San Francisco: Jossey-Bass.
- Leithwood, K. A. (1987). Using the principal profile to assess performance. *Education Leadership*, 45(1), 63-66.
- Leithwood, K. A., and Begley, P. T. (1988). Time for a network of Canadian leadership centres. *The Canadian School Executive*, 8(3), 15-16.
- LIMRA (Life Insurance Marketing and Research Association) (1982). The performance appraisal interview. *Managers Magazine*, 57(3), 36-40.
- Latham, G., and Wexley, K. (1982). *Increasing productivity through performance appraisal*. Reading: Addison-Wesley.
- Lefton, R., Buzzotta, V. R., Sherberg, M., and Karraker, K. (1977). *Effective motivation through performance appraisal*. New York: John Wiley and Sons.
- Lipham, J. M. (1975). The evaluation of administrative performance. *The evaluation of administrative performance: Parameters, problems and practices*. Bloomington: Phi Delta Kappa.
- Lipham, J. M. (1981). *Effective principal, effective school*. Reston, VA: NASSP.

- Lorenz, J. (1985). Dealing with the problem employee. *The Canadian School Executive*, 4(10), 13-14.
- Lovrich, N., Shaffere, P. L., Hopkins, R. H. and Yale, D. A. (1980). Do public servants welcome or fear merit evaluation of their performance. *Public Administration Review*, 40(3), 214-222.
- MacDonald, J. (1984). Too little evaluation of principals. *The Canadian School Executive*, 4(2), 23-24.
- MacGillivray, C. (1985). Selection of principals: Stress knowledge of teaching. *The Canadian School Executive*, 5(3), 8-9.
- Madaus, G. F., Scriven, M. S., and Stufflebeam, D. L. (1983). *Evaluation models*. Boston: Kluwer-Nyhoff Publishing.
- Manasse, J. L. (1985). Improving conditions for principal effectiveness: Policy implications of research. *The Elementary School Journal*, 85(3), 439-460.
- Mather, B. (1988). Five ingredients for improving program. *The Canadian School Executive*, 7(10), 12-14.
- McAfee, R. B., and Chadwin, M. (1983). How can performance evaluations be used to motivate employees. *Management Quarterly*, 24(3), 30-35.
- Menergy Performance Systems (1981). Managing human performance. *A brochure for a performance appraisal seminar*. Toronto: Menergy Performance Systems Inc.
- Meyer, H., Kay, E., and French, J., Jr. (1965). Split roles in performance appraisal. *Harvard Business Review*, (January/February), 123-129.
- Montgomerie, T. C., McIntosh, R. G., and Mattson, N. A. (1988). Old shadows, new images: A revisionist view of the principal's role. *The Alberta Journal of Educational Research*, 34(2), 1-26.
- Morrissey, G. L. (1983). *Performance appraisal in the public sector*. Don Mills: Addison-Wesley.
- Moskal, B. S. (1972). Employee ratings: Objective or objectionable. *Industry Week*, 212(3), 46-51.
- Murphy, J., Hollinger, P., and Peterson, K. D. (1985). Supervising and evaluating principals: Lesson from effective districts. *Educational Leadership*, 3(2), 79-82.
- Nash, M. (1983). *Managing organizational performance*. San Francisco: Jossey-Bass.
- Natriello, G., Hoag, M., Deal, T., and Dornbusch, S. (1977). A summary of the recent literature on the evaluation of principals, teachers and students. *Occasional Paper No. 18 Stanford University*. California: Stanford Center for Research and Development in Teaching.

- Onyshkewych, Z. (1980). Appraising the performance appraisal. *Business Week*, (May 19), 153-154.
- Pavett, C. (1983). Evaluation of the impact of feedback on performance and motivation. *Human Relations*, 36(7), 641-654.
- Peel Board of Education (1983). The effective school principal. *The Canadian School Executive*, 2(7), 7.
- Persell, C. H., and Cookson, P. W., Jr. (1982). The effective principal in action. *The effective principal: A research summary*. Reston, VA: NASSP.
- Peterson, K. D., Marshall, C., and Grier, T. (1987). Academies for assistant principals. *Educational Leadership*, 45(1), 47-48.
- Pharis, W. (1973). The evaluation of school principals. *The National Elementary Principal*, 52(5), 36-38.
- Poelzer, H. G. (1989). The key to educational excellence. *ATA Magazine*, 69(3), 12-14.
- Popham, W. J. (1988). *Educational evaluation*. Englewood Cliffs, NJ: Prentice-Hall.
- Purkey, S. C., and Smith, M. S. (1982). Too soon to cheer? Synthesis of research on effective schools. *Educational Leadership*, 40(3), 64-69.
- Redfern, G. B. (1972). Principals: Who's evaluating them, why and how? *NASSP Bulletin*, (May), 85-93.
- Redfern, G. B. (1980). *Evaluating teachers and administrators: A performance objectives approach*. Boulder: Westview Press.
- Renihan, F. I. (1980). The evaluation of principals. *The Saskatchewan Educational Administrator*, 13(2), 22-31.
- Renihan, F. I., and Renihan, P. J. (1984). Effective schools, effective administration, and institutional image. *The Canadian Administrator*, 24(3), 1-5.
- Renihan, P. (1985). Formula for effectiveness. *The Saskatchewan Principalship Study (Report Four)*. Regina: Saskatchewan School Trustees' Association.
- Riley, M. (1983). Toward better performance reviews. *Office Administration and Automation*, (July), 28-30.
- Rosenberg, M. (1983). How to evaluate your principals without scaring (or turning) them off. *American School Board Journal*, 160(6), 35-36.
- Rutherford, W. (1985). School principals as effective leaders. *Kappan*, 67(1), 31-34.
- Sapone, C. V. (1980). An appraisal and evaluation system for teachers and administrators. *Educational Technology*, (May), 44-49.

- Sergiovani, L. J., and Carver, F. D. (1980). *The new school executive*. New York: Harper and Row.
- Shoemaker, J., and Fraser, H. (1981). What principals can do: Some implications from studies of effective schooling. *Kappan*, 63(3), 178-182.
- Smith, N. L. (1981). *New techniques for evaluation*. Beverly Hills: Sage Publications.
- Smyth, W. J. (1982). New direction in the study of the principalship. *The Canadian Administrator*, 22(2), 1-4.
- Solomon, Gerald, and Boulatain, A. (1982). Build a performance system – not a training system. *Training and Development Journal*, (September), 32-34.
- Solomon, Gloria (1983). Teachers rating principals: A sobering experience. *Principal*, (March), 14-17.
- Storey, V., and Housego, I. (1980). Personnel supervision: A descriptive framework. *The Canadian Administrator*, 19(6), 1-4.
- Strother, D. B. (1983). The many roles of the effective principal. *Kappan*, 65(4), 291-293.
- Stufflebeam, D. L., and Shinkfield, A. J. (1985). *Systematic evaluation*. Boston: Kluwer-Nyhoff Publishing.
- Szilagyi, A. (1981). *Management and performance*. Santa Monica: Goodyear Publishing.
- Thomas, M. D. (1979). *Performance evaluation of educational personnel*. Bloomington: Phi Delta Kappa.
- Thomas, M. D. (1980). Performance evaluation: Basis for job motivation. *NASSP Bulletin*, (March), 8-11.
- Tyer, C. (1982). Employee performance appraisal in American state governments. *Public Personnel Management*, 11(2), 199-212.
- Tymko, L. (1985). The foundation for educational leadership (a draft proposal). *Alberta School Trustees' Association*. Edmonton: ASTA.
- Van Dalen, D. B. (1979). *Understanding educational research*. New York: McGraw-Hill.
- Walker, J. W. (1980). *Human resource planning*. New York: McGraw-Hill.
- Wells, R. (1982). Guidelines for effective and defensible performance appraisal systems. *Personnel Journal*, (October), 776-782.
- Wentzell, C. (1987). Excellence in education. *Education Canada*, 27(3), 45-47.

- Wood, F. H., Thompson, S. R., and Russell, F. (1981). Designing effective staff development programs. *Staff development/organizational development*. Alexandria, VA: Association for Supervision and Curriculum Development.
- Zaharis, J. (1978). Organizational systems for staff development. *Challenge in Education Administration*, 17(4), 58-62.
- Zakrajsek, B. (1979). Evaluation systems: A critical look. *NASSP Bulletin*, 63(423), 100-111.

APPENDIX A

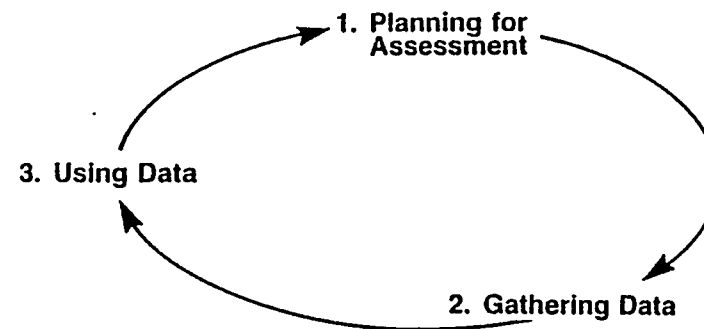
IMPLEMENTATION DOCUMENT

A PERFORMANCE ASSESSMENT AND DEVELOPMENT MODEL

FOR SCHOOL PRINCIPALS

A PERFORMANCE ASSESSMENT AND DEVELOPMENT MODEL FOR SCHOOL PRINCIPALS

A three stage cyclical process:



**Adapted and expanded from a model designed
by Dale L. Bolton (1980).**

(Revised September 1987)

I. INTRODUCTION

This is a performance assessment and development model for school principals. Performance assessment and development is the process of identifying, measuring and developing human performance in organizations. An effective assessment system must not only accurately measure current performance levels, but also contain mechanisms for reinforcing strengths; identifying deficiencies and feeding information back to employees in order that they may improve future performance. This second developmental aspect of assessment is as important as the measurement aspect (Baird et al: 1982:4).

This performance assessment system includes the following general elements (Bolton 1980:37):

1. *A continuous and cyclical process.*
2. *The examination of input, process, and output.*
3. *The consideration of processes and key results of several people.*
4. *A subsystem interrelated with other subsystems in the school organization.*
5. *Self-evaluation plus evaluation by fellow professionals.*
6. *The assessment of common objectives and unique objectives.*
7. *Monitoring the performance assessment plan to determine its effectiveness.*
8. *Provision for the growth and development of the principal.*
9. *A participative process involving the building of trust relationships among the participants.*

The environment in which educational administration takes place is very important. Principals have to function differently in different locations and situations and therefore the performance assessment and development plan has to be flexible enough to provide for this situation.

This type of performance assessment plan is useful in planning for change and for planning the continuing professional development of the principal. The principal should have the ability to set appropriate goals for his school and have the necessary strategies and resources to accomplish these goals. The emphasis is on productivity but the procedures utilized are not ignored.

The effectiveness of this model depends upon the principal and the supervisor being committed to a cooperative evaluation and planning approach in working together in this performance assessment and development plan. It is assumed that every principal has the potential for growth and therefore the emphasis of this plan is on the continued development of the principal. Where possible, adjustments should be made in both the performance requirements and the individual if maximum results are desired.

In this model there are three stages which operate on a continuous and cyclical process. **Stage I is the *Planning for Performance Assessment* stage.** The principal's working environment is analyzed and with the working environment in mind the purposes for the assessment and development are established, goals and objectives are set, and a measurement plan is formulated. Open communication between the participants is important in planning for assessment. Development activities are implemented to assist the principal in developing specific skills he may require in this stage. Evaluation of the processes and the outcomes in this stage is a necessary requirement.

Stage II is the *Gathering Data* stage. All of the activities which were planned for in Stage I are implemented in Stage II. Measurement takes place concurrently with implementation according to the measurement plan formulated in Stage I to ascertain whether goals and objectives have been pursued, and if the procedures utilized appear to be effective. Again, the necessity for open communication is emphasized, specific skill development continues for the principal, and the processes and outcomes emanating in this stage are evaluated.

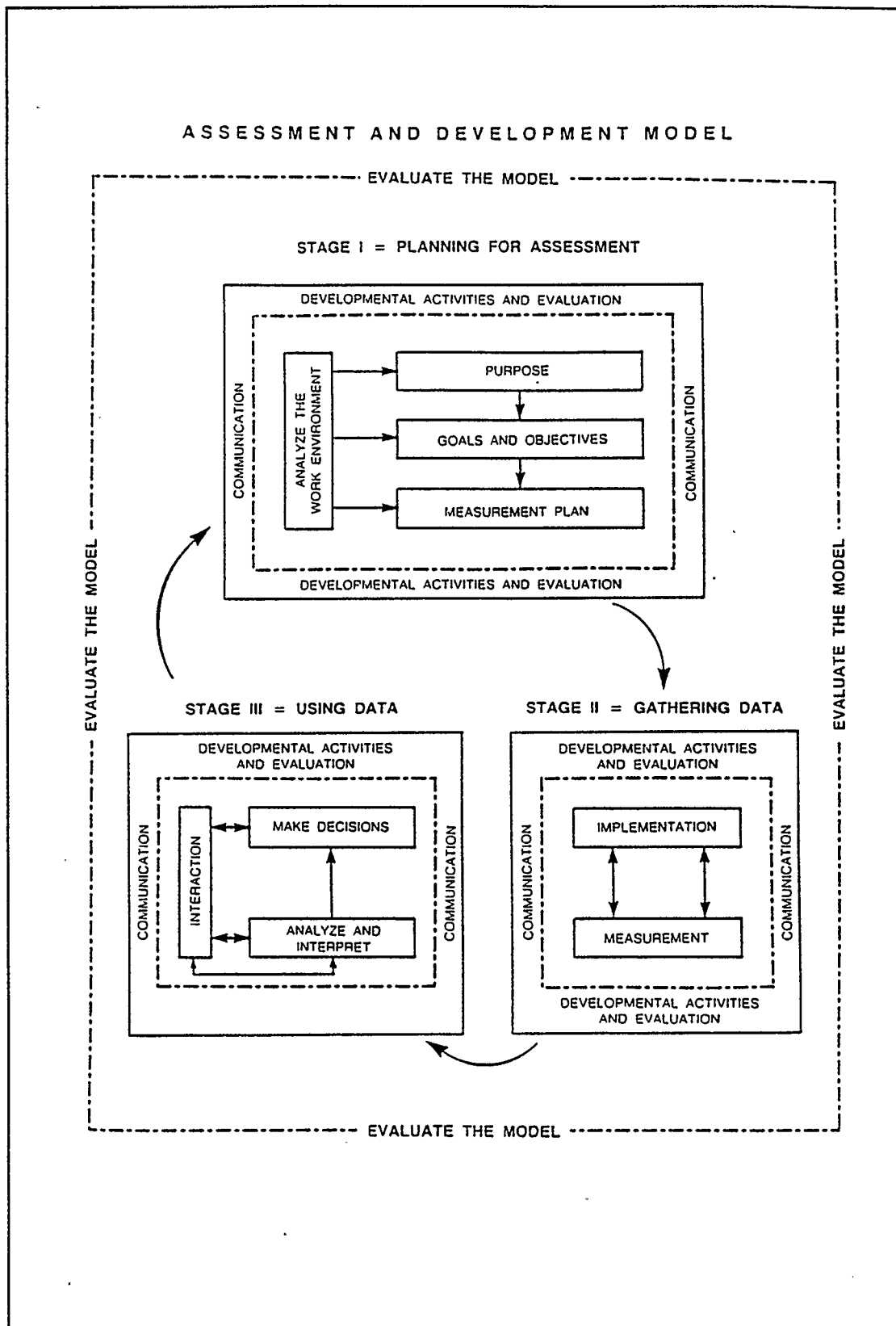
Stage III is the *Using Data* stage. The data gathered in Stage II is analyzed and interpreted and acted upon. Decisions are made as to how the principal performed his responsibilities and future actions are formulated. Conferencing is probably the main source of interaction between the supervisor and the principal in this stage. Again, the necessity for open communication is emphasized, specific skill development continues for the principal and outcomes emanating in this stage are evaluated.

The next step, after the completion of Stage III, is to evaluate the total performance assessment and development model. This should be done to detect errors that may have crept in because of implementation or changes in circumstances, constraints or environment and to detect whether the assessment and development system produces the desired results. The evaluation should focus on the design and the implementation of the model because these are the two major areas in which problems can occur.

After the three stages and the evaluation have been completed it is time to continue the cycle once again starting with Stage I and therefore the process is continuous and cyclical.

TABLE OF CONTENTS

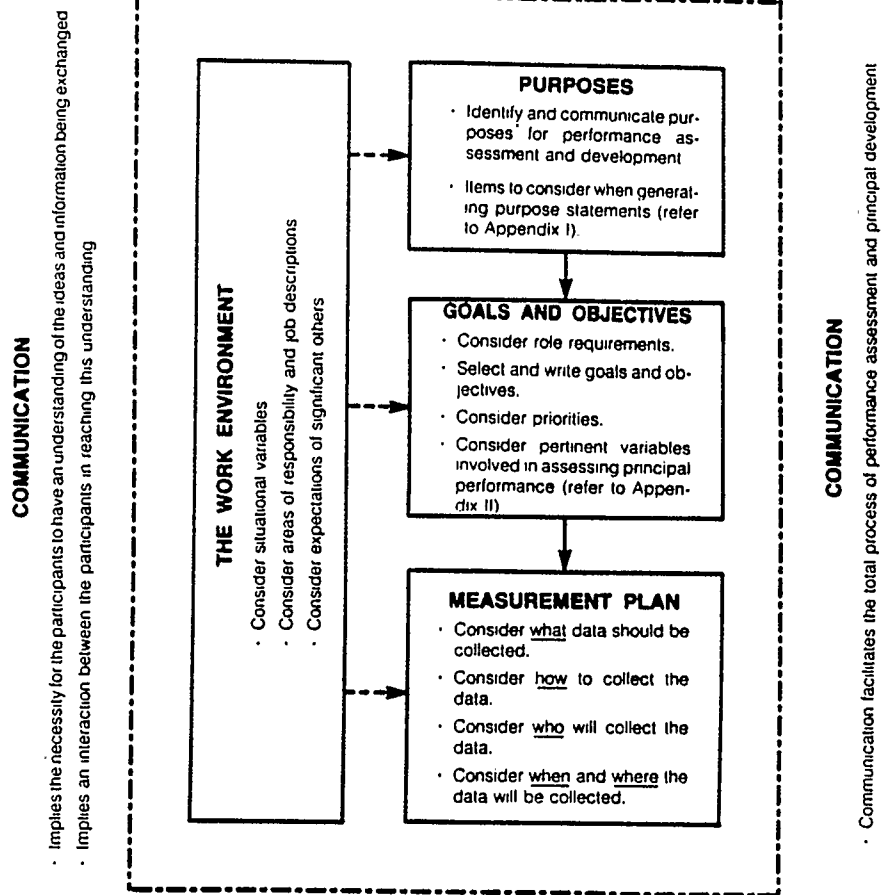
I. INTRODUCTION	
General Elements of the Performance Assessment and Development Model . . .	1
Summary of the Three Stages of the Model	1
Diagram of Assessment and Development Model Diagram	2
STAGE I: Planning for Performance Assessment (Diagram)	3
STAGE II: Gathering Data (Diagram)	3
STAGE III: Using Data (Diagram)	4
Evaluation of the Performance Assessment Model	4
II. A PLANNING DOCUMENT FOR IMPLEMENTING THE MODEL	
STAGE I: Planning for Performance Assessment	5
Step I: Analyze the Work Environment	6
Step II: Examine the Purpose(s) for the Performance Assessment and Development Plan	12
Step III: Establish Goals and Objectives	16
Step IV: Examine the Measurement Plan	22
Step V: Examine the Communication, Developmental Activities and Evaluation Procedures	24
STAGE II: Gathering Data	27
Step I: Examine the Implementation Section	28
Step II: Examine the Measurement Section	28
Step III: Examine the Communication, Developmental Activities and Evaluation Procedures	34
STAGE III: Using Data	37
Step I: Introduction	38
Step II: Analyze and Interpret Information	38
Step III: Time to Make Decisions	40
Step IV: Interaction	42
Step V: Examine the Communication, Developmental Activities and Evaluation Procedures	44
EVALUATION OF THE PERFORMANCE ASSESSMENT AND DEVELOPMENT MODEL	47
Introduction	47
General Evaluation Questions	47
Specific Questions	48
Evaluation Questions Related to the Structure of the Model	49
Appendix	50
Bibliography	50



STAGE I: PLANNING FOR PERFORMANCE ASSESSMENT

DEVELOPMENTAL ACTIVITIES AND EVALUATION

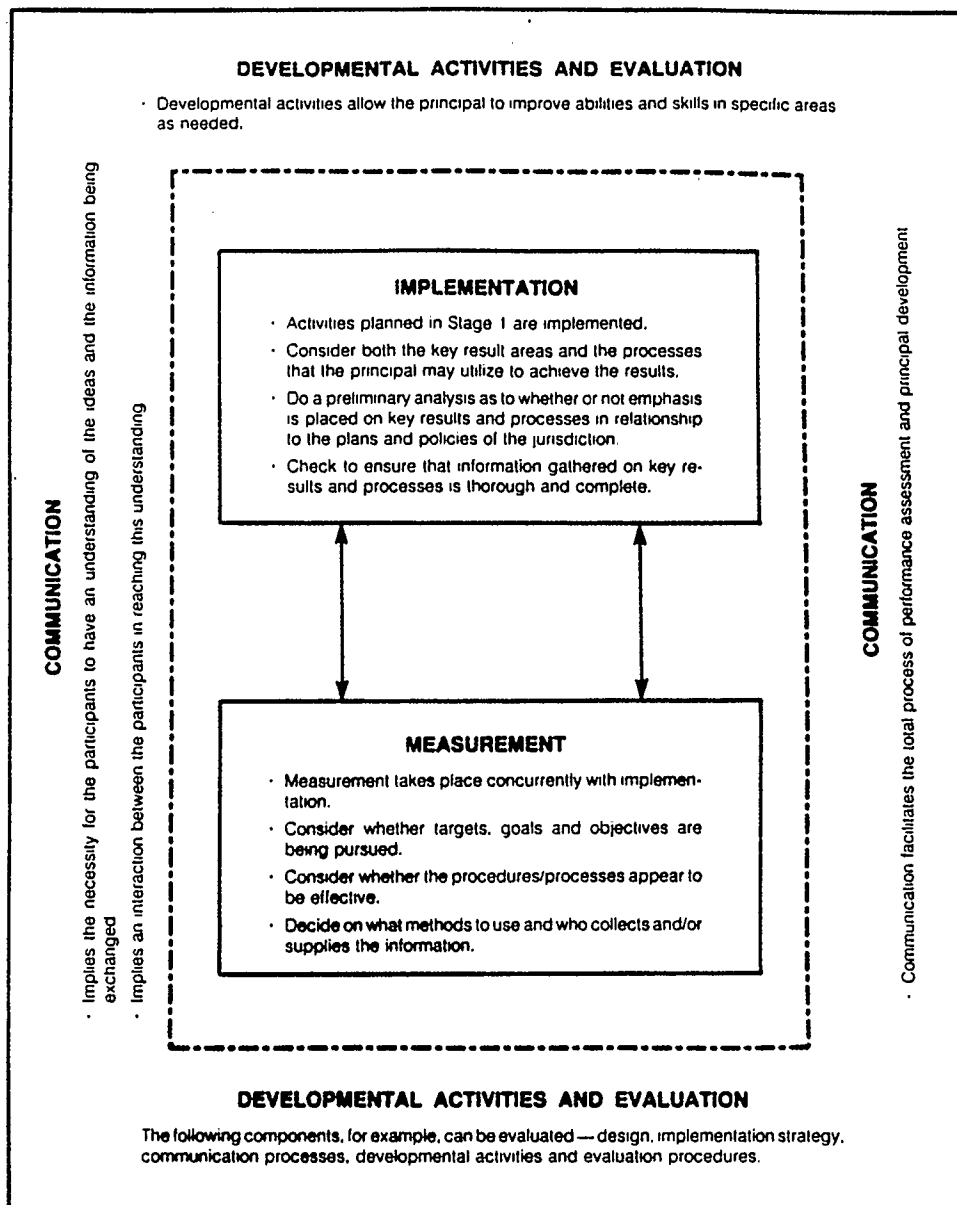
Developmental activities allow the principal to improve abilities and skills in specific areas as needed.



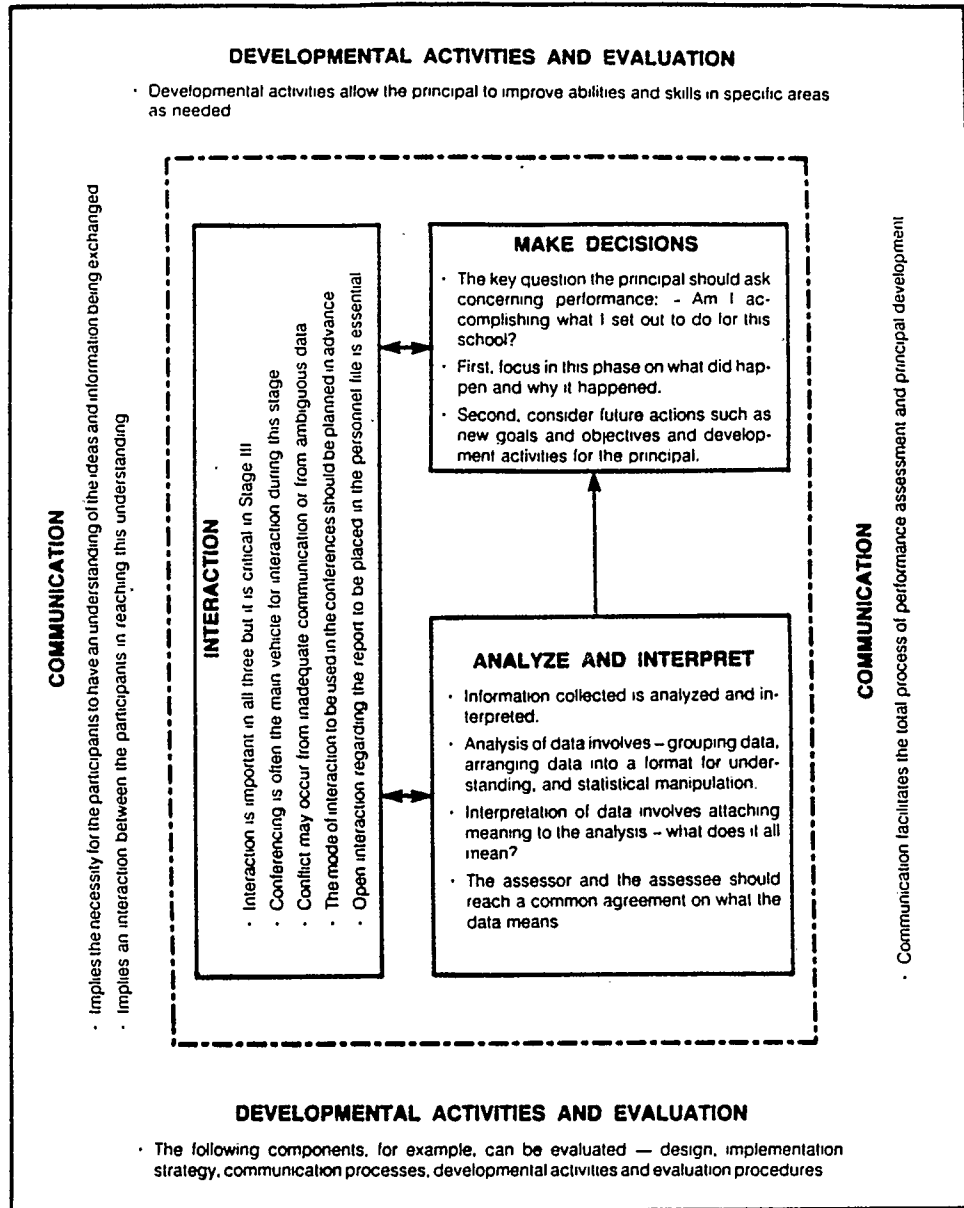
DEVELOPMENTAL ACTIVITIES AND EVALUATION

- The following components, for example, can be evaluated — design, implementation strategy, communication processes, developmental activities and evaluation procedures.

STAGE II GATHERING DATA



STAGE III USING DATA



EVALUATION OF THE PERFORMANCE ASSESSMENT MODEL

The assessment and development model should be evaluated to detect errors which may have crept in because of implementation or changes of circumstances, constraints or environment and to detect whether the assessment and development model produces the desired results. Evaluation of the assessment model should focus on the design and the implementation of the model, because these are the two major areas in which problems can occur.

Useful questions to ask when evaluating the model (Bolton 1980:133:134):

1. Is the system of assessment purposeful?
2. Is the model helping principals do their jobs better?
3. Is sufficient time being spent to implement the model?
4. Is the assessment of principals cyclical and self-correcting?
5. What results can be directly attributed to the performance assessment model?

The evaluation can proceed by examining written records and by asking questions via questionnaires and self-reporting devices. Evaluation will also occur through discussion between the supervisor(s) and the principal(s) when questions, as follows, are addressed: Did it help me, the principal, do my job more effectively? or Am I now running a better school for my students?

II. A PLANNING DOCUMENT FOR IMPLEMENTING THE MODEL

This document can be used by the supervisor and the principal to facilitate the implementation of the model. The document provides the opportunity to respond to many of the background items which may have to be addressed in implementing this particular performance assessment and development model with a principal in a school setting.

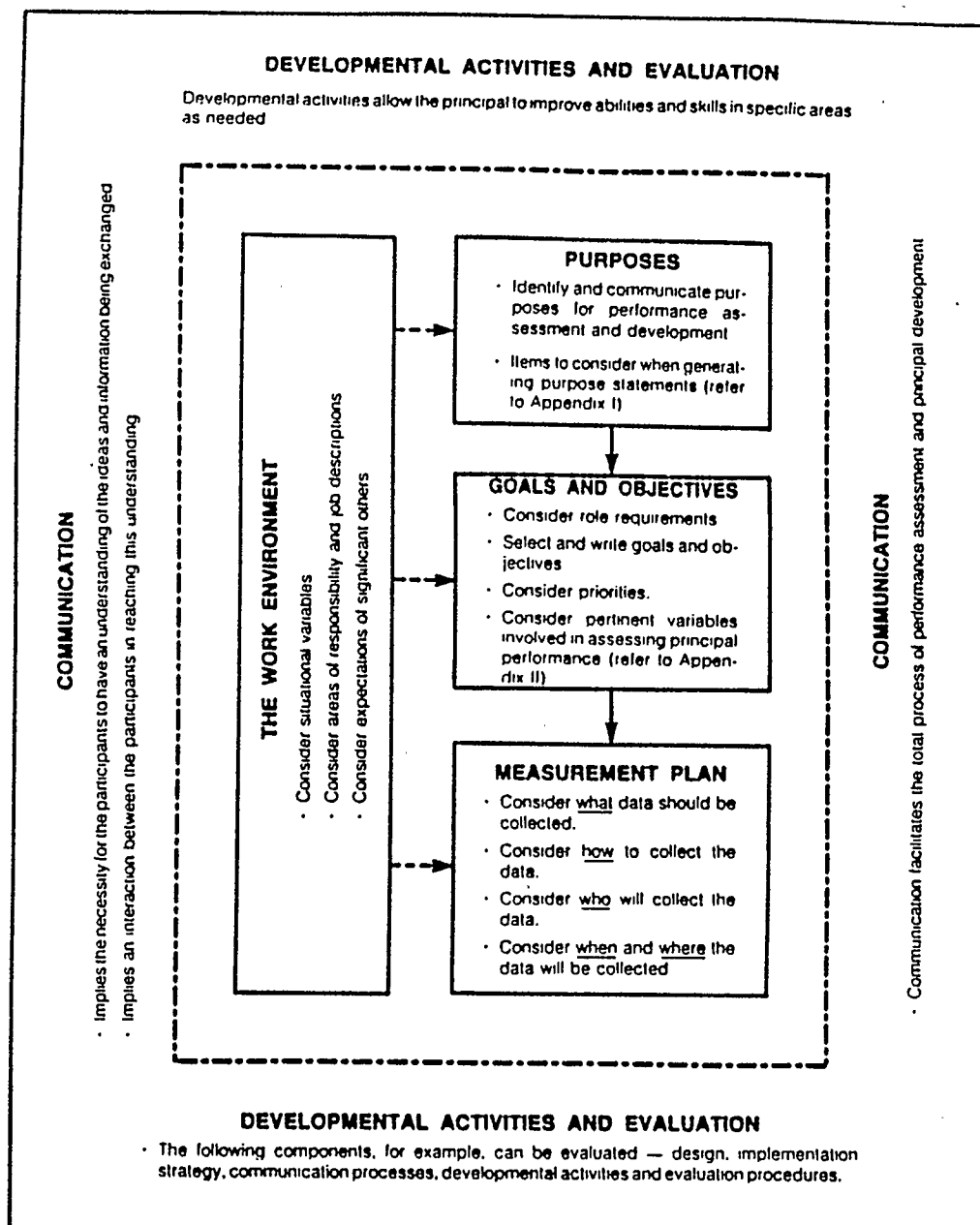
Supervisors and principals should be aware that not every single item has to be addressed fully as not every item will be relevant for the individual principal in his/her school situation. It is up to the supervisor and the principal to decide upon the relevant items and thus which ones can be omitted.

Responses for the most part can be choices of either yes, no, or non-applicable (N/A). Some sections may provide for a response in a short statement form or for a numerical response in some instances. **There is space provided for additional planning notes on the right hand side of each page.**

Stage I:

Planning for Performance Assessment

STAGE I: PLANNING FOR PERFORMANCE ASSESSMENT



STAGE I PLANNING FOR PERFORMANCE ASSESSMENT

A. STEP I: ANALYZE THE WORK ENVIRONMENT

1. Analysis of the Work Environment

These variables should be studied for the effect they may have on the principal's performance.

(a) Logistical variables:

(1) Number of teachers supervised: _____

Number of support staff supervised: _____

(2) Type and number of supporting administrators and office staff, e.g. vice principals, assistant principals, department heads, etc.:

Type: _____ Type: _____ Type: _____

Number: _____ Number: _____ Number: _____

(3) Amount of release time for administrators in minutes per week:

Principal: _____ Vice Principal: _____

Assistant Principal: _____ Department Heads: _____

(4) Size of school system:

Number of full time equivalent teachers: _____

Number of students: _____

(5) Size of the school:

Number of full time equivalent teachers: _____

Number of students in the various divisions:

E.C.S. ____ Primary ____ Elementary ____ Junior High ____ Senior High ____

(6) Location of the school and the school system, e.g. rural, rural-town, urban etc.:

STEP 1: ANALYZE THE WORK ENVIRONMENT

(7) Average age of teaching staff, e.g. 20-29, 30-39, 40-49, over 50: _____

(8) Average years of teaching experience for teaching staff, e.g. 5 or less, 6-9, 9-20, over 20: _____

(9) Average years of training of the teaching staff: _____

(10) Average number of years that teachers have taught in the school: _____

2. Analyze the job description and other related job responsibilities of the principal.

A review of the job description and other responsibilities of the job is required in this section because these influence the performance of the principal.

(a) Is there a specific job description? (Please check the appropriate response.)

Yes _____ No _____ N/A _____

(b) If the response is no; is there a plan to develop one?

Yes _____ No _____ N/A _____

(c) Does the job description include the following components?

(1) Management responsibilities:

Yes _____ No _____ N/A _____

(2) Amount of authority allowed for handling unforeseen administrative challenges:

Yes _____ No _____ N/A _____

(3) Provision for handling new and/or innovative projects and/or special assigned responsibilities:

Yes _____ No _____ N/A _____

(4) Educational leadership responsibilities:

Yes _____ No _____ N/A _____

(5) Supervisory responsibilities:

Yes _____ No _____ N/A _____

STEP 1: ANALYZE THE WORK ENVIRONMENT

(6) Priority of responsibilities:

Yes ____ No ____ N/A ____

(d) Have revisions been considered to update the job description?

Yes ____ No ____ N/A ____

(e) Please attach a copy of the job description to this page.

3. Analyze the expectations of the stakeholders.

The expectations of the stakeholders should be reviewed for the impact they may have on the principal's performance.

(a) Have the perceived expectations of specific stakeholders been considered?

(1) Students:

Yes ____ No ____ N/A ____

(2) Teachers:

Yes ____ No ____ N/A ____

(3) Support Staff:

Yes ____ No ____ N/A ____

(4) Trustees:

Yes ____ No ____ N/A ____

(5) Superintendent(s)/Director(s):

Yes ____ No ____ N/A ____

(6) Parents:

Yes ____ No ____ N/A ____

(7) Community:

Yes ____ No ____ N/A ____

(8) Department of Education:

Yes ____ No ____ N/A ____

STEP I: ANALYZE THE WORK ENVIRONMENT

(9) Other(s):

Yes _____ No _____ N/A _____

(c) Have the expectations for involvement in the school decision-making process held by the stakeholders been considered?

Yes _____ No _____ N/A _____

B. STEP II: EXAMINE THE PURPOSE(S) FOR THE PERFORMANCE ASSESSMENT AND DEVELOPMENT PLAN. WHY ARE WE DOING THIS?

1. Examine the mission statement and/or the "vision" the principal has for the school:

(a) Is there a mission statement for the school?

Yes _____ No _____ N/A _____

(b) When was the mission statement prepared?

Month _____ Year _____

(c) Is the mission statement of the school compatible with the mission statement of the school system?

Yes _____ No _____ N/A _____

(d) Is the mission statement being communicated, understood, and implemented in the school?

Yes _____ No _____ N/A _____

(e) Have the major beliefs and assumptions underlying the mission statement(s), e.g. assumptions about human behavior, motivation, etc. been considered?

Yes _____ No _____ N/A _____

2. Examine the specific purposes of the performance assessment plan. What are the purposes of this evaluation?

The first three purposes (a, b and c) relate to changing the environment in which the administrator works.

**STEP II: EXAMINE THE PURPOSE(S) FOR THE PERFORMANCE ASSESSMENT
AND DEVELOPMENT PLAN – WHY ARE WE DOING THIS?**

Is one of the purposes to:

- (a) Provide an opportunity for the principal to change goals or objectives, e.g. raise or lower goal expectations, change inappropriate objectives?

Yes ____ No ____ N/A ____

- (b) Provide an opportunity for the principal to modify procedures, e.g. the reporting of student academic performance to students and parents?

Yes ____ No ____ N/A ____

- (c) Provide an opportunity for the principal to determine alternate means of implementing procedures, e.g. the reporting procedure is satisfactory but there is a communication problem (parents have not been fully informed)?

Yes ____ No ____ N/A ____

- (d) Provide an opportunity for the principal to determine ways of improving his/her individual performance?

Yes ____ No ____ N/A ____

- (e) Provide information for modifying the principal's job requirements? e.g. modify job or transfer:

Yes ____ No ____ N/A ____

- (f) Acquire information which might protect the principal from unwarranted criticism? e.g. the principal is performing in accordance with agreed-upon goals:

Yes ____ No ____ N/A ____

- (g) Recognize superior performance on the part of the principal? e.g. professional growth opportunities, advancement opportunities, a pat on the back for a job well done, etc.:

Yes ____ No ____ N/A ____

- (h) Provide a basis for career planning and individual principal growth and development?

Yes ____ No ____ N/A ____

**STEP II: EXAMINE THE PURPOSE(S) FOR THE PERFORMANCE ASSESSMENT
AND DEVELOPMENT PLAN – WHY ARE WE DOING THIS?**

- (i) Facilitate principal self-evaluation? e.g. to allow the principal to continuously analyze what is happening and to make the necessary adjustments to his/her performance:

Yes ____ No ____ N/A ____

3. Examine the procedures that are to be utilized to accomplish the purposes. (Now that we know where we want to go, how do we get there?)

Do the specific procedures appear to be in place to better accomplish the purpose? e.g. for improving individual principal performance provision is made for specific feedback on a regular ongoing basis:

Yes ____ No ____ N/A ____

4. Examine whether or not the purposes and procedures have been clearly identified, discussed and fully understood by the supervisor and principal.

Do the supervisor and principal through an extensive communication network, understand where they are going and how they are going to get there?

Yes ____ No ____ N/A ____

C. STEP III: ESTABLISH GOALS AND OBJECTIVES

1. Examine the role of the principal:

- (a) Are the role requirements for the principal in this school setting, e.g. helper, partner, etc. being considered?

Yes ____ No ____ N/A ____

- (b) Is there any possibility of role conflict because of differing role expectations, e.g. some staff members expect a partner relationship while others expect that of a helper?

Yes ____ No ____ N/A ____

- (c) Is the expression of these expectations stated in general goals and specific objectives?

Yes ____ No ____ N/A ____

- (d) Are there provisions for open communication between the supervisor and the principal to promote better understanding of the expectations?

Yes ____ No ____ N/A ____

STEP III: ESTABLISH GOALS AND OBJECTIVES

2. Selecting and writing goals and objectives:

- (a) Are goals stated in terms of general outcomes? e.g. the goal is to establish new procedures for reporting student academic achievement:

Yes ____ No ____ N/A ____

- (b) Are objectives stated in terms of specific results with deadlines for accomplishment? e.g. a new student report card utilizing letter grading procedures and student ranking by June 30, 1988:

Yes ____ No ____ N/A ____

- (c) Are collaborative methods utilized in the planning phase? e.g. principal, staff, and supervisor working together to plan and write goals and objectives:

Yes ____ No ____ N/A ____

- (d) Examine the principal's job (the tasks he performs) when writing and selecting goals and objectives:

- (1) Are goals and objectives selected and written to tie in with the principal's job description?

Yes ____ No ____ N/A ____

- (2) Are the goals and objectives stated in performance terms? e.g. the principal shall visit each teacher's classroom at least three times each school year and write a formative report on each visit:

Yes ____ No ____ N/A ____

3. What are the priorities?

- (a) Is there a manageable number of objectives? e.g. no more than 10:

Yes ____ No ____ N/A ____

- (b) Are objectives ordered in terms of priority of importance?

Yes ____ No ____ N/A ____

- (c) Can priorities be adjusted during the assessment period if changes are required?

Yes ____ No ____ N/A ____

STEP III: ESTABLISH GOALS AND OBJECTIVES

4. Are the following variables to be considered when assessing principal performance?

(a) The type of tasks performed:

Yes ____ No ____ N/A ____

(b) The procedures utilized by the principal to do his job, e.g. well developed communication procedures with the stakeholders:

Yes ____ No ____ N/A ____

(c) The outcomes of the principal's actions, e.g. if he/she accomplishes or does not accomplish what he/she set out to accomplish:

Yes ____ No ____ N/A ____

(d) The principal's abilities to process information required for decision making:

(1) The ability to search through a broad range of information for relevant data:

Yes ____ No ____ N/A ____

(2) The ability to remain receptive to new information:

Yes ____ No ____ N/A ____

(3) The ability to view a situation from alternative perspectives:

Yes ____ No ____ N/A ____

(4) The ability to utilize techniques for handling divergence and ambiguity in situations:

Yes ____ No ____ N/A ____

(5) General awareness ability, e.g. aware of oneself, of others in the working environment, and the job to be done:

Yes ____ No ____ N/A ____

(6) The ability to make sound judgement decisions:

Yes ____ No ____ N/A ____

(e) The personal characteristics of the principal:

(1) Consideration of others.

Yes ____ No ____ N/A ____

STEP III: ESTABLISH GOALS AND OBJECTIVES

(2) Emotional maturity and tact:

Yes ____ No ____ N/A ____

(3) Perceptual acuity:

Yes ____ No ____ N/A ____

(f) The conflict resolution ability of the principal:

Yes ____ No ____ N/A ____

(g) The boundary spanning ability of the principal. e.g. the inter-facing action between the community and the school:

Yes ____ No ____ N/A ____

(h) The entrepreneurial ability of the principal. e.g. the ability to take risks and to implement new ideas and projects:

Yes ____ No ____ N/A ____

D. STEP IV: EXAMINE THE MEASUREMENT PLAN

1. Have the following components required in planning for measurement been considered?

(a) The data to be collected about the processes and the products:

Yes ____ No ____ N/A ____

(b) How the data will be collected:

Yes ____ No ____ N/A ____

(c) Who will collect the data:

Yes ____ No ____ N/A ____

(d) When the data will be collected:

Yes ____ No ____ N.A ____

STEP IV: EXAMINE THE MEASUREMENT PLAN

(e) Where the data will be collected:

Yes ____ No ____ N/A ____

(f) What the limitations are in collecting the data:

Yes ____ No ____ N/A ____

2. Specifically examine the basic methods to be utilized to collect the data:

(a) Will written documents be inspected, e.g. staff meeting minutes, yearly administration plans, school policies, etc.?

Yes ____ No ____ N/A ____

(b) Will the principal's work behaviour be observed?

By whom:

Yes ____ No ____ N/A ____

(c) Will the principal, as well as significant other people (students, teachers, parents, etc.) in the school milieu be interviewed concerning the principal's performance?

Yes ____ No ____ N/A ____

E. STEP V: EXAMINE THE COMMUNICATION, DEVELOPMENTAL ACTIVITIES AND EVALUATION PROCEDURES

1. Examine the communication procedures:

(a) Will the types of communication procedures to be used by the participants during this stage be reviewed?

Yes ____ No ____ N/A ____

(b) Will the methods, if any, to be used for improving the effectiveness of the communication be reviewed?

Yes ____ No ____ N/A ____

2. Examine the developmental activities to be utilized:

STEP IV: EXAMINE THE MEASUREMENT PLAN

**STEP V: EXAMINE THE COMMUNICATION, DEVELOPMENTAL ACTIVITIES
AND EVALUATION PROCEDURES**

- (a) Will the types of developmental activities that could be used to help the principal and the supervisor further develop effective communication in this stage be considered?

Yes ____ No ____ N/A ____

- (b) Will the types of developmental activities that would assist the participants in the following sections be considered?

- (1) The work environment section:

Yes ____ No ____ N/A ____

- (2) The purpose section:

Yes ____ No ____ N/A ____

- (3) The goals and objectives section:

Yes ____ No ____ N/A ____

- (4) The measurement plan section:

Yes ____ No ____ N/A ____

- (c) Will the following areas in the model that may require evaluation in the Planning for Assessment stage be reviewed?

- (1) The current design of this stage:

Yes ____ No ____ N/A ____

- (2) The developmental activities:

Yes ____ No ____ N/A ____

- (3) The communication procedures:

Yes ____ No ____ N/A ____

- (4) The evaluation process:

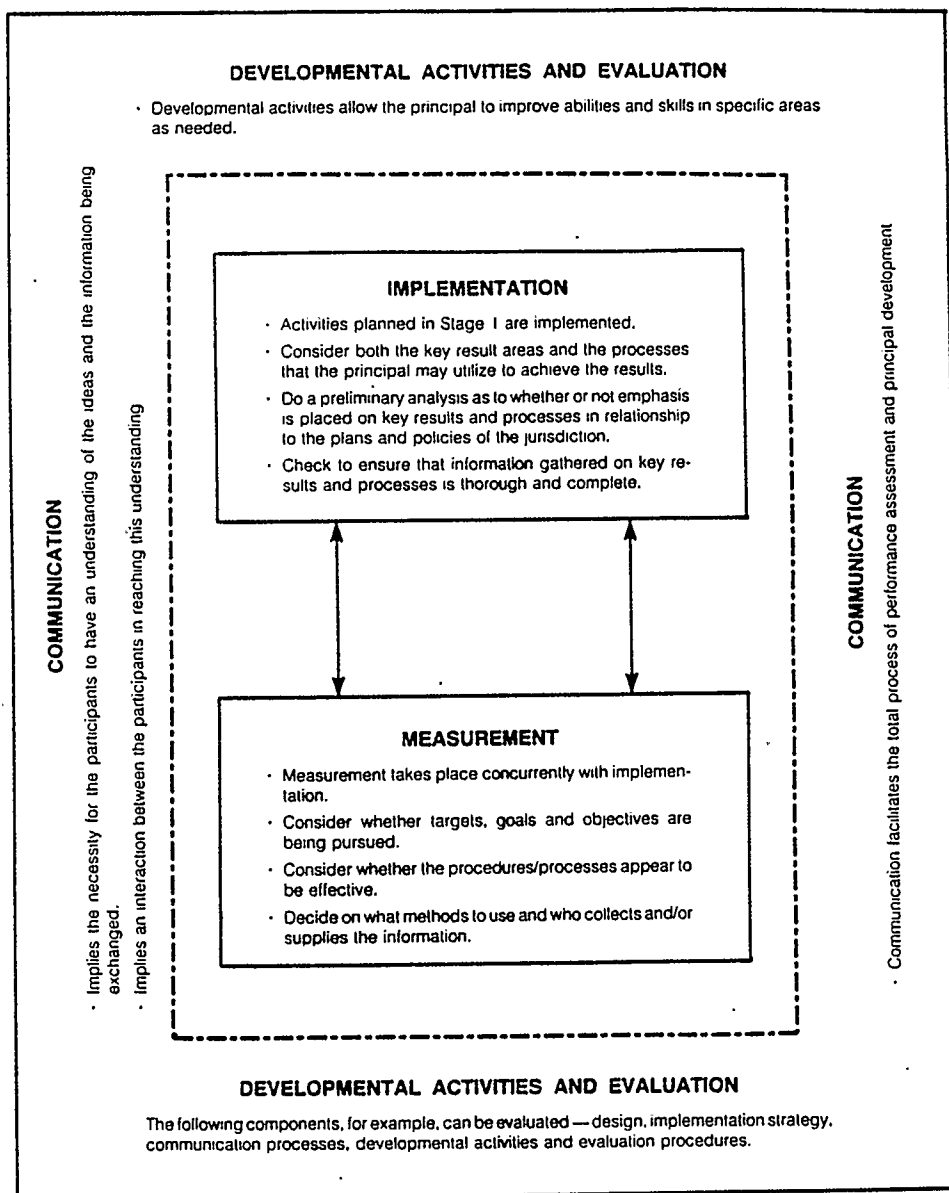
Yes ____ No ____ N/A ____

**STEP V: EXAMINE THE COMMUNICATION, DEVELOPMENTAL ACTIVITIES
AND EVALUATION PROCEDURES**

STAGE II:

GATHERING DATA

STAGE II GATHERING DATA



STAGE II: GATHERING DATA

STEP I: EXAMINE THE IMPLEMENTATION SECTION TO SEE IF THE PRINCIPAL IS TAKING ACTION TO:

1. Provide for the improvement of processes utilized by teachers in their teaching assignments, e.g. pupil-teacher interaction, management of materials, time, equipment, curriculum planning, etc.?

Yes ☐ No ☐ N/A ☐

2. Provide a desirable working and learning environment for teachers and students:

Yes ☐ No ☐ N/A ☐

3. Achieve goals in predetermined desired outcome areas, e.g. curriculum and instruction, staff personnel, pupil personnel, finance and business management, school plant and services, school community relations, etc.:

Yes ☐ No ☐ N/A ☐

4. Utilize a variety of processes to achieve results in the desired outcome areas (such processes as negotiating, communicating, moral building, decision making, conflict resolution, initiating change, supervising and evaluating, etc.):

Yes ☐ No ☐ N/A ☐

5. Understand the relationship between the outcomes and processes for the individuals at different levels in the school or school system? e.g. pupil-teacher interaction may be a process for the teacher and an outcome of teacher behaviour expected by the principal:

Yes ☐ No ☐ N/A ☐

6. Utilize a variety of processes and outcomes in his planning? e.g. the processes may be directed at achieving too few outcomes or better processes could be utilized to accomplish the outcomes:

Yes ☐ No ☐ N/A ☐

B. STEP II: EXAMINE THE MEASUREMENT SECTION

1. Are the implementation phase and the measurement phase occurring together?

Yes ☐ No ☐ N/A ☐

STEP 1: EXAMINE THE IMPLEMENTATION SECTION

2. Are the outcomes the same as those that were targeted when the goals were established?

Yes ____ No ____ N/A ____

3. Is a specific plan being followed (do this by examining the processes being utilized)?

Yes ____ No ____ N/A ____

4. Do procedures have to be modified (if outcomes were not accomplished) or replicated (if outcomes were accomplished)?

Yes ____ No ____ N/A ____

5. Has it been decided who will collect the information on the following activities related to the principal's evaluation:

- (a) About processes used with stakeholder groups?

Yes ____ No ____ N/A ____

- (b) About processes used by the principal in doing individual planning and organizing?

Yes ____ No ____ N/A ____

- (c) About the impact of these processes on the organization, subordinates and clients, e.g. how teachers and students perform?

Yes ____ No ____ N/A ____

6. Has it been decided what types of specific information will be collected?

Yes ____ No ____ N/A ____

7. Are the roles and responsibilities of the collectors clearly defined?

Yes ____ No ____ N/A ____

8. Are self-evaluation techniques being used by the principal?

Yes ____ No ____ N/A ____

STEP II: EXAMINE THE MEASUREMENT SECTION

9. Have techniques been established by the principal and the supervisor to collect information from the other stakeholders? e.g. one to one conversations, small group meetings or written feedback:

Yes ____ No ____ N/A ____

10. Are rating scales being utilized?

Yes ____ No ____ N/A ____

11. Are checklists being utilized?

Yes ____ No ____ N/A ____

12. Are procedures in place to collect qualitative information, e.g. self or supervisor initiated paragraphs, essays, video or audio tapes, etc.?

Yes ____ No ____ N/A ____

13. Have the following questions been addressed to improve the accuracy of measurement procedures and to reduce the discrepancies in the information collected by the principal and/or the supervisor?

- (a) Is the focus of the evaluation clear?

Yes ____ No ____ N/A ____

- (b) Is it clear what results are desired from the evaluation?

Yes ____ No ____ N/A ____

- (c) Are procedures in place to develop specific low-inference items?

Yes ____ No ____ N/A ____

- (d) Have the specific circumstances under which the information will be collected been decided?

Yes ____ No ____ N/A ____

- (e) Have the principal and the supervisor had the opportunity to agree upon how the information will be recorded?

- (f) Are training procedures to be utilized for the in-service of the principal and the supervisor for the collection of information?

Yes ____ No ____ N/A ____

STEP II: EXAMINE THE MEASUREMENT SECTION

C. STEP III: EXAMINE THE COMMUNICATION, DEVELOPMENTAL ACTIVITIES AND THE EVALUATION COMPONENTS

1. What is happening in the communication area?

- (a) Will the types of communication techniques to be utilized by the participants during this stage be reviewed?

Yes _____ No _____ N/A _____

- (b) Will the methods contemplated for improving communication techniques be reviewed?

Yes _____ No _____ N/A _____

2. What is happening with developmental activities?

- (a) Will the developmental activities that could be used to further the communication procedures in this stage be considered?

Yes _____ No _____ N/A _____

- (b) Will the types of developmental activities that could be utilized be reviewed?

- (1) In the implementation section?

Yes _____ No _____ N/A _____

- (2) In the measurement section?

Yes _____ No _____ N/A _____

- (3) In the evaluation component?

Yes _____ No _____ N/A _____

- (c) Will the following areas that may require evaluation in the *Gathering Data* stage be reviewed:

- (1) The current design?

Yes _____ No _____ N/A _____

- (2) The developmental activities?

Yes _____ No _____ N/A _____

**STEP III: EXAMINE THE COMMUNICATION, DEVELOPMENTAL ACTIVITIES AND
THE EVALUATION PROCESS**

(3) The communication procedures?

Yes ____ No ____ N/A ____

(4) The evaluation process?

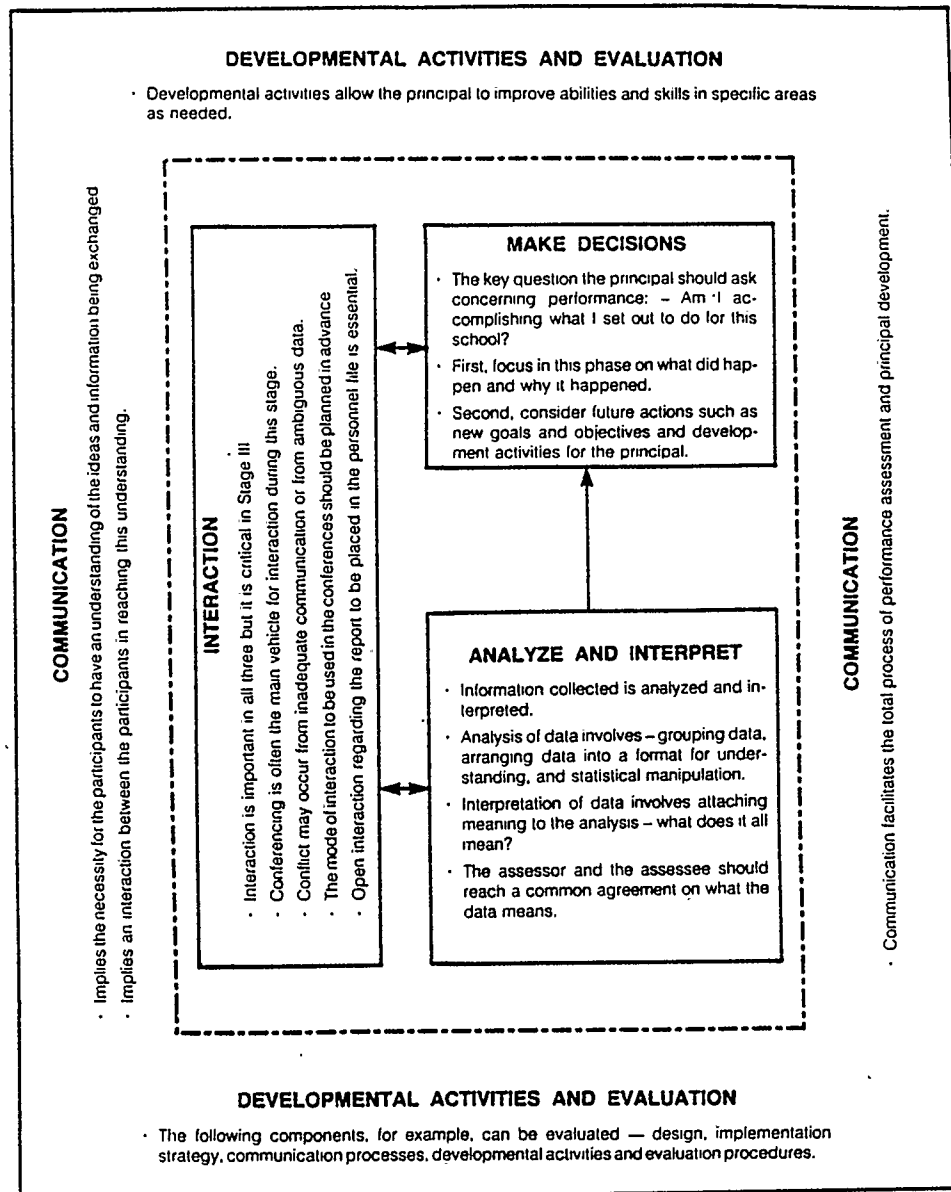
Yes ____ No ____ N/A ____

**STEP III: EXAMINE THE COMMUNICATION, DEVELOPMENTAL ACTIVITIES
AND THE EVALUATION PROCESS**

STAGE III:

USING DATA

STAGE III USING DATA



STAGE III: USING DATA

A. STEP I: INTRODUCTION

(Conferences are the main vehicle for interaction during this stage.)

1. Have the purposes for the various planned conferences between the principal and his supervisor been outlined?

Yes ____ No ____ N/A ____

2. Examine the feedback question:

- (a) Have the suppliers of feedback been named?

Yes ____ No ____ N/A ____

- (b) Has the question of when will feedback be supplied been addressed, e.g. periodically or at the end of the process or both?

Yes ____ No ____ N/A ____

- (c) Is there provision to supply feedback on the goals (appropriateness and attainment of) and other aspects of the principal's job performance?

Yes ____ No ____ N/A ____

- (d) Have the methods that will be used to supply feedback been established:

Yes ____ No ____ N/A ____

3. Is a plan in place as to how assessment conferences be conducted?

Yes ____ No ____ N/A ____

B. STEP II: ANALYZE AND INTERPRET INFORMATION

1. In carrying out the analysis is there:

- (a) A plan for grouping or clustering data of a similar nature?

Yes ____ No ____ N/A ____

- (b) A plan for displaying or formatting the data?

Yes ____ No ____ N/A ____

STEP I: INTRODUCTION**STEP II: ANALYZE AND INTERPRET INFORMATION**

(c) Some type of statistical application that may be utilized to represent behaviour, events or results being studied?

Yes ____ No ____ N/A ____

2. Has consideration been given to how the following concerns will be handled?

(a) The role the principal will play in interpreting the data?

Yes ____ No ____ N/A ____

(b) The role the supervisor will play in interpreting the data?

Yes ____ No ____ N/A ____

(c) The provisions that are in place for allowing for mutual agreement (principal and supervisor) on the interpretation of the data?

Yes ____ No ____ N/A ____

(d) The conclusions can be reached from examining the data, e.g. what does this all mean?

Yes ____ No ____ N/A ____

C. STEP III: TIME TO MAKE DECISIONS

(The major question to be addressed by the principal is: What works for me in my school?)

1. Describe what happened:

(a) Was there achievement of goals and objectives?

Yes ____ No ____ N/A ____

(b) Should some of the continuing goals and objectives be altered?

Yes ____ No ____ N/A ____

(c) Were procedures implemented as planned?

Yes ____ No ____ N/A ____

(d) Were the procedures as designed effective?

Yes ____ No ____ N/A ____

STEP II: ANALYZE AND INTERPRET INFORMATION

STEP III: TIME TO MAKE DECISIONS

2. Describe what is to be considered next:

(a) Have the next steps to be taken by the principal been considered?

Yes ____ No ____ N/A ____

(b) Should some types of control mechanisms be established to ensure the procedures are implemented as planned?

Yes ____ No ____ N/A ____

(c) Should some of the procedures be changed?

Yes ____ No ____ N/A ____

D. STEP IV: INTERACTION

1. Have steps been taken to ensure interaction is taking place between the supervisor and the principal during this stage?

Yes ____ No ____ N/A ____

2. Is there a plan in place for the supervisor and the principal to decide when to analyze, interpret and make decisions in the conferencing process?

(a) Before the individuals have had a conference?

Yes ____ No ____ N/A ____

(b) During the conference?

Yes ____ No ____ N/A ____

(c) Following the conference?

Yes ____ No ____ N/A ____

(d) Will the purpose of each conference be clearly specified? e.g. whether it is to analyze or interpret information or to make decisions or a combination of the foregoing:

Yes ____ No ____ N/A ____

3. Will the helping and trust relationship be further developed between the supervisor and the principal?

Yes ____ No ____ N/A ____

STEP IV: INTERACTION

4. Will evaluative decisions be made by comparing outcomes to predetermined criteria?

Yes ____ No ____ N/A ____

5. Have the following modes of communication that can be utilized in the conferences be considered? e.g. telling, selling, asking, demanding, encouraging, etc.?

Yes ____ No ____ N/A ____

6. Is there a plan for setting the agendas for the conferences?

Yes ____ No ____ N/A ____

7. Have the potential areas for conflict between the principal and supervisor during this stage been considered?

- (a) Is there a contingency plan that can be taken to improve the inadequate communication that could stem from lack of discussion in Stage I concerning the context of the assessment, the reason for the assessment, the goals and objectives and the measurement plan?

Yes ____ No ____ N/A ____

- (b) Did Stage I conferences deal with important interaction items that occur in Stage III? e.g. the information to be included in the report for the personnel file or who receives copies of these reports:

Yes ____ No ____ N/A ____

- (c) Has it been decided who writes the summary report? e.g. the supervisor, the principal or both in a collaborative approach:

Yes ____ No ____ N/A ____

E. STEP V: EXAMINE THE COMMUNICATION, DEVELOPMENTAL AND EVALUATION COMPONENTS

1. What is happening in the communication area?

- (a) Will the types of communication that are being used during this stage be reviewed?

Yes ____ No ____ N/A ____

- (b) Will the techniques that could be used to improve the communication during this stage be reviewed?

Yes ____ No ____ N/A ____

STEP IV: INTERACTION**STEP V: EXAMINE THE COMMUNICATION, DEVELOPMENTAL AND EVALUATION
COMPONENTS**

2. What is happening with developmental activities?

- (a) Will the developmental activities that could be utilized to further develop communication in this stage be considered?

Yes ____ No ____ N/A ____

- (b) Will the types of developmental activities that could be used be reviewed?

- (1) In the "analyze and interpret" section?

Yes ____ No ____ N/A ____

- (2) In the "make decisions" section?

Yes ____ No ____ N/A ____

- (3) In the "interaction" section:?

Yes ____ No ____ N/A ____

- (c) Will the following areas that could require evaluation in the *Using Data* stage be reviewed?

- (1) The current design?

Yes ____ No ____ N/A ____

- (2) The developmental activities?

Yes ____ No ____ N/A ____

- (3) The communication process?

Yes ____ No ____ N/A ____

- (4) The evaluation process?

Yes ____ No ____ N/A ____

EVALUATION OF THE PERFORMANCE ASSESSMENT AND DEVELOPMENT MODEL

A. INTRODUCTION

The assessment and development model should be evaluated to detect errors which may have occurred because of implementation or changes of circumstances, constraints or environment and to detect whether the assessment and development model produces the desired results. Evaluation of the assessment model should focus on the design and the implementation of the model because these are the two major areas in which problems can occur.

The evaluation can be handled by examining written records, using questionnaires and other self-reporting devices.

B. GENERAL EVALUATION QUESTIONS

1. Is the model helping the principal perform more effectively?

Yes ____ No ____ N/A ____

2. Is sufficient time being spent to implement assessment procedures?

Yes ____ No ____ N/A ____

3. Is the system of performance assessment purposeful?

Yes ____ No ____ N/A ____

4. Is the assessment of the principal cyclical and does it provide mechanisms for self-correction?

Yes ____ No ____ N/A ____

5. Can specific results be attributed directly to the performance assessment system?

Yes ____ No ____ N/A ____

GENERAL EVALUATION QUESTIONS

6. Does the school system fully support the purpose of performance assessment and development?

Yes ____ No ____ N/A ____

7. Is some form of performance assessment functioning in all aspects of the school system?

Yes ____ No ____ N/A ____

C. SOME SPECIFIC QUESTIONS

1. Is feedback provided to the principal so that subsequent performance can be improved?

Yes ____ No ____ N/A ____

2. Is in-service training provided for the developmental needs of the principal to enable him/her to perform more effectively?

Yes ____ No ____ N/A ____

3. Does the use of the model:

- (a) Provide a process for identifying criteria that could be used for allocating incentives for the principal:

Yes ____ No ____ N/A ____

- (b) Facilitate planning for improved performance of the principal:

Yes ____ No ____ N/A ____

- (c) Help provide validation for the principal selection process, e.g. was the right person hired for the job:

Yes ____ No ____ N/A ____

- (d) Facilitate the translation of organizational goals into objectives for the individual principal:

Yes ____ No ____ N/A ____

- (e) Provide for performance assessment being evaluated on the basis of clear and concise job descriptions:

Yes ____ No ____ N/A ____

SOME SPECIFIC QUESTIONS

- (f) Facilitate the establishment of clear, realistic performance goals (usually mutually set) which will facilitate the professional growth of the principal as well as to meet the organization's goals and objectives:

Yes ____ No ____ N/A ____

- (g) Promote job satisfaction for the principal:

Yes ____ No ____ N/A ____

- (h) Promote the possibilities of job enrichment for the principal:

Yes ____ No ____ N/A ____

- (i) Provide additional motivation for the principal:

Yes ____ No ____ N/A ____

- (j) Facilitate effective communication between the principal and the supervisor:

Yes ____ No ____ N/A ____

- (k) Address the positive as well as the negative aspects of performance:

Yes ____ No ____ N/A ____

- (l) Promote self-evaluation as well as evaluation by others:

Yes ____ No ____ N/A ____

- (m) Provide flexibility to meet the varying needs of different schools:

Yes ____ No ____ N/A ____

D. EVALUATION QUESTIONS RELATED TO THE STRUCTURE OF THE MODEL

1. Does each stage operate as outlined in the model?

Yes ____ No ____ N/A ____

2. Do the three stages operate together in a cyclical fashion as proposed?

Yes ____ No ____ N/A ____

SOME SPECIFIC QUESTIONS

QUESTIONS RELATED TO THE STRUCTURE OF THE MODEL

You have now completed the step by step process of implementing and evaluating this model in a school setting. The information that you have collected and analyzed during the implementation and the evaluation of the model should provide you with a basis of new information to be used in continuing the cycle of performance assessment and development.

APPENDIX

I. Items to consider when generating purpose statements (Bolton: 1974:172):

1. Goals or objectives - making sure they are as appropriate as can be achieved.
2. Modifying processes to better meet the needs and requirements of the students, staff members and community.
3. Determining new ways of implementing procedures, e.g. ensuring adequate human and financial resource support.
4. Improving performance of individuals -- e.g. students, teachers, support staff and administrators. Provide information that will allow the individual to change, grow and develop.
5. Supplying information for modification of assignments -- can the assignment be modified to better suit the talents and abilities of the principal.
6. Ensuring accountability of principals and/or school system through systematic evaluation practices.
7. Recognizing superior performance -- e.g. through plans for professional growth, recognition and advancement.
8. Validating the selection process.
9. Facilitating self-evaluation.

II. Possible pertinent variables involved in assessing principal performance.

1. Activities performed - e.g. maintenance, implementation or innovative.
2. Personal qualities or characteristics of principals - e.g. sociability, appearance, emotional stability.
3. Procedures utilized by principals - parent groups, inservice activities, use of consultants from outside of the school system. etc.
4. Results of principal action - e.g. improved student achievement, improved teacher performance, change in school climate, change in parental satisfaction.

BIBLIOGRAPHY

- Baird, Lloyd S., Richard W. Beatty and Craig Erin Schneier. The Performance Appraisal Source Book. Human Resource Development Press, Amherst, Mass., 1982.
- Bolton, Dale L., Evaluating Administrative Personnel in School Systems. Teachers College Press, New York, 1980.

APPENDIX B

LETTER TO PANEL OF EXPERTS

August 5, 1987

I certainly appreciate your assistance in providing feedback to me in this research project. As you are aware I am proposing to implement this performance assessment and development model for school principals in a series of case studies in the Fall as part of the requirements for completing a doctoral dissertation.

Prior to having the model implemented in school settings it would appear to be an extremely useful process to have the model reviewed by a panel of experts, in this case, educators who are well versed in the role and nature of the principalship. Because of your expertise in this area you are being requested to provide feedback on this model.

Please find enclosed three documents:

1. The first document provides an introduction and overview of the model.
2. The second document is a planning document for implementing the model.
3. The third document is an **optional** planning document.

Would you please review in detail document #2 and provide me with feedback regarding:

1. Clarity and appropriateness of the wording of the items.
2. Clarity and appropriateness of the content.
3. Please feel free to comment on items that could be included or omitted from the document.

.... /2

-2-

4. In a more global perspective:
 - (a) Will each stage do what it is supposed to do? Would Stage I: Planning for Assessment provide the principal and the supervisor with an adequate format to plan for assessment?
 - (b) Will the model, with the accompanying instruments do what it is supposed to do? Will it provide a reasonable avenue for assessing the performance of the principal and assist in the further development of job related skills required by the principal?
5. Any other feedback which you feel would be relevant to this research would also be appreciated.

If you wish you may write your comments directly in the documents beside the items or sections which you feel require further attention. If you wish to respond in some other format that would also be acceptable.

I certainly appreciate your cooperation and assistance in my research. Your expertise and advice will no doubt add to the usefulness of this project.

It is hoped that you could return your critique to me by **August 26, 1987**.

Yours very truly,

Jim Phelps

Please return to:

Jim Phelps
905 - 4 Avenue South
Lethbridge, Alberta
T1J 4E4

APPENDIX C
META-EVALUATION INSTRUMENT

**PARTICIPANTS' EVALUATION INSTRUMENT:
"A PERFORMANCE ASSESSMENT AND DEVELOPMENT MODEL
FOR SCHOOL PRINCIPALS"**

A. Introduction

Now that you have had the opportunity to use this document in an actual performance assessment application in a school setting, feedback would be valuable in helping the researcher to evaluate as to whether or not this model and the accompanying planning document does what it purports to do. As well, it will give the researcher information helpful in planning for future utilization of this document with other school principals. Please comment in the space provided where applicable. Your suggestions as to how this model and planning document could be improved are helpful.

It is intended that this evaluation will be done collaboratively with the supervisors and the principals. At a later date, after the completion of the evaluation instrument, the researcher will follow-up with interviews with the participants.

B. Review of the Three Stages

1. Stage I – Planning for Performance Assessment

- (a) Did the major topics addressed within the section on the work environment (analysis of the work environment, analysis of job descriptions, expectations of stakeholders) provide the necessary support information for planning? (please check one)

Yes _____ No _____

- (b) Did the topics addressed within this section on the purpose(s) provide the required support information for planning?

Yes _____ No _____

- (c) Did the major topics addressed within this section on establishing goals and objectives provide the necessary support information for planning?

Yes ____ No ____

- (d) Did the major topics addressed within this section on establishing the measurement plan provide the support information required for planning?

Yes ____ No ____

- (e) Did the major topics addressed within this section on examining communication, developmental activities and evaluation procedures provide the required support information necessary to review these activities?

Yes ____ No ____

- (f) Does Stage I, in your opinion, accomplish what it purports to do, i.e., does it enable the supervisor and the administrator to plan for the performance assessment and development activity?

Yes ____ No ____

2. Stage II – Gathering Data

- (a) Did the major topics addressed in the implementation section provide the necessary support information to determine if the principal was taking appropriate action to bring about implementation of the performance assessment and development plan as outlined in Stage I?

Yes _____ No _____

- (b) Did the major topics addressed in the measurement section provide the necessary support information required to collect data and implement strategy as planned for in the measurement section?

Yes _____ No _____

- (c) Did the major topics addressed within this section on examining communication, developmental activities and evaluation procedures provide the required support information necessary to review these activities in Stage II?

Yes _____ No _____

- (d) Does Stage II, in your opinion, accomplish what it purports to be able to do, i.e., does it enable the participants to gather the data required for the performance assessment and development activity?

Yes _____ No _____

3. Stage III – Using Data

- (a) Did the major topics addressed in the introduction section on purposes and feedback provide the necessary information required to initiate this first step in Stage III?

Yes _____ No _____

- (b) Did the major topics addressed in the section on analyzing and interpreting information facilitate the use of the data collected in Stage II?

Yes _____ No _____

- (c) Did the major topics addressed in the section on decision-making provide the necessary support information to adequately describe what happened and to assist in describing what should be considered next?

Yes _____ No _____

- (d) Did the issues addressed in the interaction section help in the planning and implementation of this section?

Yes _____ No _____

- (e) Did the issues addressed within this section on examining communication, developmental activities, and evaluation procedures provide the required support information necessary to review these activities in Stage III?

Yes _____ No _____

- (f) Does Stage III, in your opinion, accomplish what it purports to do, i.e., facilitate the use of the data collected in Stage II to ascertain the success of the performance assessment and developmental activity?

Yes _____ No _____

C. Review of the General Elements of this Performance Assessment and Development System (Design)

In your opinion, does this performance assessment and development system, in actual practice, display the characteristics it suggests are key elements in the system? Please respond to the forced choice questions and comment where applicable. This performance assessment and development system exhibits the following characteristics:

1. A continuous and cyclical process. (please check one)

Yes _____ No _____

2. The examination of input, process and output.

Yes _____ No _____

3. Interrelates with other evaluation sub-systems in the school and school system.

Yes _____ No _____

4. Allows for a component of self-evaluation.

Yes _____ No _____

5. Provides for the assessment goals and objectives.

Yes _____ No _____

6. Provides for the monitoring of the performance assessment plan to determine its effectiveness.

Yes _____ No _____

7. Provides for the professional growth and development of the principal.

Yes _____ No _____

8. Operates as a participative process involving the building of trust relationships among the participants.

Yes _____ No _____

9. Allows for the performance assessment and development of principals who have to function differently in different locations and situations.

Yes _____ No _____

10. Allows for modifications during the process, e.g., goals and objectives can be modified.

Yes _____ No _____

11. Provides for feedback and open communication between participants.

Yes _____ No _____

D. More Specific Questions (Focus on Implementation)

Please answer these questions from your specific experiences with this system.

1. Was feedback provided to the principal so that subsequent performance could be improved?

Yes _____ No _____

2. Was inservice training provided for the developmental needs of the principal to enable him to perform more effectively?

Yes _____ No _____

3. Does the use of the system:

- (a) Facilitate the translation of organizational goals into objectives for the individual principal?

Yes _____ No _____

- (b) Provide for performance assessment being evaluated on the basis of clear and concise job descriptions?

Yes _____ No _____

- (c) Facilitate the establishment of clear, realistic performance goals (usually mutually set) which will encourage the professional growth of the principal as well as to meet the organization's goals and objectives?

Yes _____ No _____

- (d) Promote job satisfaction for the principal?

Yes _____ No _____

- (e) Promote the possibilities of job enrichment for the principal?

Yes _____ No _____

(f) Provide additional motivation for the principal?

Yes _____ No _____

(g) Facilitate effective communication between the principal and the supervisor?

Yes _____ No _____

(h) Address the positive as well as the negative aspects of performance?

Yes _____ No _____

(i) Promote self-evaluation as well as evaluation by others?

Yes _____ No _____

(j) Provide flexibility to meet the varying needs of different schools and school principals?

Yes _____ No _____

E. General Remarks

Please respond with your perceptions of this system as a whole in regard to what you see as strengths, weaknesses and possible methods to improve the system.

APPENDIX D
PARTICIPANTS TESTIMONIAL
RE AUTHENTICITY OF FIELD STUDY

RESEARCH TOPIC**The Performance Assessment and
Development of School Principals**

I have read the researcher's description of the sessions held and the observations recorded in the field study in which I was personally involved as a participant. To my recollection of the sessions and the discussions that ensued, the description given in Chapter V of the dissertation appears to be comprehensive and a true depiction of what evolved during the field study.

Yours truly,
