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THE SUPERVISION AND EVALUATION OF HIGH SCHOOL PRINCIPALS

AS DESCRIBED BY CENTRAL OFFICE ADMINISTRATORS

A Dissertation

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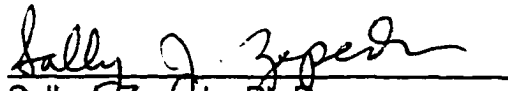
THE SUPERVISION AND EVALUATION OF HIGH SCHOOL PRINCIPALS AS DESCRIBED BY CENTRAL OFFICE ADMINISTRATORS

A Dissertation APPROVED FOR THE
DEPARTMENT OF EDUCATIONAL LEADERSHIP AND POLICY STUDIES

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Abstract

This study examined the perspectives of seven Oklahoma central office administrators about the supervision and evaluation they provided to their high school principals. Further examination was undertaken to describe— from the participants' perspectives—the relationship between supervision and evaluation of high school principals. The principal is responsible for supervising and evaluating teachers, and the research-based knowledge of teacher supervision and evaluation is widely available. However, the knowledge related to the supervision and evaluation of principals is not as well defined.

A pilot study—a content analysis—was conducted in which 14 districts submitted documents used to evaluate high school principals. Results of the pilot study pointed toward professional growth and development as a general purpose for evaluating principals. However, there was little, if any, language about supervisory or formative procedures included in the documents being studied.

The criteria for participant selection included: (a) participants' district must have participated in the pilot study; (b) participants had to directly supervise and evaluate the principals; and (c) participants had to have supervised principals for a minimum of one school year. The participants— four females and three males—had experience in supervising and evaluating high school principals that varied from one to nine years.

The participants in this study characterized supervision as an ongoing formative process through which they believed they helped their principals to grow and develop. Two different purposes for supervision emerged. In most states, statutes apply minimum criteria by which principals are to be evaluated. Participants appeared to equate evaluation with their specific evaluation tool or instrument. Typically, the supervisors and the high school principals reviewed the evaluation instrument during an end-of-year conference.

The participants described several procedures and interactions they used to supervise and evaluate high school principals: (a) pre-conferences, (b) goal-setting, (c) site visits, (d) group meetings, (e) post-conferences, and (f) electronic mail (e-mail). Each of these procedures or interactions was designed to enhance communication among the high school principals and their supervisors.

The participants described the relationship between supervision and evaluation of high school principals as "hand-in-hand" or "like a glove and a hand". Supervision was a daily, ongoing process used to promote growth in principals. Supervision and evaluation procedures and interactions were similar across all the districts in this study.

Dedicated to

Christopher and Chelsea

CHAPTER ONE

INTRODUCTION

Reports of mediocrity or failure in public schools have increased

demands from politicians and voters for more accountability from educators

(Heck & Marcoulides, 1993; Johnson, 1996; Martens, 1991). School boards

respond to these demands and mandates by requiring superintendents to

develop plans for making needed improvements and evaluating their

progress. Superintendents, in turn, expect principals to do more, while

principals expect more of their teachers. Teachers and principals are held

accountable through personnel evaluation systems mandated by policy and

state statutes.

Teacher supervision and evaluation practices are more advanced than

those used with principals. Teacher evaluation and supervision are well

studied and documented (e.g., Blase & Blase, 1998; Calabrese & Zepeda,

1997; Darling-Hammond, 1986; Darling-Hammond & Wise, 1983; Glanz &

Neville, 1997; McGreal, 1982; Popham, 1988; Scriven, 1995; Wise, Darling-

Hammond, McLaughlin, & Bernstein, 1984; Zepeda & Mayers, 2000). These

scholars have provided the theories and models that have helped

practitioners to identify effective criteria and processes for supervising and

evaluating classroom teachers.

Research on principal supervision and evaluation is limited by methodological and conceptual problems (Ginsberg & Thompson, 1993; Heck & Marcoulides, 1996, 1993), and this limits the theories and models of good principal evaluation processes needed by practitioners to design local evaluation systems. Much of the literature on principal supervision and evaluation only provides explanations of what someone else is doing which Ginsberg and Berry (1990) referred to as "home recipes." The lack of research on principal supervision and evaluation has created a void for both practitioners and researchers.

Background

Early schools did not have a principal. Teachers in one-room schools did all tasks (Beck & Murphy, 1993). The first principals were called principal teachers, and "the term principal teacher represented the notion that the person was truly a teacher, or even a 'super teacher'" (Rossow, 1990, p. 2). The first mention of the single term principal appeared before 1838 (Pierce, 1935). At first, principals did mostly clerical and simple administrative duties (Beck & Murphy, 1993; Campbell, Cunningham, Nystrand, & Usdan, 1990).

Since the early beginnings, the principalship has evolved as the world of schooling has become more complex. Industrialization and the move from rural to urban centers and the subsequent growth of suburban communities, caused the role of the principal to "shift from records and reports to organization and general management" (Campbell et al., 1990, p. 270). Over the last four decades, the role of the principal has changed from that of the

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program manager of the 1960s and 1970s, to the instructional leader of the 1980s, and in the 1990s, the role of the principal has grown to that of a transformational leader (Hallinger, 1992).

Principal Evaluation

One outgrowth of the prominence of the public school principalship was the demand for the effectiveness of the school (Beck & Murphy, 1993). With the increasing push for accountability, the evaluation of the principal became even more essential to explore as a means of school improvement.

Table 1 relates the trends in principal evaluation from the 1920s to the 1980s as described by Beck and Murphy (1993). They focused their attention on the general standards by which principals were held accountable during each decade.

In the 1990s, the focus was on leadership for reforms in education. After researchers reported that principals of effective schools were strong instructional leaders, the principals' role began changing. Today, principals are expected to serve as the instructional leader in their schools while they manage budgets, facilities, and public relations. How much time principals devote to the role of manager or leader is dependent on how they are able to prioritize the demands of the position against the needs of the organization and the expectations held by the central administration.

Table 1

Historical Perspective of Principal Evaluation

Decade	Trends for Evaluation
1920s	Successful principals managed a school in which high values and social and academic skills were present, and the organization was managed efficiently with solid methods.
1930s	Efficient and economical management was determined through the use of surveys that could be used to compare one system to another. Improved education was based on fiscal management.
1940s	Principals were successful if they used available resources wisely while at the same time managed the organization with the values of democracy.
1950s	Few standards existed for practice. Success was assumed if principals could lead according to the principles coming from the universities that prepared them. There was a call for the academic preparation of principals.
1960s	Principals were evaluated on student, standardized tests, and evaluation was both formative and summative.
1970s	Some believed principals should undergo objective evaluations based upon quantitative measurements. Others believed evaluations should be based on principals demonstrating traits possessed by other good leaders.
1980s	"Principals were judged by student achievement outcomes as measured by elaborate assessment instruments" (Beck & Murphy, 1993, p. 148). The principal assumed more and varied roles.

Principal Evaluation in Oklahoma

Many states mandate teacher and administrator evaluation. In 1988, seventy-seven percent of the states mandated administrator evaluation (Peters & Bagenstos, 1988). In Oklahoma, H.B. 1466 (1985) mandated the establishment of minimum criteria for teacher and administrator evaluation, and in 1990, a legislatively established thirteen member Administrative Evaluation Committee recommended the Oklahoma Minimum Criteria for Effective Administrative Performance (Bonnell, 1993; Smith, 1990). These minimum criteria were supposed to be used by districts in the design and implementation of principal evaluation. Principals in Oklahoma have indicated that the criteria are important and reasonable, but they also believed that the minimum criteria were not widely implemented (Smith, 1990).

The Oklahoma Minimum Criteria for Effective Administrative Performance (see Appendix A) were intended to serve as guideline for school districts to use in the design of their own evaluation system. The reliance on standardized forms and routine evaluation procedures does not take into account that the "work the principal performs is not standardized" (Ginsberg & Thompson, 1993, p. 61). They work in an environment that changes rapidly from day-to-day and minute-to-minute.

Accountability

Accountability is found in government, business, and education, and the most often written about forms of accountabilit* include: bureaucratic,

professional, and market. Bureaucratic accountability assures that the personnel "measure up" to set standards, whereas, professional accountability is interested in the constant professional improvement of personnel (Sergiovanni & Starratt, 1993). In the field of education, market accountability is based upon student achievement and parental and community satisfaction (Duke, 1995).

Politicians and the voters demand more accountability every time a new report identifies some fault or shortcoming of education. The effect of these calls for reform often creates cycles of forced accountability that trickle down from boards of education to school sites. School boards address these demands and mandates by requiring superintendents to develop and evaluate improvement plans. In turn, superintendents expect the principals to do more, and principals expect more of teachers. This can cause great stress among principals, teachers, superintendents, and school boards (Webb, Montello, & Norton, 1994).

Accountability for student success is placed upon both principals and teachers. However, Beck and Murphy (1993) stated, "Principals are accountable for educational efforts and...their effectiveness or ineffectiveness can, to a large extent, be objectively determined" (p. 165). Relatedly, Scriven (1988) wrote:

> In particular, there can be no full accountability of teachers without accountability of administrators. This is partly because teachers' efficiency depends on how administrators provide services (i.e., dealing with discipline). Also, it is ethically objectionable to expect teachers to commit to an

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evaluation that administrators avoid, because administrators need it just as much and the community has the same right to it. (p. 112)

The accountability movement of the 1960s and 1970s was replaced by newer reform movements (Duke, 1995); however, the accountability of school personnel will continue to be an issue regardless of these reform efforts. Daunting to be sure, but the public demands to know that schools are delivering quality instructional programs; moreover, governing bodies want to know that their mandates and policies have been followed—with positive results.

Problem

Principals are essential to the overall effectiveness of schools (Johnson, 1996; Smith, 1990; Stufflebeam & Nevo, 1993). Currently, it is believed that "principal leadership may not be a <u>sufficient</u> condition to produce high outcomes, but if high outcomes are to be produced, it is a <u>necessary</u> condition" (Heck & Marcoulides, 1993, p. 133, emphasis in the original). The <u>Principal Selection Guide</u> published by the U.S. Department of Education (1987), begins with:

Amidst the current clamor for school reform, parents, teachers, and legislators often ask, "If you could do only one thing to improve schools today, what would it be?" I would hire the best principal I could find and give that person ample authority and heavy responsibility. A great school almost always boasts a crackerjack principal. Leadership is among the crucial elements in educational success. (p. 1)

Principals cannot create effective schools alone. The principal must work with the community of students, parents, teachers, and other

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administrators to create the best conditions for effective learning to occur. (Stufflebeam & Nevo, 1993) acknowledged, "Systematic and careful evaluation of principal qualifications, competence and performance is critically important to the success of America's elementary and secondary schools" (p. 24).

Given the elevated position of the principal as instructional leader, responsible for the overall operation of the school, there is a need for a system to hold principals accountable for their efforts at school improvement and to assist them in their professional development as leaders. This should lead scholars and practitioners to ask how are principals supervised and evaluated? Typically, evaluations, based on job descriptions and established goals, are used to hold principals accountable for the success and continued improvement of their schools. With this premise, then supervision and evaluation should help principals develop the skills necessary to enhance their ability to perform their duties and become even better leaders (Johnson, 1996; Smith, 1990).

Superintendents and other central office administrators have a duty to assure that principals are meeting the demands of the job. Ineffective principals are unlikely to provide the leadership for schools to meet the needs of their students, and ineffective principal evaluation procedures and practices are unlikely to help principals improve their job performance. Often, however, the supervision and evaluation of the principal is not taken very seriously or may not be done at all (Murphy, Hallinger, & Peterson, 1985).

Purpose

Previous research on principal evaluation in Oklahoma has shown

relationships among factors that influence how principals and

superintendents (a) see and understand the evaluation procedures and

practices used (Bonnell, 1993); and (b) how both groups perceive the

importance of the Oklahoma Minimum Criteria for Effective Administrative

Performance and their degree of implementation (Smith, 1990). However,

this research did not look at the human element (e.g., how individuals

perceive the supervision and evaluation practices they use with high school

principals). Therefore, how superintendents and/or their designees described

the supervision and evaluation of high school principals was the focus of this

study.

The following questions directed this research:

1. How do the supervisors characterize the supervision and evaluation
of high school principals?

2. What processes or procedures do the supervisors believe to be

helpful in implementing supervision and evaluation of their principals?

3. How do supervisors describe the interactions between themselves

and their high school principals?

4. How do the supervisors of high school principals describe the

relationship between supervision and evaluation?

5. How do supervisors of high school principals use established

evaluation instruments as a tool to enhance principal performance?

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Definition of Terms

The following terms and definitions are used throughout this study.

Evaluation is the process used to make judgments about events, tasks, or behaviors based on clearly defined objectives (Bonnell, 1993).

Evaluator is the person responsible for evaluating the principal; it may be either the superintendent of schools or his or her designee.

Evaluation instrument is a paper and pencil tool—usually in the form of a checklist—used by supervisors to rate principals' performance.

Formative evaluation is an ongoing process used for the purpose of "gathering data to help improve performance" (Ginsberg & Berry, 1990, p. 205).

High School is the level of schooling including grades 9-12.

Summative evaluation is used when collected information helps someone "make decisions about promotion and firing" (Ginsberg & Berry, 1990, p. 205).

Supervision is a formative process in which the supervisor assists the principal in the development of the skills and the knowledge necessary to meet the challenges of the job. Often, the terms formative evaluation and supervision are used interchangeably.

Supervisor is the individual responsible for supervising and evaluating principals (Frerking, 1992).

Assumptions

It is assumed that:

1. Each principal was supervised by one central office administrator.

2. The supervisors of principals were willing to describe the supervision and evaluation that occurs within their school district.

3. Supervisors were candid and truthful in their responses to questions.

Limitations of the Research

1. The research was conducted in a small number of Oklahoma school districts.

2. The research was limited only to the perceptions of the supervisors of high school principals.

Significance of the Research

It is the hope that research on how superintendents or their designees supervise and evaluate high school principals will provide insight to the pressing issue of principal growth and development as seen through the experience of seven Oklahoma administrators. The participants had an opportunity to talk about the procedures and practices for evaluating, supervising, and providing professional growth opportunities for principals. These insights and reflections of the processes can provide more information and increase the knowledge base relative to the supervision of high school principals in Oklahoma. Superintendents and school boards may be able to use the findings to guide them in improving and further developing existing

processes for supervising and evaluating principals. Perhaps findings from such an inquiry might help central office administrators further develop their abilities to promote growth in high school principals.

Importance to the Researcher

While participating in courses in the supervision and evaluation of classroom teachers, it became apparent to this researcher that all activities were being directed toward the teachers, but there was little found in the literature about the supervision and evaluation of principals. Yet, because the principals supervise and evaluate teachers, the researcher began to ponder the issue of principal supervision and evaluation.

Principals are given enormous responsibility for the overall operations of their site, the performance of the teachers, and to a large extent, the success of the students. Experience indicates that principals are responsible for all of this and much more. The researcher wanted to know how the supervisors and evaluators described their work with principals. Also of interest was how these supervisors decided what skills the principals needed to develop or strengthen, and how the supervisors helped the principals to grow and adapt to rapidly increasing change and the demands for accountability.

It was the desire of the researcher to seek the supervisors' perspectives of the practices they used as they supervised and evaluated principals. In turn, other practitioners may be able to use these perspectives

as they reflect on their own supervisory practices, and what such findings might be able to provide as a basis for strengthening these practices.

Organization of the Dissertation

Chapter one included the rationale (e.g., background, problem, and rationale) for this study of the supervision and evaluation of principals. Chapter two presents the theory and literature related to principal supervision evaluation. Although there are limited theories about the practices and procedures used in principal supervision and evaluation, there have been several studies that have addressed the evaluation of principals. Chapter three includes the methods for this research. Chapter four contains the findings and analysis of data. Chapter five provides a discussion of the study's results, and implications for practitioners, researchers, and those who prepare superintendents and other central office administrators.

CHAPTER TWO

REVIEW OF THE LITERATURE

Teachers, principals, and superintendents have the capacity to grow

as professionals and to be held accountable through the processes of

supervision and evaluation. Evaluation leads to decisions regarding a

principals' future employment (e.g., retention, removal, or promotion), and

ideally, supervision and evaluation efforts can more accurately and

realistically target the professional development needs of principals. It was

the purpose of this study to describe how central office administrators

perceive and characterize the supervision and evaluation of high school

principals in selected Oklahoma school districts.

Supervision

The supervision and evaluation of teachers have been well

represented in the literature (e.g., Blase & Blase, 1998, Acheson & Gall,

1992; Calabrese & Zepeda, 1997; Cogan, 1973; Duke, 1995; Glanz & Neville,

1997; Glickman, Gordon, & Ross-Gordon, 1998; Goldhammer, Anderson, &

Krajewski, 1993; Millman & Darling-Hammond, 1990; McGreal, 1982, 1983;

Scriven, 1988; Sergiovanni & Starratt, 1993; Zepeda, 1999; Zepeda &

Mayers, 2000). Though these books describe various aspects of supervision

and evaluation of teachers, none of them has addressed the supervision and

evaluation of principals. Over the last two decades, there has been an

increased interest in principal evaluation, yet the knowledge about principal

evaluation sorely lags behind what is known about teacher evaluation

(Murphy, Hallinger, & Peterson, 1985). Even more scarce is the knowledge

related to the supervision of principals.

<center>Supervisory Systems</center>

Glickman and Tamashiro (1980) described three predominant

supervisory systems: (a) directive supervision, (b) collaborative supervision,

and (c) non-directive supervision. Directive supervision occurs when a

supervisor, knowing the best standards for teaching, directs and monitors a

teacher to assure that these standards have been met. Collaborative

supervision exists when the teacher and the supervisor work together to solve

problems aimed toward helping the teacher improve instruction. Non-

directive supervision allows the teacher to be responsible for his or her own

growth and improved instruction. The supervisor does not sit in judgment of

the teacher.

The differences in the intents of the three supervisory systems are

found in the level of control or involvement of the supervisor. Typically, new

teachers need more direct assistance, while more experienced teachers need

more non-directive approaches. This may also be true in the case of the

supervision of principals. Beginning principals may also need more direct

assistance, while veteran principals might need more collaborative and non-

directive forms of supervision.

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Clinical supervision is a formative process that has as a primary focus

the ongoing effort to assist teachers in making improvements in their

instructional skills. During clinical supervision, teachers and supervisors work

together in order to gain perspective about current teaching methods and to

define ideals and beliefs about instruction (Acheson & Gall, 1992).

Goldhammer et al. (1993) described clinical supervision as:

> that aspect of instructional supervision which draws upon
> data from first-hand observation of actual teaching, or other
> professional events, and involves face-to-face and other
> associated interactions between the observer(s) and the
> person(s) observed in the course of analyzing the observed
> professional behaviors and activities and seeking to define
> and/or develop next steps toward improved performance. (p.
> 4)

The clinical aspect of supervision is the "face-to-face" interactions

between the teacher and supervisor (Acheson & Gall, 1992). "The lack of

clinical supervision is conceived to be one of the major factors in the failure of

many useful instructional innovations to secure a foothold in our schools and

universities" (Cogan, 1973, p. xi). Clinical supervision is based on the

collaboration between supervisor and teacher; it is not intended to be

something the supervisor "does to" the teacher (Cogan, 1973; Blumberg,

1980; Zepeda, 1999). This should, in turn, hold true for the supervisory

relationship between the principals and their supervisors. One way for the

supervisor to support the principal is through clinical supervision (Smith &

Andrews, 1987).

When the teacher and supervisor meet, discuss, and analyze instructional skills based on first-hand classroom observations, the supervisory process is considered clinical. Clinical supervision is a cyclic process that typically consists of three steps (Acheson & Gall, 1992):

1. Pre-conference;
2. Observation; and
3. Post conference.

Once information is shared in the post-observation conference, the process needs to continue with follow-up observations. Eventually, supervision leads to the evaluation of the teacher's performance. Principals, who work with the teachers throughout the school year, are better able to make informed judgments about retention or non-renewal than those principals who hurriedly complete evaluations at the end of the year. However, "evaluation conducted primarily for improvement, cannot be used for making personnel decisions without creating fear and suspicion" (Wilson, 1993, p. 15). Some researchers have suggested there is a possible conflict when the same person both helps teachers grow and then makes decisions about their future employment (e.g., Acheson & Gall, 1992; Glickman et al., 1998; Goldhammer et. al., 1993; Sergiovanni & Starratt, 1993). Skillful supervisors, with clearly defined roles, and open communication help to reduce the problems associated with teacher evaluation (Acheson & Gall, 1993).

Zepeda and Ponticell (1998) described the perspectives of teachers relating to "what they need, want, and get from supervision" (p. 71).

Teachers were asked to describe their best and worst supervisory experiences. Analysis of the responses revealed several sub-categories under the major categories of best and worst experiences with supervision.

The perception of the best supervision appeared to occur when the supervisor was visible in the classrooms observing teaching and working with teachers. Through these process, teachers were validated for their abilities and empowered to "explore their own teaching and to take charge of their own improvement and change" (Zepeda & Ponticell, 1998, p. 74). Teachers may then develop a sense of professionalism.

In contrast to the best of supervision, the worst supervision appeared to occur when the teachers viewed the process as a "meaningless/invisible routine" (Zepeda & Ponticell, 1998, p. 73). Consequently, the teachers prepared a "dog and pony show" (Zepeda & Ponticell, 1998, p. 73) to put forth the right methods for the benefit of the supervisor. Seventy-five percent of the respondents described their worst supervisory experience as a "weapon" (Zepeda & Ponticell, 1998, p. 73) "that was used to intimidate, to retaliate, and to control teachers' behaviors within the school or organization" (Zepeda & Ponticell, 1998, p. 79).

Teachers' perceptions of their worst experiences with supervision have historically fueled a conflict between teachers and supervisors. In Supervision and Teachers: A Private Cold War, Blumberg (1980) described this conflict. Teachers reported that supervision was not helpful, and that their supervisors wanted to use supervision as a means of control and

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manipulation. Thus, a situation arose in which the teachers and supervisors were at odds with one another concerning the worth of the supervisory process. Blumberg made two major conclusions about supervision that typically occurs in schools:

> The first is that much of what occurs in the name of supervision in the schools (the transactions that take place between supervisor and teacher) constitutes a waste of time, as teachers see it. In many instances, the best evaluation that teachers give of their supervision is that it is not harmful. The second is that the character of relationships between teachers as a group and supervisors as a group can be described as a private cold war. Neither side trusts the other, and each side is convinced of the correctness of the process. (p. 5, emphasis in the original)

Blumberg (1980) admitted that this cold war metaphor did not hold up compared to international cold wars. "There are rarely any overt threats, and neither seems to gain any obvious advantage over the other" (p. 6). However, behavioral conflicts and how teachers and supervisors reacted to their social system seemed to be at the heart of the issue (Blumberg, 1980). Yet in research, other teachers reported supervision to be a "nonevent" (Sergiovanni, 1992, p. 203).

Reitzug (1997) studied several textbooks on supervision. His analysis of the selected textbooks revealed "the principal as expert and superior, the teacher as deficient and voiceless, teaching as a fixed technology, and supervision as a discrete intervention" (p. 326). He found that the books were rich with descriptions about the supervision given to teachers, yet the supervision of principals was not mentioned.

Supervision—clinical or otherwise—for principals is not widely studied

or written about; although by most state statutes, every principal must be

evaluated. Smith and Andrews (1989, 1987) wrote about their experience

with clinical supervision or principals. They admitted that the process was

time-consuming, but that the collaborative interactions were helpful to both

principals and supervisors. Through on-site visits and face-to-face

conferences, the supervisor and principals were able to establish goals and

develop a plan for the subsequent principal evaluation.

Smith and Andrews (1989) pointed out that there were other benefits

to the central office administrators being visible at the site. They wrote:

> [T]he school visits seemed to enhance the ability to provide
> district-level leadership. By modeling instructional
> leadership in this way, we emphasized in word and deed
> what was expected of the principal. We reinforced the
> importance of the district's mission—helping students learn.
> (p.101)

Principals should not be isolated from their superiors. Interactions and

collaboration might enhance the performance of both. Supervision for

principals should not be a "non event" as they are expected to accomplish a

great deal in their schools.

Myers and Murphy (1993) described supervision as a means for

central office administrators to exercise control over principals' work. They

defined supervision as a visit from the superintendent or other central office

administrator. Myers and Murphy concluded that visits by the superintendent

"added to the system of control by collecting information about all aspects of

schooling, including climate" (p. 78). The concept of collecting information, by one definition, allowed supervisors to promote growth, yet by another definition, supervision provided administrative control—a paradox to be sure.

Research on Principal Supervision and Evaluation

For the most part, the practices of supervising principals are not very heavily researched, and much of the existing research on principal evaluation has methodological and conceptualization problems (e.g., Ginsberg & Thompson, 1993; Heck & Marcoulides, 1996, 1993). A large portion of the research on principal supervision and evaluation has been conducted by doctoral students (e.g., Black, 1995; Brady, 1993; Cammaert, 1987; Cole, 1992; Frerking, 1992; Johnson, 1996; Martens, 1991; Pullo, 1993; Settle, 1993; Wilson, 1993). Rarely have results generated from these dissertations been published in books or in journals.

To further highlight the meager coverage of principal supervision and evaluation, selected principalship, personnel management, and superintendency textbooks were analyzed in regard to their coverage of principal supervision and evaluation. These types of books were chosen because they are typically used in administrator preparation programs. In addition to an analysis of textbooks, an analysis of principal supervision and/or evaluation coverage in educational administration journals was conducted.

<u>Selected Administration Textbooks</u>

A random sample of administrator preparation textbooks (n=21) from 1979 to present was analyzed for coverage of principal supervision and evaluation. A list of these books is provided in Appendix B. These books were selected because they were used to prepare principals and superintendents. Personnel management textbooks were also included in this sample.

Analysis of these administration textbooks often revealed from several pages to entire chapters of coverage regarding supervision and evaluation of teachers. But, by comparison, there was sparse coverage of the supervision and evaluation of principals. In this sample, only ten of the books—47.6 percent—included any discussion of principal evaluation, and the total coverage was approximately 18 pages of text across a sample of 21 books. These books provided no discussion of the supervision of the principal.

In <u>Understanding the Principalship: Metaphorical Themes 1920-1990s</u>, Beck and Murphy (1993) devoted a total of 10 pages to describing the focus of principal evaluation from the 1920s to the 1990s. Lipham, Rankin, and Hoeh (1985) provided the next greatest coverage—four and one half pages— in <u>The Principalship: Concepts, Competencies, and Cases</u>. These two books account for approximately 92 percent—of the pages of text—given to the supervision and evaluation of principals.

Educational Administration Journals

Not only was the coverage of the supervision and evaluation of

principals in textbooks sparse, but also the number of articles appearing in

educational administration journals was also found to be lacking. To illustrate

this point, First Search was used to complete an ERIC search for articles

related to the subject "principal evaluation" and/or "principal supervision."

There were numerous journals that published articles pertaining to principal

evaluation, but the search was limited to journals that had direct ties to

educational administration. The results of this analysis are presented in

Table 2.

Table 2

Comparison of Principal Supervision and Evaluation Coverage in Selected

Educational Administration Journals

Years	Journal	Supervision Articles	Evaluation Articles
1970-1999	Educational Administration Quarterly (585)	0	4
1991-1999	Journal of School Leadership (281)	0	2
1972-1999	Journal of Educational Administration (573)	1	1
1988-1999	Journal of Personnel Evaluation in Education (213)	1	1

Number in parentheses indicates the total number of all articles found.

Evaluation

Evaluation of school personnel is necessary to develop and maintain high quality performance, including increasing student learning (Joint Committee, 1988). Stufflebeam and Nevo (1993) stated, "It cannot be overstressed that the totality of principal evaluation requires concerted attention if schools are to receive the help they need from evaluation to engage principals who provide effective instructional leadership" (p. 26). Teachers and administrators are expected to develop curriculum and instruction to meet the needs of their students, and evaluation can be used to assure that good people are hired and guided toward more professional development as they accomplish these tasks. The reasons for evaluating personnel serve four purposes: (a) staff improvement (b) rewarding performance, (c) promotion, and (d) decisions about future employment (e.g., retention, termination) (Webb, Montello, & Norton, 1994).

Natriello (1990) warned that the purposes and processes of evaluation needed to be fair and objective. Evaluation should be well-designed, and Webb et al. (1994) indicated that a sound system can be characterized as one that has (a) established performance evaluation as a school district priority, (b) clearly articulated purposes that are pre-determined and disseminated, and (c) a sound methodology that is uniformly applied. Evaluation systems that do not clearly communicate the purpose or have the support of the governing bodies are ineffective and according to Stronge (1991), "superficial."

Similar to teacher supervision and evaluation systems, principal

supervision and evaluation systems can be problematic. For example, an

inadequately designed evaluation system may have problems with reliability

and validity. Inappropriate evaluation procedures lead to inappropriate data

(Stronge, 1991). Validity measures indicate how well the evaluation

instrument measures what it purports to measure. Reliability refers to the

evaluation process being replicable (e.g., if two different individuals use the

evaluation processes and instruments, similar results should occur).

Evaluation systems are not inherently either formative or summative;

that depends upon the purpose of evaluation (Barber, 1990). Formative

evaluation is an ongoing process of communication between supervisors and

principals with the primary concern of improving performance (Anderson,

1991; Ginsberg & Berry, 1990), and it can be much like clinical supervision.

Summative evaluation is an end-of-year judgment used to make decisions

about compensation, promotion, retention, or termination of the principal

(Anderson, 1991; Barber, 1990; Ginsberg & Berry, 1990).

The following list summarizes formative and summative evaluation,

and was written with the teacher as the object of the processes. However,

this same summary can have meaning for principal evaluation.

1. Summative evaluation is a concluding activity that provides a rating

of the individual's worth. A judgment is rendered about the quality of the

individual's work.

2. Summative evaluation has potential to be an important part of the overall evaluation system.

3. Formative evaluation can increase the quality of learning activities, and it can help correct and improve instructional activity.

4. For teachers, formative evaluation helps in the improvement of teaching.

5. Both formative and summative evaluation need to work in concert with each other (Sergiovanni & Starratt, 1993; Sergiovanni, 1977).

Whether for teachers or principals, there is a use for both formative and summative evaluation. Although the two work together, the tendency is to talk about each separately (Sergiovanni & Starratt, 1993). For principals, formative evaluation may help in the improvement of skills needed to oversee their schools and to deal with the ever-changing nature of the issues they confront. Formative evaluation often includes input from a variety of sources (e.g., superiors, peers, teachers, parents, and students).

Webb et al. (1994) described two other forms of evaluation. Criterion-referenced evaluation is a process by which the individual is compared to a defined standard. Norm-referenced evaluation is a process by which individuals are measured against the average performance of others like them (Webb et al., 1994). Summative evaluation may be either criterion-referenced or norm-referenced evaluation, or even have attributes of both, depending on the policies in place within the districts. It is not likely that

formative evaluation would embrace either, to a large degree, since formative processes are geared toward the individual's development.

Ginsberg and Berry (1990) wrote about principal evaluation and the types of studies conducted to that point. They grouped studies into five types: home recipes; reviews of principal evaluation; textbooks and guidelines; major surveys of principal evaluation; and research studies.

Marcoulides, Larsen, and Heck (1995) found that leadership is a necessary condition for success. Their evaluation system consisted of three domains (governance, development and maintenance of climate/culture, and organization of instruction). They reported that successful school principals were effective in each of these areas.

Problem solving is central to what principals do; therefore, evaluating principals on problem solving is essential (Glasman, 1995). Glasman had principals keep records of the problems they solved, and to chart their decisions against several actions that must be undertaken. Glasman (1995) asserted that problem solving and decision-making could be used to evaluate principals.

There are several evaluation perspectives found in the literature. These include: (a) Stufflebeam and Nevo's (1993) standards-based evaluation; (b) duties-based evaluation credited to Scriven (1995); and (c) outcomes-based evaluation (Glasman & Heck, 1992). Important to all of these evaluation perspectives was a valid job description that clearly outlined what was required and what would be assessed.

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Personnel Evaluation Standards

Often mentioned in the literature about principal supervision and evaluation were the Personnel Evaluation Standards. In 1988, The Joint Committee on Standards for Educational Evaluation comprised of evaluators, administrators, policy makers, and other educators (e.g., higher education) reached consensus on standards for assessing and developing personnel evaluation systems. Proprietary, utility, feasibility, and accuracy standards as defined in the Personnel Evaluation Standards should be considered when designing the procedures for evaluating all personnel. Proprietary standards were designed to protect the rights of the individuals. Utility standards assured that evaluation processes provided useful information for the improvement of the individual. An efficient evaluation system that worked within the context of the school or system was addressed through the feasibility standards. The feasibility standards called for practical procedures that maximized the information collected and minimized cost and disruption to the daily operations of the school. Feasibility standards also called for a process of development and assessment that involved all parties in the evaluation process. Finally, the accuracy standards were designed to help provide for up-to-date, valid, and reliable information about the performance of the employee.

The Joint Committee (1988) arrived at these standards and made a case for each. The Personnel Evaluation Standards provided the framework for how evaluation should be conducted, but the standards did not address

what should be evaluated; that is the responsibility of each school district. District and school alignment to these standards is dependent on myriad factors such as the purposes and intents of evaluation irrespective of who is being evaluated (e.g., teachers, non-certified staff, or administrators). Moreover, not all schools or districts can incorporate all of the standards in their system for a variety of reasons (e.g., lack of personnel, money, or time) (Martens, 1991). Districts should assess their needs, and apply emphasis where needed:

> Even though, all of the standards may be relevant to all personnel decisions, different standards might warrant more or less emphasis depending upon the particular personnel actions. Moreover, excessive emphasis on one standard can weaken performance on another...(Joint Committee, 1988, p. 15)

Several doctoral dissertations and journal articles have reported the use of the Personnel Evaluation Standards as a tool for evaluating principal evaluation systems. Glasman and Martens (1993) related a study conducted by Martens (1990) in which evaluators and evaluatees from one Southern California County were interviewed to see how existing evaluation systems made use of the Personnel Evaluation Standards. Martens found that not all of the standards were addressed in every situation stating, "it may be extremely difficult for any district to incorporate in full all of the standards proposed by the Joint Committee" (p. 61). A difference was discovered between small school districts and large districts with larger districts being able to incorporate more standards due to greater human and fiscal

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resources (Glasman & Martens, 1993; Martens, 1991). Likewise, in a study of evaluation practices in Illinois high school districts, Black (1995) also found that the evaluation systems only referenced some of the Personnel Evaluation Standards.

Purposes for Supervising and Evaluating Principals

As district administrators examine principal supervisory and evaluation procedures and systems, they must decide what they want from their evaluation system. Supervision occurs because everyone wants "schools to be better, teachers to grow, and students to have academically and developmentally sound learning experiences" (Sergiovanni, 1992, p. 204). The main product of evaluation is decision-making (e.g., will this person work here next year?).

Typically evaluation has multiple purposes, and as such, practices and procedures will vary. Consequently, districts need to decide if they want the evaluation system to foster growth or to provide data for making judgments— or perhaps both.

Duke and Stiggins (1985), Cammaert (1987), and Johnson (1996) reported differences in the perceptions between superintendents and principals. The differences in perception appeared to emanate from the intents of the evaluation system (process and procedures) not being clearly communicated to the principals. Both superintendents and principals agreed that professional development and improvement were important purposes for evaluation, and they preferred formative evaluation. Bonnell (1993)

suggested that districts set a few priority purposes and link these to school

outcomes. Harrison's research (1988) concluded that principals and

superintendents disagreed on the evaluation system. According to Harrison,

principals were more negative toward the process; they disagreed on what

occurs in evaluation, and the principals thought their superintendents relied

on external measure while superintendents believed they used more internal

measures.

Criteria and Levels of Performance

After establishing a clear statement of purpose, districts need to

decide on what criteria are to be used to evaluate personnel. Defining what

should be evaluated is an ongoing process that is difficult to accomplish due

to the varied nature of expectations placed on principals (Fletcher &

McInerney, 1995; Ginsberg & Thompson, 1993; Heck & Marcoulides, 1993).

In some districts, principals are required to be managers, and in other

districts, they are expected to be instructional leaders. Little consensus

exists between the nature of principal evaluation and supervision because

expectations (principal as manager or instructional leader) vary considerably

across school systems (Duke & Stiggins, 1985). In order to effectively

evaluate principals and the work they do, it is important for districts to design

a principal evaluation system to address different conditions and leadership

role expectations (e.g., principal as manager or principal as instructional

leader) (Ginsberg & Thompson, 1993).

Evaluative criteria are typically (a) trait-based (checklists), (b) behavior-based (observational data), or (c) task-based (performance data) (Ginsberg & Berry, 1990). Several studies examined criteria found in principal evaluation systems. For example, Cammaert (1987) found the criteria used in Alberta, Canada were communicated and clarified through discussions with supervisors prior to the evaluation. Conversely, Black (1995) found that only one-third of the Illinois districts she studied had defined the criteria and performance level for principals. Duke and Stiggins (1985) found districts with performance standards but no definition of acceptable performance. In Arizona, criteria for principal evaluation were consistently written but not consistently implemented (Johnson, 1996). Also a variety of criteria were listed, but they were not given "the same degree, or given the same priority" (Johnson, 1996, p. 122).

All states mandate teacher and administrator evaluation. However, Peters and Bagenstos (1988) reported that only seventy-seven percent of the states mandated administrator evaluation. In Oklahoma, school law 70-6-101.10 mandated the evaluation of teachers and administrators in 1990. The School Laws of Oklahoma 1998 presented the regulations for evaluating teachers and administrators. The language of Section 118 Evaluation of Teachers and Administrators provided the foundation for the procedures, processes, and policies for evaluation by requiring each board of education to have and to review policies for the evaluation of teachers and administrators. The law also stated that these evaluation policies must be based upon

minimum criteria established by the State Board of Education. Furthermore, those responsible for conducting the evaluations must receive training.

Persons Responsible for Supervising and Evaluating Principals

Often, superintendents choose to supervise and evaluate principals themselves. However, in larger districts, assistant superintendents or other central office personnel are responsible for this task. Superintendents of smaller districts are more likely to be involved in the supervision and evaluation of the principal because they work in closer proximity to each other.

Cammaert (1987) found the supervisor was the "initiator and major determiner of procedures" (p. 311). Duke and Stiggins (1985) indicated that the supervisor and principal need to work together to determine goals. Johnson (1996) reported that principals and superintendents differed in the degree of involvement of principals in the creation or revisions of the process of evaluation. Superintendents felt the principals were more involved in the evaluation process than the principals thought.

Evaluators need to understand the processes outlined in the evaluation of principals. Martens (1991) reported in her study that principals expressed a concern that evaluators need to receive extensive training before evaluating.

Sources of Data for Evaluating Principals

Once the purpose and criteria of principal evaluation are made clear, and the level of expectation and performance are agreed upon, the next step

is to gather data. Duke and Stiggins (1985) found that with the exception of the supervisors' perceptions of performance, the sources of data were varied, and districts often sought data from multiple sources (e.g., parent, teachers, and other personnel). Snyder and Ebmeier (1992) suggested parental input be provided to gain insight into the effect school principals had had on students. Supervisors used calls from parents as another source of evidence. They also suggested teachers' perceptions about school functioning should also be considered, but cautions should be used when using student affective outcomes to evaluate the principal.

Duke and Stiggins (1985) found that supervisors often used meetings and activities as a means to observe principals. Bonnell (1993) found a significant relationship between the number of observations conducted and the principals' rating of the evaluation system. Principals in the Brady study (1993) responded they preferred pre-planned observations. Although observations may be a significant source of information, they are, in all likelihood, not widely used as a means of data collection in the evaluation of principals.

Along with the standards of good evaluation systems, the establishment of purpose, criteria and level of performance, collection of data, and expert evaluators are essential in a sound system to both supervise and evaluate principals. Most problems that arise from principal evaluation practices are due to poor communication between the supervisor and the principal.

Evaluation and the Law

"Failure to establish an evaluation policy with clearly defined standards of performance leaves school authorities open to the charge of arbitrary and capricious conduct" (Rossow & Parkinson, 1992, p. 3). Duke and Stiggins (1985) acknowledged, "The more vague the standards and the levels of acceptable performance, the greater the danger that bias will enter the results" (p. 97). They further reported that only seven percent of the participants in their study worked in school districts that used clearly defined levels of performance for principal evaluations.

The legal standards related to evaluation of principals center around due process. Two categories of due process are <u>substantive due process</u> and <u>procedural due process</u>. Webb, Montello, and Norton (1994) defined <u>substantive due process</u> as dealing with "objectivity of the criteria" (p. 208). <u>Procedural due process</u> deals with "fundamental fairness" (p. 208).

Formative evaluations designed to help the individual grow, are not likely to come under legal challenge. However, summative evaluation with the purpose of guiding decision-making about the future of workers is more likely to come under close scrutiny. To this end, evaluation systems need to clearly state the purposes of the evaluation and provide specific criteria and standards for all of those who will be evaluated. Courts have been unwilling to overturn evaluations that are so designed (Rossow & Parkinson, 1992).

Conclusion

Principals are held accountable for the overall operations of their schools. Yet they work in systems that are ever changing and complex. Principals are not only expected to lead the instruction of their school, but they also must evaluate the teaching and overall effectiveness of their school at the same time. However, the supervision and evaluation of the principal beyond compliance is often neglected.

Many studies on teacher supervision and evaluation have been conducted; however, principal supervision and evaluation practices are far behind that of teachers. This may be due, in part, to the teachers' proximity to the students, and the ease with which research can be conducted in a classroom bound by four walls. It is more difficult to research the work of the principal, and the knowledge base is not as far advanced as it might otherwise be.

The lack of focus on the supervision and evaluation of principals is ironic as principals are, as Bossert, Dwyer, Rowan, and Lee (1982) and Stufflebeam and Nevo (1993) posited, key contributors to the overall success of a school. Further research on how principals are supervised and evaluated may be able to shed some light on these seemingly elusive practices.

CHAPTER THREE

METHODOLOGY

Principals are held accountable for the success of their schools. Supervision and evaluation are processes that contribute both to the growth of principals as professionals and provide a mechanism for charting school performance and accountability. Research on the supervision and evaluation of principals lags behind the research on teacher supervision and evaluation, while the literature related to the supervision of principals is scant.

Based upon the findings of a 1999 pilot study conducted by the researcher and the literature on teacher and principal supervision and evaluation, a qualitative study was conducted to explore the perceptions of central office administrators regarding the supervision and evaluation of high school principals. Interviews were conducted with the administrators who were responsible for supervising and evaluating high school principals.

Chapter three includes descriptions of (a) the pilot study, (b) the design, (c) the data source, (d) data collection procedures, (e) data analysis methods, and (f) the limitations of this study.

Pilot Study

Superintendents or their representatives were asked to submit documents related to the evaluation of principals (e.g., job descriptions, school board and personnel policies, written procedures, and rating

instruments). The intent of the pilot study was to identify the common language and practices used to supervise and evaluate high school principals in the selected school districts in the State of Oklahoma.

Documents were received from 14 Oklahoma school districts. These documents were divided according to type (e.g., job descriptions, school board policy, evaluation instruments) and were analyzed for common language. Job descriptions were analyzed using both a model created by the National School Boards Association and the Oklahoma Minimum Criteria document. Policy statements and evaluation instruments were analyzed for language consistent with that found in the Oklahoma minimum criteria. Evaluation instruments were also analyzed for the number of evaluative criteria and the number of levels of performance. Additionally, notations of patterns in the stated purposes for evaluation were made.

Findings of the Pilot Study

The stated intent of the evaluation process in the districts included in the pilot study was the improvement and growth of the principals. However, there was little, if any, mention of supervisory or formative activities designed to help principals grow and develop. Supervision, as discussed in the literature, is intended to help individuals develop skills necessary to be successful in their work. The findings of the pilot study pointed the researcher to the question of how supervisors described the supervisory and evaluative interactions with principals. The following questions were developed as a result of the pilot study:

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1 How do the supervisors characterize the supervision and evaluation of high school principals?

2. What processes or procedures do the supervisors believe to be helpful in implementing supervision and evaluation of their principals?

3. How do supervisors describe the interactions between themselves and their high school principals?

4. How do the supervisors of high school principals describe the relationship between supervision and evaluation?

5. How do supervisors of high school principals use the evaluation instruments?

In order to explore these questions, a qualitative design was developed.

The Design

A qualitative study was used to explore the perceptions of central office administrators about the supervision and evaluation of high school principals. "Qualitative inquiry typically focuses in-depth on relatively small samples, even single cases (n=1), selected purposefully" (Patton, 1990, p. 169). Qualitative research is an inductive and a descriptive process in which the researcher, as the instrument of data collection, searches for meanings and rich descriptions in a natural setting (Bogdan & Biklen, 1992; Merriam, 1998).

Three conditions exist for determining which strategy—experimenting, survey, archival analysis, history, or case study—to use "(a) the type of research question posed, (b) the extent of control an investigator has over

actual behavioral events, and (c) the degree of focus on contemporary as opposed to historical events" (Yin, 1994, p. 4). The "form" of the question provides information about the type of study. Questions that ask "how" and "why" may indicate a case study (Yin, 1994). This study asks the "how" question; therefore, a case study approach was deemed appropriate.

In doing a case study, researchers may collect information on all of the following factors:

1. The nature of the case;

2. The historical background;

3. The physical setting;

4. Other contexts, including economic, political, legal, and aesthetic;

5. Other cases through which the case is recognized; and,

6. Those informants through whom the case can be known. (Stake, 1994, p. 238)

Each of these factors helped focus the research on the critical nature of principal supervision and evaluation from the point of view of superintendents and/or their designees (e.g., assistant superintendents, secondary school directors).

Case studies can be particularistic, descriptive, or heuristic (Merriam, 1998). A descriptive case study "is one that presents a detailed account of the phenomenon under study" (Merriam, 1998, p. 38), and it may include excerpts from interviews, direct quotes, and passages from documents (Merriam, 1998). This study was designed to provide rich descriptions of the

perceptions of individuals responsible for supervising and evaluating high school principals in select Oklahoma school districts.

Multiple-case studies make use of data collection and analysis across more than one case (Merriam, 1998); moreover, multiple-case studies often provide evidence that is "more compelling" (Yin, 1994, p. 45). Because more than one subject was used to collect data in this study, a multiple-case design was utilized.

Interviews were conducted with central office administrators who were directly responsible for supervising and evaluating high school principals. Semi-structured interviews are well suited to allow researchers to collect information across multiple cases. Therefore, semi-structured interviews were conducted with the central office administrators responsible for supervising and evaluating the high school principals. In semi-structured interviews, "the interviewer introduces the topic, then guides the discussion by asking specific questions" (Rubin & Rubin, 1995, p. 5).

In this study, the researcher asked both structured and unstructured questions. Included in Appendix D is a list of questions that were asked of all participants. Also included are examples of the probing and clarifying questions that were asked. Less structured questions emerged as the research progressed, and as the individual subjects offered new perceptions or ideas. Glesne and Peshkin (1992) stated, "the researcher cannot always know the ideal scope until data collection is underway" (p. 16).

This study was exploratory and descriptive, and there was no intent for the findings to be generalized to other districts. However, it was hoped that the data might be "translatable and comparable" to other situations involving the supervision and evaluation of school principals (Brady, 1993).

Data Source

For this study, seven Oklahoma central office administrators who directly supervise and evaluate high school principals participated in this study. Qualitative research often makes use of <u>purposeful sampling</u> to get rich descriptions or information (Patton, 1990). The participants for this study were selected because it was believed that they would be able to describe the processes of supervision and evaluation of principals through their own frame of reference. Marshall and Rossman (1998) described interviewing the "elite":

> Elites can usually provide an overall view of an organization or its relationship to other organizations. They are more likely than other participants to be familiar with the legal and financial structures of the organization. Elites are also able to report on organizations' policies, past histories, and future plans from a particular perspective. (p. 113)

Therefore, the participants for this study were chosen in keeping with the description of elites. However, four criteria were used for the selection of the sample for this research.

1. The participants were central office personnel directly responsible for supervising and evaluating high school principals in their district. It was their perceptions that were being studied.

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2. The participants had a least one year of experience in supervising and evaluating principals. It was decided that a new supervisor would not be as familiar with the processes used in supervising and evaluating principals.

3. The participants' school districts must have submitted supervision and evaluation documents as a part of the pilot study. These documents led to the questions guiding this study.

4. The sites needed to be readily accessible to the researcher (Bogdan & Biklen, 1992; Stake, 1994). Marshall and Rossman (1998) described the ideal site as one where the researcher can gain entry. Therefore, the accessibility of the district and the subjects of research were taken into consideration.

Data Collection Procedures

Superintendents from each district in the sample were asked for permission to interview the supervisors of high school principals. Superintendents were assured that the name of the district would remain confidential, and that the names and identities of the individuals being interviewed would be protected. Creating aliases for the participants protected their confidentiality.

Those who agreed to participate in the interviews were asked to sign two Participant Consent Forms (see Appendix C). One copy of the form was left with the participant; the researcher kept the other form. Upon return of the signed consent forms, the interviews began.

Data were collected through semi-structured interviews with supervisors of high school principals. Data collection procedures were similar to those used by other researchers who have studied principal supervision and evaluation (Brady, 1993; Johnson, 1996; Martens, 1991). Johnson (1996) interviewed superintendents and principals in selected Arizona school districts. Brady (1993) studied the supervision of principals in two districts— one urban and one suburban—using observations as well as interviews. Martens (1991) interviewed principals and superintendents in several southern California districts.

The researcher and the participating supervisors began the interview session by discussing the intent of the study and the potential benefit to the subject and his/her district. Permission to record the interview was asked. Questions were asked of each participant, and as the interviews progressed, the responses were evaluated. New and/or different questions were added to address emerging findings. As the participants revealed their perceptions, the researcher listened for new ideas or vocabulary that suggested further or different lines of questions. Potential clarifying questions were included in the interview guide, but there was no way to predict exactly what questions would be needed.

Probing questions were used as necessary. These probing questions were asked to help the participants describe their perceptions in greater detail. At the conclusion of the interviews, the subjects were asked if they

had any questions about the research. Subjects were also informed that they might be contacted again to provide clarification.

After each interview, audiotapes were given a number, and they were labeled with the date and time of the interview. Only one interview was recorded on each tape, and a written record was kept to help catalog the data. Data were kept on audiotapes, field notes, and transcripts. Typed field notes and transcripts of interviews were stored on removable computer storage disks. These data were kept secure and in the possession of the researcher. Only the researcher and the researcher's major professor had access to the field notes and interview transcripts.

Each recorded interview was played and compared to the researcher's field notes. Next, field notes were read, and clarifying notes and/or emerging questions were added. Clarification was added to field notes in the form of marginal notes. An Interview Summary Form was used to reflect on each contact (Miles & Huberman, 1994, p. 53). A copy of the form used is included in Appendix E.

The audiotapes containing the interviews were transcribed. Upon receiving the transcribed interviews, the researcher listened to the tapes, read the transcripts, and, again, compared all data with the field notes. Researcher-developed symbols and shorthand were used to reference findings in the data (e.g., "pre" for pre-conference, "post" for post-conference). Field notes were compared again to the recorded conversations, and notes were added in the margins as new themes emerged.

Analysis of Data

> Data analysis is the process of bringing order, structure, and
> interpretation to the mass of collected data. It is a messy,
> ambiguous, time-consuming, creative, and fascinating
> process. It does not proceed in a linear fashion; it is not
> neat. (Marshall & Rossman, 1998, p. 150)

Data analysis began with the interviews. "Data analysis done

simultaneously with data collection enables you to focus and shape the study

as it proceeds" (Rubin & Rubin, 1995, p. 127). Notes and reflections were

kept in a "reflective field log" (Rubin & Rubin, 1995) in order to focus data

analysis. As the subjects talked, notes were taken to help the researcher

summarize the contact and to identify emerging themes.

Marshall and Rossman (1998) identified six phases of analysis. These

included: "(a) organizing the data; (b) generating categories, themes, and

patterns; (c) coding data; (d) testing the emergent understandings; (e)

searching for alternative explanations; and (f) writing the report" (p. 152).

These phases can be grouped into three activities that occur concurrently:

data reduction, data display, and conclusion drawing and verification (Miles &

Huberman, 1994). These activities were used in the analysis of the

interviews conducted during this research.

Data Reduction

In analyzing the data, the transcripts were read and reread in search of

themes, patterns, and/or categories. Transcripts were also read while

listening to the recorded interviews. Rubin and Rubin (1995) suggested

listening for "nouns or noun phrases that were repeated frequently" (p. 230).

Miles and Huberman (1994) suggested reading for phrases that keep appearing. Each response was reduced to fewer words. Extraneous words and phrases deemed not essential to the analysis were marked with a single strikethrough line.

As the reading continued, notes were written in the margins, and categories were also listed in the margins near the appropriate paragraphs. These methods helped in the development of codes. "Codes are tags or labels for assigning units of meaning to the descriptive or inferential information compiled during a study" (Miles & Huberman, 1994, p. 56, emphasis in the original). The codes were attached to paragraphs, sentences, and phrases (Miles & Huberman, 1994).

"The process of category generation involves noting patterns evident in the setting and expressed by participants" (Marshall & Rossman, 1998, p. 154). After initial coding of individual responses, the subjects' responses were grouped together by questions and then by category. After responses were grouped in this manner, analysis was conducted one sentence at a time. Further coding of emerging meanings continued, as the data were further reduced. Glesne and Peshkin (1992) called this "entering the code mines" (p. 132). They further describe coding as:

> [A] progressive process of sorting and defining and defining
> and sorting scraps of collected data (i.e., observation notes,
> interview transcripts, memos, documents, and notes from
> relevant literature) that were applicable to our research
> purpose. By putting like-minded pieces together into data
> clumps, we create an organizational framework. (p. 133)

In keeping with this description, a grid was developed to track data and assist in data analysis.

Data Display

In reducing and displaying data, the constant comparative method was utilized. Glaser and Strauss (1967) list four stages of the constant comparative method: (a) comparing each incident of data into as many categories as possible, (b) putting categories together, (c) delimiting theory, and (d) writing theory (p. 105). Following these stages, data were continually reviewed as new categories and codes emerged.

It was difficult to anticipate what information the subjects might reveal, but it was possible to think of some probable themes that might emerge. Therefore, the researcher developed some symbols and shorthand before evaluating the data. Several examples of these are included as a part of the interview guide in Appendix D. These representations were used to help the researcher code the emerging themes.

A matrix was built with preliminary headings taken from themes suggested in the literature on supervision and evaluation. New labels were added as they emerged. Each document was analyzed according to the emerging concepts found in the transcripts and field notes. Segments of the transcripts and field notes were cut and pasted to the matrix. As the interviews and analysis continued, initial categories and labels were combined to produce larger categories. This process continued until no new information emerged.

Conclusion Drawing and Verification

The original questions and the review of the literature on supervision and evaluation were compared to the categories and themes that emerged from the data. The next step was a synthesis and description of the findings written into a narrative report. The findings were described in terms of the questions that directed the study and the connections to literature and other research in areas of principal supervision, evaluation, and professional development.

Limitations

Though qualitative research is not necessarily intended to be replicable (Marshall & Rossman, 1998), reliability is still called into question. There are methods researchers can use to strengthen reliability. For this study, the researcher asked two outside auditors to code samples of the transcripts. Comparisons were made between the researcher's coding and that of the auditor. Detailing the processes used to collect data (Brady, 1993) was another method used to assure reliability.

Internal validity is the degree to which the findings accurately depict what is really happening. In this qualitative study, internal validity was enhanced as the researcher spent time with the data, reading transcripts over and over, constantly evaluating the data and refining the data, and then by triangulating the findings through literature, informants, and/or documentation. Transcribed interviews and researcher descriptions were

shared with the individual participants (Brady, 1993; Langenbach, Vaughn, & Aaggard, 1994; Merriam, 1999).

External validity was more problematic and a weakness of this approach (Marshall & Rossman, 1989). "External validity is concerned with the extent to which the findings of one study can be applied to other situations" (Merriam, 1998, p. 207). Merriman (1998) suggested that generalizations from the data could be enhanced through the use of rich descriptions, descriptions of the typical program or event, or designs using multiple sites. This study made use of multi-cases at seven sites with specific questions and coding procedures to increase external validity (Merriam, 1998; Miles & Huberman, 1994; Yin, 1994).

There were some expected limitations to this study. This study was limited to the perceptions of the central office supervisors; principals' perceptions were not investigated. The accuracy with which supervisors portrayed the phenomena of principal supervision and evaluation was limited to their willingness to be candid.

Qualitative methods were utilized to capture rich descriptions of the supervision and evaluation of high school principals as described by central office administrators in seven districts in Oklahoma. Findings along with analysis of data are presented in chapter four.

CHAPTER FOUR

FINDINGS AND DATA ANALYSIS

Chapter four presents the findings and the analysis of the data. First, a review of the research questions, a summary of the methodology, and a brief description of the participants and their school districts are presented. Next, the findings are presented according to the intent of each question which included: (a) the characterization of supervision and evaluation made by those who supervise and evaluate high school principals, (b) the procedures and interactions used in supervision and evaluation, (c) the relationships between supervision and evaluation, and (d) the uses of evaluation instruments.

The Research Questions

The intent of this study was to describe what central office administrators indicated they did when supervising and evaluating high school principals. The following questions directed the research:

1. How do the supervisors characterize the supervision and evaluation of high school principals?

2. What processes or procedures do the supervisors believe to be helpful in implementing supervision and evaluation of their principals?

3. How do supervisors describe the interactions between themselves and their high school principals?

4. How do the supervisors of high school principals describe the relationship between supervision and evaluation?

5. How do supervisors of high school principals use established evaluation instruments as a tool to enhance principal performance?

Summary of Methodology

Qualitative methods and design were used to collect data for this study. Participants who directly supervised and evaluated high school principals in seven Oklahoma school districts were selected. Upon receipt of written permission to conduct this study from the district superintendents, supervisors of high school principals were invited to participate in the study, and interviews were scheduled.

Interviews were conducted in January and February of 2000. An interview guide (see Appendix D) was used during the interviews. Forty-five to 75 minute interviews were conducted in the offices of the respective participants. The discussions were informative, and the participants seemed to freely describe what they did on a day-to-day and yearly basis in regard to supervising and evaluating high school principals in their districts.

Audio taped interviews were transcribed, and transcripts were compared to field notes. Initial reactions to the data were recorded in the margins. Transcripts for each question were reduced to codes (see Appendix D). The emerging themes were recorded across the top of the tables, and the participants were recorded in the first column. Subsequently, participants' statements and quotes from the data were recorded in the table. Often

descriptions related to one question were found within the responses to another question. Therefore, further reading of the transcripts was undertaken until no new themes emerged.

Participants

The participants were purposefully selected because they directly supervised high school principals. Consequently, it was expected that the participants would be able to describe the processes of supervision and evaluation of principals through an "elite" frame of reference. Their job titles ranged from superintendent to director of secondary instruction. The participants—four women and three men—supervised high school principals in selected suburban Oklahoma school districts. Districts from which the sample was drawn ranged in size from approximately 5,000 to 20,000 students representing all ethnic groups and socioeconomic levels.

Lisa, Mary, Rhonda, Samantha, Alan, Brad, and Frank are aliases used for the seven participants. Throughout this chapter, references to "supervisors" or "supervisors of high school principals" indicate these participants. These seven participants represented a wide variety of experience as teachers and administrators (see Table 3). Five out of the seven participants had spent their entire career in their current district. All had completed at least one year of supervision and evaluation of high school principals.

Table 3

Participants' Years of Experience

Participants	Teacher	Site Administrator	Central Office Administrator	Supervisor of Principals
Alan	5	21	1	1
Brad	4	20	1	1
Frank	6	12	16	6
Lisa	5	7	2	1
Mary	7	14	2	2
Rhonda	13	6	9	9
Samantha	8	9	2	2

The Characterization of Supervision and Evaluation

In this study, supervisors of high school principals described the

characteristics of supervision and evaluation in their respective districts.

Commonalities that described the supervision of high school principals

emerged in the interview transcripts. Table 4 illustrates the common themes

of supervision found in the data and the frequency of participants who

identified these themes in their characterizations of supervision for high

school principals.

The characterizations of supervision and evaluation provided by these

central office supervisors ranged from formative processes (e.g., promote

growth) to management functions (e.g., monitor). According to the

participants, supervision was viewed as "supportive and nurturing processes

Table 4

The Intents of Supervision for High School Principals

Themes/Intents of Supervision	Number of Participants
Support and Assist	7
Promote Growth	7
Monitoring	6
Formal Process	7
Supervision tied to Evaluation	5
Formal Instrument	5

that helped the principals develop the skills necessary to adapt to change."

As a function of management, supervision emerged as the monitoring of

principals to help ensure compliance with district policies and procedures.

The following discussion illustrates the participants' characterization of

supervision and evaluation.

Supervision as a Formative Process

Rhonda said:

> [W]hen we look at supervision of principals we need to talk
> about the growth element because the more they are
> growing and understanding...the better off it will be for the
> teachers, and then obviously for the [students].

In general, Samantha and Alan expressed that principals are where

they are because they know what they are doing. Samantha stated, "I think

we figure by the time you make it to the principalship, you ought to know what

you're doing, and...you go with it." Alan said, "I think by the time someone

gets to the principalship, I think, by and large, a majority know what they're

doing, [but] all principals need some fine tuning." Samantha explained that in

her community, "there are only a few people who know what it is like to live

with the pressures of being a high school principal." Mary wanted her

principal to know that even though he had reached the principalship, he "had

not stepped off into a pit of fire."

Goodlad (1984) warned against being "arrogant" in assuming too much

about a person reaching the principalship. How these participants reconciled

the idea that the principals knew what they were doing with the idea that they

were not "alone" and "need some fine-tuning" was a major theme that

emerged from the data. Supervision and evaluation were described as an

ongoing system of monitoring, supporting, and assisting. In this study, the

participants described monitoring high school principals for (a) job

performance, (b) policy compliance, (c) student success, and (d) building a

positive school climate and atmosphere.

The participants in this study reported that support and assistance

were intended to promote growth and development and to ease job-related

stresses. Lisa stated, "Supervision [is used] to help principals become better

at what they do on a daily basis." She also believed that "supervision is a

daily, ongoing monitoring of how principals carry out their daily activities."

Rhonda indicated that supervision was a means of "providing guidance and

providing direction." Other participants also referred to supervision as

monitoring; moreover, they believed that monitoring could be supportive as

well as directive in nature.

Directive supervision occurs when the supervisors direct and monitor

principals to assure policies, standards, and practices are met. Individuals

new to a position may need more directed supervision (Glickman &

Tamashiro, 1980); whereas, more experienced principals may require less

direction or what is described in the literature as indirect supervision

(Acheson & Gall, 1992; Glickman et al., 1998).

Collaborative or supportive supervision existed when the supervisors in

this study worked together with their principals to solve problems and to

promote growth. As an example, Samantha had her principals develop two

job targets. She indicated that she "assigned" her high school principals one

job target based upon school board mandates. Yet, once they set their own

job targets, Samantha asked her principals how she could "help facilitate" the

process of meeting these goals.

Supervision as a Management Function

Though Alan, Brad, and Frank all described supervision as a function

of management, each described this function differently. Alan stated, "To

me, supervision is synonymous with management. Taking the resources that

you have and putting them to the best use for kids."

Brad expressed:

> Supervision ... is making sure that people are doing the right
> things for children. Making sure that they're following school
> board policy, which takes a lot of interpretation. Supervision
> is just making sure people walk in the same direction [and]
> come back in the same direction.

Frank explained that the overall supervision of site administrators

takes on both a management focus and a leadership focus. He

acknowledged:

> I would like to think [supervision] is skewed toward
> leadership. I'd really rather people to follow rather than be
> herded. I see managing things as pushing [and] fighting, but
> it's both.

The data suggested that these participants saw supervision as a

management function. Moreover, Alan and Brad described management or

management functions associated with supervising high school principals.

Both of them made the point that supervision fosters the best education for

students. Frank viewed supervision as both a leadership and a management

function. Brad later admitted, "The two [leadership and management] need

to go hand-in-hand."

Evaluation as a Summative Process

Participants in this study were also responsible for evaluating the

principals, and they alluded to their efforts to make the evaluation process

meaningful. The participants did not make light of the end-of-year evaluation;

however, most agreed that it was a formality mandated by statute and school

board policy. Oklahoma law requires principals to be evaluated using a set of

criteria determined by the State Department of Education; however, the State Department does not mandate a specific evaluation instrument. Those individuals designated to evaluate principals are required by statute to receive training in using the criteria. However, when asked about the training they received for evaluating principals, most acknowledged that the training was limited—with most of it occurring at the beginning of their administrative careers.

Evaluation, as a summative process, occurred at the end of the term or school year. When asked about evaluation, most of the participants immediately referred to an evaluation tool or instrument they used when they evaluated principals. One participant explained that she and the principal followed the instrument "step-by-step" and looked at all criteria being evaluated.

Procedures and Interactions Used to Supervise and Evaluate Principals

What follows are the participants' descriptions of the processes and interactions they used to provide the supervision and evaluation of high school principals. Research questions two and three asked what procedures and interactions were used to implement supervision and evaluation of high school principals. Table 5 identifies the emergent themes found in the data related to procedures and interactions of supervision and evaluation.

Participants described supervision and evaluation as support and assistance designed to help principals grow. Implementation was accomplished using several processes and interactions: (a) pre-conference

and goal-setting meetings, (b) site visits, (c) group meetings and retreats, (d)

professional development opportunities, (e) electronic mail, and (f) post-

conference and evaluation meetings.

Table 5

Procedures and Interactions of Supervision of High School

Principals

Procedures and Interactions	Number of Participants
Pre-conference	7
Goal-setting	7
Site visits	7
Group-meetings	7
Post-conferences	7
Electronic mail	5

Pre-Conference and Goal-Setting Meetings

Individual meetings between principals and their supervisors were

typically held in the office of the supervisor. Pre-conference and post-

conference meetings were examples of one-on-one, "face-to-face"

interactions between the participants and their principals. Other individual meetings occurred informally when the participants visited the site either for a "goal conference" or a "drop-by" visit.

Samantha reported a minimum of four one-on-one meetings with her principals; however, she visits one secondary site every morning. Consequently, she added another 20 days a school year that she had the opportunity to visit with the principals. Brad acknowledged that he tried to get to every secondary site on an average of every "12 to 15 days" or about 15 times a school year. Rhonda mentioned visiting the schools weekly. Typically, the participants were in the buildings on a frequent basis.

Pre-conference meetings gave the participant and the principal the opportunity to establish some goals or job targets for the year. Rhonda stated, "In early fall, I visit with all the principals, and we talk about their goals for the coming year. We talk about the evaluation instrument." Mary further explained:

> I have them come in and we have a pre-conference. At that time, they present to me their goals and objectives, and we talk about those. And, at that time in a more formal way, I will share my expectation[s] for principals...to be a leader in their school.

Principals established their own personal or school goals. Occasionally, the participants, as Samantha related, established a goal or job target "handed down from the school board to the superintendent." Rhonda and her principals used a "climate survey" as a resource to aid in goal establishment.

All of the districts used a process that began with a pre-conference and included cycles of direct and indirect observations, data collection, and post conference discussions. All of these processes continued the cycle of supervision and evaluation for the new school year. The participants believed they were helping their principals become the best they could be, and they believed their supervision helped the principals cope with the stresses of the job.

Throughout the school year, the principal and the supervisor monitored the progress toward reaching established goals. According to the participants, periodic checks, discussions, and reflections helped principals and supervisors determine the actions necessary to continue progress toward the goal or job target. Samantha used the pre-conference to establish the job targets. The pre-conference meetings were followed by two other meetings during the year—at the end of the first semester and in the spring—to determine each principal's progress toward meeting his or her goals.

Participants indicated that they were ready to assist their principals by providing various resources necessary for attaining their goals. These resources varied from district to district. Rhonda helped her principals by letting them know she had "money that I can [use to] send people to inservice." She also bought books for her principals, and they studied them together. Samantha asks her principals what support they needed to reach their job targets. She said, "What can I do to facilitate…what materials do you need?"

Alan provided a different perspective. He explained, "I think I was hired here because of my experience in a large high school. Not that I have a better perspective...just a different perspective...being able to offer my experience." He believed his past experience was a resource he could share with the principals he now supervises:

The participants provided a resource for principals by promoting collegiality and collaboration among the principals. Samantha made "collegiality" among her principals one of her personal goals. She wanted each of her principals to be the "number one booster" for all the other principals. In speaking about collaboration among principals, Brad stated, "That's where you learn." Rhonda related an example where she called and asked a principal what she could do to help; he informed her about the help he received from other principals. She acknowledged, "They really do take care of each other."

Site Visits

Some of the same procedures that emerged in this study were discovered in successful school districts studied by Murphy, Hallinger, and Peterson (1985). They found that in successful school districts, superintendents met with principals individually and in groups on a frequent basis. Murphy et al. (1985) stated, "Visits are a critical component of the supervision and evaluation of principals" (p. 80). Supervisors of high school principals in this study also believed the visits between themselves and their principals were crucial to supervision and evaluation.

The participants articulated the importance of being visible in the schools. In describing this, Mary stated, "I think one of the most important things ... with supervising principals is to be in the mix of things with them." Similarly, Lisa posited:

> [Y]ou can't supervise unless you're in the buildings, at least on some regular...schedule to get a grasp of what's going on. I can't sit up here all day and never be in the buildings and feel like I can supervise principals.

Being at the site helped the participants stay in touch with the "reality" of the principals' daily work and "life in schools." Consequently, the participants frequently visited the school sites showing support, monitoring climate and atmosphere, and getting informal feedback from various school personnel. They walked the halls visiting with teachers, custodians, counselors, and site administrators. Rhonda reported, "I just go to visit."

These visits allowed the participants to see the principals working with teachers, students, and parents. The participants developed a better idea of the needs of the schools and the principals by being there with them. Illustrating this point, Mary explained, "I do go to the building, and I do visit with the custodians, [with] the people in the cafeteria, [with] the counselors, [with] teachers, [and with] maintenance people. I learn a lot."

Further underscoring this need to be in touch with "reality," Brad noted, "There's a difference in this chair and the chair that [the principals] occupy." Mary said:

> I go out when I don't have anything. [I] just go out and visit— see how things are going. You look at climate....I visit with

people. You get a good sense of what is going on. You just take time to informally talk to the principals...Visit with teachers and counselors.

Describing her daily site visits, Samantha stated:

I start every morning at one of the secondary schools....I'm talking with principals in a non-threatening fashion....I'm there to show support to them and just talk to them...you can see on a regular basis the climate of the school—feel the atmosphere.

Alan acknowledged:

First thing I look at is the upkeep of the grounds, the condition of the building, and, if it's the high school, I look to see if there are kids in the parking lot during class time....If the principals are out and about, I just kind of watch and try to interact with them, and see how they interact with students and staff.

Frequent visits to the site helped the participants observe the principals at work. Observing the individual doing his or her work is supported by the literature on teacher supervision (e.g., Acheson & Gall, 1992; Calabrese & Zepeda, 1997; Cogan, 1973; Duke, 1995; Glickman, Gordon, & Ross-Gordon, 1998; Goldhammer, Anderson, & Krajewski, 1993; McGreal, 1982, 1983), and it is reasonable that similar observations would hold true for site administrators (e.g., Smith & Andrews, 1989). The site visits gave the participants an opportunity to provide assistance with monitoring progress toward goal attainment and with solving specific problems (e.g., "scheduling problems").

Participants further explained that more formal visits were held for the purpose of discussing a conflict, a site-improvement plan, a facility need, etc. Ongoing communication between the principals and the supervisors occurred

throughout the site visits; thus, helping the supervisor to monitor and to support the principal. Open communication gave the principal the opportunity to express needs, highlight good practices and strategies, and seek guidance. Clinical supervision is a formative process used with teachers to help them identify goals and enhance their job performance. The same formative process adapted to the job of the principal is another means by which principals can enhance their performance (Smith & Andrews, 1987).

Group Meetings

Supervisors related that formal group meetings with the high school principals were scheduled on a regular basis (e.g., once or twice a month). These meetings had a set agenda and lasted two to three hours. Group meetings (e.g., middle school principals, high school principals, vertical teams) usually addressed policy information and compliance issues, deadlines, and mandates in the law or from the local school board.

Some of the participants used other locations for group meetings. For example, the principals and the supervisors in some of the participating districts attended special retreats held in settings outside of the schools or the central office. These retreats helped the supervisors and the principals to interact in an informal setting, away from interruptions. These special meetings allowed the participants in this study to provide professional development opportunities for their principals. Activities at these retreats were designed to help the principals to reflect on past practices, to practice new skills, and to plan for the next school year.

Frank's principals attended a retreat at the end of every school year that provided a forum for the principals to reflect on the past year and to set the direction for the upcoming year. By having the retreat at the end of the school year, the participants and the principals were able to get a "jump start" on planning for the upcoming school year. Mary described the retreat in her district as one in which, "We planned a program; we had motivational speakers; we had that mixed with a business session. We had a time of sharing."

Brad's district also scheduled a retreat for administrators; however, his retreat occurred at the beginning of the new school year. The first day was devoted to brief presentations by various central office administrators on topics ranging from general business to the district's vision for the new school year. Brad used one-half of the second day to meet with his high school and junior high principals as a group. This was their first group meeting for the school year, and they discussed "start of school" issues (e.g., enrollment dates, new students).

Professional Development

To remain dynamic leaders, principals need a system of professional development that allows them to grow and learn within the context of their job (ISLLC, 1998). "Administrators are jealous guardians of their time and will seldom allocate time for professional development if it does not meet an important need" (Hallinger & Wimpleberg, 1992, p. 6). The participants in this study described professional development activities held in conjunction with

regularly scheduled meetings, thus minimizing the time principals were required to be away from their buildings.

The supervisors who participated in this study reported using formal group meetings to deliver some form of professional development for principals. Principals were called upon to share interesting and innovative practices occurring at their schools. Rhonda spoke of principals "sharing interesting or exciting things going on at their school[s]." Mary described an activity called "share your success" that was a part of each monthly principals' meeting.

Samantha began each monthly meeting by having one or two principals describe a situation where someone in their school made a difference for a student. Other principals were called upon to share a "tip" about something they were doing in their school that really worked for them. Samantha also had someone share something funny and called it "Humor in Secondary Schools." Each of these activities was designed to help the principals see that they were not alone, and that others had similar experiences, and the participants used every opportunity to provide time for this sharing as one form of professional development for their principals. Letting the principals talk about being principals enhanced professional growth.

Participants related how they helped principals acquire professional development through a variety of activities. They encouraged principals to attend state, regional, and national conferences of professional organizations

or special interest organizations. Training activities were usually designed to meet the needs of the group; however, individuals usually initiated requests for personal professional development. The participants agreed they would help a principal find and attend training deemed necessary for skill or strategy development. Alan and Rhonda both mentioned providing the opportunity for principals to attend local workshops sponsored by the Cooperative Council of School Administrators (CCOSA) and the Oklahoma Association for Supervision and Curriculum Development (OASCD).

Electronic Mail

Participants and principals communicated through both one-on-one and group meetings. Additionally, all of them used the telephone to have conversations with the principals as needed. Technology provided for a new form of communication—electronic mail. Most of the participants used electronic mail (e-mail) to communicate with principals. E-mail made it easier for the participants to share information about deadlines, meeting changes, and assignments for upcoming events. Rhonda posited, "E-mail gives me the time—saves me enough time—to be out in the building[s]." Frank acknowledged:

> Whenever I get an idea whether from here or home...I can fire off to them something rather than putting it on a piece of paper that gets squashed at the bottom of my pocket, and I lose it.

Some participants warned that e-mail is not a secure system through which supervisors and principals should share confidential student

information. Samantha suggested, "We cannot start exchanging information about students, or anything like that. It just can't be done." Rhonda agreed, "I will call them if I've had a parent concern or a teacher concern. I don't e-mail those kinds of things."

Post-Conference and Evaluation

Toward the end of the school year, participants and principals held a post-conference for the purpose of completing the evaluation cycle. Brad described the process he used:

> I request a self-evaluation. And what I say to them [is] "tell
> me what you do at your site that maybe I don't know that
> you're doing. You should have it in writing in your
> evaluation; I want to know it. Maybe I have overlooked it."

The post-conference allowed the principal to reflect on the progress toward the specified goals or job targets and the overall success of the school year. All used the post-conference to go over the evaluation instrument. Samantha reported that, "I give them their formal document." Rhonda explained that she goes in with a "blank evaluation instrument," and she and the principal "look at the instrument step-by-step. This gives the principal the opportunity to react to each item on the evaluation form."

The Relationship Between Supervision and Evaluation

Supervision was described by Goldhammer et al. (1993) as:

> [The] face-to-face and other associated interactions between
> the observer(s) and the person(s) observed in the course of
> analyzing the observed professional behaviors and activities
> and seeking to define and/or develop next steps toward
> improved performance. (p. 4)

Question four asked how supervisors of high school principals

described the relationship between supervision and evaluation. Most of the

participants in this study viewed ongoing supervision to be most important,

and the evaluation to be a result of the time spent working closely with the

principal. Mary acknowledged, "I try to emphasize to them that this is an

ongoing process, but the instrument we are—basically—required to do."

After the evaluation has been completed, Mary still has "people (the

principals) come in, sit down, and talk." Alan explained, " In filling out the

[evaluation] instrument, you rely on what has proceeded during the school

year...that makes it a process." Lisa observed, "The summative [evaluation]

doesn't just all of a sudden appear." She further stated that:

> The summative evaluation can be used to decide whether
> someone has [his or her] job back or not. It's what the
> board will read...but it doesn't stop there. It's an ongoing
> cycle [of] supervision, and evaluation is just something you
> have to do...to have it in writing. Supervision should take
> place throughout the year.

According to Samantha, supervision and evaluation went "hand in

hand." Samantha posited, "They go together like a glove and hand. How

could you do an evaluation unless you have provided supervision?"

Rhonda viewed supervision and evaluation as a process that was

"very cyclic." The "cyclic" supervision and evaluation process does not end

with the evaluation. Rhonda explained:

> That year's [cycle] ends and the next year's [cycle] begins
> because the school improvement plans and school climate
> surveys come after the formal evaluation. We rehire
> principals in March, so we have to do the formal evaluation

in February. The school improvement plans are not due until May, and we do the school climate surveys in April or May. So it really just starts the next year's process.

The supervisors who participated in this study did talk about the process and how it was cyclic in nature, but they typically viewed the evaluation portion of the cycle to be a formality and something they had to do. However, the evaluation was grounded in daily supervisory interactions (e.g., site visits, meetings, discussions, professional development).

The Uses of Evaluation Instruments

Question five asked how supervisors used evaluation instruments with high school principals. Evaluation instruments were tools—usually in the form of a checklist—used to rate the individual's performance. Cole (1992) reported three types of evaluation instruments: (a) state-developed, (b) district-developed, (c) combination of state and district developed. A fourth type of evaluation instrument is narrative in nature. The evaluation instruments used by the participants in this study were district-developed and contained the Oklahoma minimum criteria. All included a place for narrative feedback. Since the evaluation instrument was district-developed, the principals knew what was expected of them.

During end-of-year meetings, the participants helped the principals reflect on the events of the year and discussed successes related to goals or job targets. Samantha used "four or five open-ended questions designed to help the principals reflect on the school year," and then, together, they reviewed the evaluation instrument. For these participants, evaluation was

viewed as a culmination of the periodic support and monitoring provided to the principals throughout the year.

Samantha described her use of her evaluation instrument as follows:

> Now I've already filled it out. [We] sit right here, pull our chairs together, and look at it together. I begin with that general sheet of questions that are more reflective of the year...then I'll say, "let's look at the instrument together." We'll go through each area...I try to highlight the positives.

Similarly, Rhonda reported:

> Generally, I go in with a blank evaluation instrument. Then I go step-by-step over the evaluation instrument, and I give them (the principals) the opportunity...to talk about what they feel about an area [of the evaluation], and I will [tell them] what I have seen in that area. We go step-by-step through the instrument with me filling out one copy by hand.

The other participants related similar descriptions of the use of the instruments. They viewed the instrument as a formality, and they contended the evaluation was a "tying up of loose ends" and an outgrowth of the daily interactions between them and their principals.

In the conversations about the use of evaluation instruments, the Oklahoma Minimum Criteria for Effective Administrative Performance was often discussed. As required by law, these criteria were present in evaluation instruments used by the participants. They were described as "helpful" or a "guideline." Samantha and Alan both found the minimum criteria helpful as a starting point. Samantha stated, "They're helpful. Otherwise, we'd all be shooting in the dark." Alan expressed, "They're a guideline. You have to

start somewhere." Rhonda, however, believed the minimum criteria were outdated and that "it's time to move on" to something else.

Participants provided some insight into the methods they used to determine how they knew their principals met the criteria established by their respective evaluation instruments. Some of the participants asked their principals to provide documents that demonstrated that they had "met expectations" or "exceeded expectations." Rhonda related that sometimes the principals "initiated" the submission of documentation, and at other times, she "initiated" it. Mary acknowledged, "A good supervisor has a gut feeling about that person." However, she admitted that she collects information from parents, students, teachers, and her own personal interactions to support the gut feeling. Lisa explained:

> I think it becomes real obvious when they're not meeting the
> expectations. I know it because you have problems at the
> school....Another way you know is the principals at the high
> school especially deal with everybody in the central office...if
> someone is having trouble with a principal they're (central
> office administrators) not hesitant to mention a problem.

Similarly, Rhonda said, "Everyone knows who evaluates the principals, so they let us know if there's a problem." Frank and Alan, also, relied on input from other central office administrators (e.g., business manager, assistant superintendents, directors).

Although evaluation instruments were different, the use of the instrument was similar. Principals met with the supervisors and discussed the evaluation instrument. Participants believed the evaluation meeting

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revealed no surprises because of the ongoing supervision they provided for their principals. Samantha referred to the evaluation instrument or process as "embedded" in the supervision she provided.

Seven supervisors of high school principals described from their own perspective the supervision and evaluation of high school principals. These participants described similar supervision and evaluation processes, procedures, and interactions occurring with principals. All agreed that evaluation was an outgrowth of supervision, and that evaluation without periodic supervision, was not the best practice.

CHAPTER FIVE

INTERPRETATION, IMPLICATIONS, AND RECOMMENDATIONS

This qualitative study was conducted to describe how seven central office administrators viewed the supervision and evaluation they provided to high school principals. The participants' descriptions of supervision and evaluation of high school principals provided the data for this study. Chapter five presents a summary of the study and interpretation of the findings. Next, implications of the findings are presented as well as recommendations for further study.

Summary of the Study

The following questions were used to direct this study:

1. How do the supervisors characterize the supervision and evaluation of high school principals?

2. What processes or procedures do the supervisors believe to be helpful in implementing supervision and evaluation of their principals?

3. How do supervisors describe the interactions between themselves and their high school principals?

4. How do the supervisors of high school principals describe the relationship between supervision and evaluation?

5. How do supervisors of high school principals use established evaluation instruments as a tool to enhance principal performance?

Methodology

A qualitative, multi-case study was conducted utilizing semi-structured interviews with seven Oklahoma central office administrators who directly supervise and evaluate high school principals. Data included transcripts and field notes.

As suggested by Miles and Huberman (1994), transcripts were reduced to themes, and the themes were placed in tables for analysis. Further analysis included re-reading the transcripts and field notes and comparing responses across the seven interviews. Conclusions were drawn from the displayed data and the re-reading of the transcripts.

Participants

Seven supervisors of high school principals served as the participants for this study. Each supervisor had been a supervisor and evaluator of high school principals for one or more years, and each supervisor reported at least seven years experience as a site administrator. The titles of the supervisors ranged from director to superintendent. Of the seven participants, four were women, and three were men.

Summary and Interpretations of the Findings

As discussed in chapter two, the supervision of teachers has been well studied and documented (e.g., Acheson & Gall, 1992; Calabrese & Zepeda, 1997; Cogan, 1973; Glickman, Gordon, & Ross-Gordon, 1998; Goldhammer, Anderson, Krajewski, 1993; Millman & Darling-Hammond, 1990; McGreal, 1982, 1983; Sergiovanni & Starratt, 1993). Subsequently, the practice of

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supervision and evaluation of teachers has evolved through ongoing research and been informed by best practices from the field. Yet, principals may not be afforded the same level of supervision and evaluation (Johnson, 1996; Murphy, Hallinger, & Peterson, 1985).

As described by two of the participants in this study, principals are promoted to the site leadership positions, and central office personnel assume they "know what they are doing." Principals are expected to oversee the day-to-day educational program, and at the same time, deal with conflict and myriad other activities. The demands of the principalship create stress. Perhaps, ongoing supervision can help principals to cope with this stress by providing an environment and system in which they do not work in isolation.

The seven participants in this study described a variety of activities used to supervise and evaluate the high school principal. From the interviews it was apparent that the supervisors had not received specific training for supervising and evaluating the principals beyond their university-level teacher supervision and evaluation courses and the state-level training required for those evaluating teachers. However, absent specific training, the supervision and evaluation processes reported were similar across the seven districts.

Characterization of Supervision and Evaluation (Question One)

Two characterizations of supervision emerged from this study. Supportive supervision was described as guidance and assistance provided to promote the principals' growth and development, and to enhance their ability to meet the day-to-day demands of their job. Supervision that was

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characterized as monitoring was grounded in the need of central office administrators to assure that principals followed district policy and school board mandates vis-à-vis supervision and evaluation for accountability. Both types of supervision helped principals grow, and both types helped the principal adapt to an ever-changing environment and the expectations of their work, according to the participants in this study.

The supervision of high school principals described in this study was not predicated on a large collection of documents, and similar to the Murphy et al. (1985) findings, the supervision was mostly "oral and visual." Participants related various procedures used to promote dialogue either in face-to-face meetings, large group meetings, or through electronic mail. Participants appeared to believe these procedures promoted growth in their principals.

Supervision was further described as directive and collaborative depending on the involvement of the supervisor and the degree of control the supervisor exercised over principals. Participants reported situations in which they had to assign a goal or job target based on school board mandates. Subsequently, the participants had to monitor principals for compliance with the board mandate, thus supervision became more directive in nature. At other times, the participants and their principals worked together to solve problems (e.g., scheduling problems, facility needs, staffing issues).

In characterizing the evaluation of high school principals, the participants described evaluation as being a formality required by law and

enforced by school boards. However, evaluation was also described as a part of supervision. Therefore, it had both formative and summative characteristics. The participants acknowledged the characteristics of formative evaluation were a result of the ongoing supervision.

Formative evaluation and summative evaluation by definition have different functions. The purpose of evaluation determines whether it is formative or summative (Barber, 1990). Formative evaluation is designed to help the individual to grow and to develop. Conversely, summative evaluation is designed to help superiors make decisions about the employee's future (e.g., raises, promotion, termination) (Anderson, 1991; Barber, 1990; Ginsberg & Berry, 1990).

Procedures and Interactions (Questions Two and Three)

Participants were asked to describe the procedures and interactions they used in the supervision and evaluation of principals. It is important to include both questions, at this point, because the procedures and interactions of supervision and evaluation were tied to one another. Supervisory procedures included interactions and were inherent in the procedures themselves (e.g., group meetings, site visitations, retreats)

Much of the supervision provided by the participants in this study was collaborative in nature. Smith and Andrews (1989) posited that one way in which supervisors support principals is through clinical supervision vis-à-vis collaboration between the principal and the supervisor. Consistent with Cogan (1973) and Zepeda and Ponticell (1998) supervision should not be

something that is done to personnel. The supervisors in this study believed they worked with their principals while supervising with the intent of growth.

Meetings were another way in which supervisors and principals interacted. Some meetings were both one-on-one and face-to-face, as described by Goldhammer et al. (1993). Group meetings were scheduled for supervisors to share information related to curriculum, state and local mandates, and upcoming events (e.g., testing, graduation, conferences). These group meetings also provided a forum for collaboration and collegiality among the principals as they shared good practices associated with their schools.

Zepeda and Ponticell (1998) found teachers' perceptions of best supervision were tied to the supervisor's visibility. The participants in this study also believed in being visible in the building as important to the supportive supervision they provided to the principals. Murphy et al. (1985) found in their study that superintendents also believed visibility was important. Smith and Andrews (1989) stated that supervisors being visible modeled what principals should be doing, and they summarized that visibility helped the central office administrator provide more appropriate supervision.

In what appears to be a contrast, Myers and Murphy (1993) framed supervision as a mechanism to control the principals' work. The participants in this study did not describe anything about site visits or other interactions that alluded to controlling their principals. The participants wanted to support their principals and to promote principals' growth.

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Five out of seven participants described using electronic mail (e-mail) to communicate with their high school principals. E-mail was used primarily to convey information with principals about meetings, resources, and reminders for upcoming events. However, the participants cautioned that e-mail was not a medium for sharing confidential information (e.g., information about students, personnel issues) with principals.

The participants acknowledged the importance of professional development opportunities that helped principals to grow—a parallel purpose of supervision. Participants believed that principals should share best practices and innovative ideas. Another source of professional development was encouraging and supporting principals' attendance at state and national conferences. To help the high school principals stay current with research, new thinking, and cutting-edge practices, the participants reported sharing books and articles with their principals. All of these practices helped the principals focus attention on their own professional growth and development.

Relationship Between Supervision and Evaluation (Question Four)

The participants in this study emphasized the closely coupled relationship between supervision and evaluation of the high school principals. One of the participants suggested the evaluation was "embedded" in the supervisory practices and that supervision and evaluation went hand-in-hand. Moreover, the interactions that took place over the entire school year led to the evaluation. Acheson and Gall (1882) posited that using data gleaned from supervisory activities in summative evaluation was controversial. Wilson

(1993) warned against using data collected for improvement to make decisions about the future of personnel. However, the participants in this study stressed their efforts to address concerns about the principals' performance during the day-to-day interactions as critical. As one of the participants stated, "[There are] no sneak attacks."

Some researchers have suggested a possible conflict when the same person promotes growth and decides the future of the individual (Acheson & Gall, 1992; Glickman et al., 1998; Goldhammer et al., 1993). In this study, the same individual supervised and evaluated the high school principal. Stressing the linkage between formative supervision and evaluation, one participant mentioned that "it's easier to grow a person than to remediate them."

Participants reported taking care not to surprise principals with serious concerns about job performance at evaluation time. One principal indicated this type of last-minute surprise was "mean-spirited." Principals were informed about job and role expectations in addition to knowing the content of the evaluation instrument. Several researchers have reported that principals need to be informed of the criteria on which their evaluation will be based (Bonnell, 1993; Duke & Stiggins, 1985; Harrison, 1988), and this finding is consistent with the findings of this study.

Using the Evaluation Instrument (Question Five)

Each school district used an evaluation instrument to rate principals' performances on pre-determined criteria, and each of the instruments

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included the Oklahoma Minimum Criteria for Effective Administrative Performance. Evaluation instruments allowed for both checklists and narrative feedback. Typically, the supervisors and principals reviewed the instruments in the spring semester.

Participants described two approaches to using the evaluation instrument. All participants met with the high school principals face-to-face to discuss their evaluation. However, some of the participants reported handing the principals a blank evaluation form, while others acknowledged having the evaluation instrument completed prior to the principals' arrival. The participants and their principals then discussed each criterion. Together the principals and supervisors used this time to analyze and reflect on the events of the school year.

Some participants also described using the instrument to share their observations and perspectives about the principals' performances. Others described having the principals' reflect on their own job performance. Regardless of the method used, the participants believed the end-of-year evaluations were made more meaningful for the principals through discussion and reflection—not only on the content, but also, by the process being ongoing in nature.

Implications of Findings

The purpose of supervision and evaluation is to promote growth and to assure accountability. The participants in this study described the supervision and evaluation they provided to their high school principals as

assistance and guidance—support. Although the findings may not be

generalizable, they do have some implications for (a) colleges and

universities who train superintendents and central office administrators, (b)

practicing superintendents and central office administrators, (c) state

departments of education, and (d) researchers.

Superintendent and Central Office Administrator Preparation Programs

Martens (1991) reported that the principals interviewed in her study

wanted supervisors who were thoroughly trained in supervision and

evaluation. University programs for training educational administrators have a

responsibility for providing prospective superintendents and other central

office administrators with the skills and knowledge necessary to be

successful district-level administrators. Typically, these programs train

individuals to supervise instruction and evaluate teachers, yet preparation for

supervising and evaluating the building-level administrators is largely ignored.

University courses and practical experiences would help potential

superintendents and central office administrators develop skills in supervising

and evaluating building-level administrators.

Superintendent preparation textbooks do not lend much, if any,

coverage to the evaluation of principals. Moreover, the coverage of the

supervision of principals was non-existent. Educational personnel

management texts present discussions related to the evaluation of teachers,

support personnel, and even the superintendent; however, discussion of

theory and practice related to supervising and evaluating principals—or other

administrators—is at best, sparse. Reitzug (1997) found discussion of

supervision in textbooks portraying the principal as superior and the teacher

as receiver of the supervision. However, supervision texts do not address

supervision of supervisors (i.e., principals).

Practicing Superintendents and Central Office Administrators

Supervising and evaluating principals is one of the many tasks

required of central office administrators. The participants in this study also

interacted with parents who were not satisfied with someone at the site level.

The participants also supervised and evaluated middle school/junior high

principals. Finding time to carry out formative supervisory processes may be

difficult, but making supervision of principals a priority is the only way to

ensure supervision does not become routine and meaningless (Brady, 1993).

Visiting buildings and engaging in frequent dialogue with principals was a

priority with the participants in this study.

Like other states, Oklahoma law requires the evaluation of principals

by a designee of the local school board. Teacher evaluators are required to

receive state-level training, and the participants in this study reported that the

same training doubled as training for evaluating principals. Yet, as described

in this study, the processes used to supervise and evaluate principals have

been adapted to the nature of the principalship; therefore, training related to

evaluating principals could potentially be enhanced for those charged with

working closely with principals.

The <u>Oklahoma Minimum Criteria for Effective Administrator</u> <u>Performance</u> (see Appendix A) was found to be incorporated in the evaluation instruments of each district in this study. The Interstate School Leaders Licensure Consortium (ISLLC) has identified six standards related to the behaviors that effective school leaders exhibit. An educational leader promotes the success of all students by:

1. Facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.

2. Advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

3. Assuring management of the organization, operations and resources for a safe, efficient and effective learning environment.

4. Collaborating with families and community members responding to diverse community interests and needs, and mobilizing community resources.

5. Acting with integrity, fairness, and in an ethical manner.

6. Understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context. (ISLLC, 1998, p. 5-6)

Oklahoma's criteria more specifically define effective performance. The ISLLC standards could serve as a benchmark for assessing principals' level of performance. For example, the <u>Oklahoma Minimum Criteria for Effective</u>

Administrator Performance call for principals to "work with staff in collegial and non-threatening ways to promote and improve instruction." Principal supervisors could use appropriate ISLLC standards as questions (e.g., Did the principal facilitate a shared vision? Did the principal act with integrity? Did the principal understand and allow for the values of the organization to emerge?), in order to help the supervisor decide if the principal met the criteria.

The participants described using group meetings to promote professional development through regularly scheduled sharing sessions. The Interstate School Leaders Licensure Consortium set forth guidelines for professional development. The Collaborative Professional Development Process for School Leaders (ISLLC, 1998) is a formative process that includes, peer-related assessment, and personal reflection so that principals and other school leaders can directly affect their own growth and development. Collaborative professional development is not something that is done to principals or school leaders. Rather, this type of development encourages principals to take charge of their own assessment and professional development in order to "meet the needs of the school" (ISLLC, 1998, p. 2).

The Collaborative Professional Development Process for School Leaders (ISLLC, 1998) is based on the ISLLC Standards for School Leaders and assumes:

1. Conventional conceptions of professional development need to be broadened.

2. Professional development should focus on the personal and professional needs of the School Leaders, and the School Leader, not his or her supervisor, must be responsible for defining, implementing, and reflecting on the process of his or her professional development.

3. Professional development must occur within the context of schooling and must be directly connected to the specific and most critical needs for the improvement of schools.

4. The ultimate goal of a School Leader's professional development is to develop the leadership ability necessary to enhance teaching and learning in schools. (p. 1)

Although the participants in this study described efforts to help build collaboration and collegiality, school superintendents and other central office administrators who directly supervise and evaluate high school principals could use the concepts to enhance the professional development for principals. These standards could also serve to enhance the formative aspects of supervision while focusing attention on the accountability of the principal in school improvement efforts.

A final note about professional development needs is warranted. There are several assumptions generally accepted about the adult learner. All are based upon the idea of the self-concept of the adult learners. Adult

learners are motivated by internal factors (Merriman & Carffella, 1999); they

do not necessarily need a teacher who imparts knowledge (Castallo, Fletcher,

Rossetti, & Sekowski, 1992). Adult learners are set in their ways (Castallo et

al., 1992). They want to be involved in decisions about their learning

activities (Knowles, Holton, & Swanson, 1998), and they need to be

considered as individual learners with diverse backgrounds and needs. Adult

learners need to know their learning is applicable to their job, and they need

to see something has come from the learning experience (Knowles et al.,

1998; Webb, Montello, & Norton, 1994).

Researchers

Research into principal evaluation and supervision has lagged behind

that of teacher evaluation and supervision. More pointedly, the evaluation of

principals has been studied more often than that of supervision of principals

as is witnessed by the sparse coverage in the leading scholarly journals. A

search of educational administration journals utilizing the Educational

Resources Information Center (ERIC) and similar search engines and

indexes yielded little in the way of coverage of supervision of principals.

Myers and Murphy (1993) reported that most of what is known about

supervision of principals was "discovered in elementary schools" (p. 70).

Nationally recognized scholars have written on the subject of

evaluating the principal (e.g., Duke & Stiggins, 1985; Ginsberg & Berry, 1990,

Murphy et al., 1985; Stufflebeam & Nevo, 1993; and others). However, only

a few of these scholar experts are cited in articles relating to the supervision

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of principals (e.g., Murphy et al., 1985; Duke & Stiggins, 1985; Ginsberg & Berry, 1990). Hopefully, more experts in the area of principal supervision and evaluation will emerge as further research is conducted.

<div align="center">Recommendations</div>

Based on the data, analysis, and findings of this study, the following recommendations are presented in two parts: (a) for practice and (b) for further study.

Recommendations for Practice

Samantha, one of the participants in this study, mentioned that she would like to have an opportunity to meet with other central office administrators who have similar responsibilities in order to find out what others are doing related to the supervision and evaluation of principals. Although the participants described similar interactions, processes, and beliefs about the supervision and evaluation they provided to high school principals, they indicated resoundingly that there were few opportunities for central office supervisors of principals to network with others who share similar responsibilities. A consortium of central office personnel responsible for supervising and evaluating principals should be formed. This consortium would give central office supervisors a forum for sharing ideas and developing better supervisory and evaluative skills and approaches.

Better professional development for those administrators who supervise and evaluate high school principals is needed. School boards and superintendents should encourage and support professional development of

central office supervisors like the ones in this study. The Cooperative

Council of Oklahoma School Administrators (CCOSA) could provide seminars

on supervising and evaluating principals as a part of continuing education for

superintendents and other central office administrators.

Recommendations for Future Studies

Good principals are one key component of successful schools.

Principals may, at best, indirectly affect student success (Snyder & Ebmeier,

1992); however, the job they do is essential in ensuring more productive

schools. Yet, the literature related to principal supervision is scant compared

to that of literature on teacher supervision and evaluation. The purpose of

this study was to describe the supervision and evaluation of high school

principals from the perspective of practicing central office administrators. The

following is a list of suggestions for future quantitative and qualitative

research:

1. Investigate the perceptions of high school principals in relation to

the findings of this study.

2. Investigate elementary and middle school principal supervision and

evaluation.

3. Replicate this study in districts of different sizes and types (e.g.,

rural, urban, unified, high school districts).

4. Compare the perceptions of superintendents who do not supervise

and evaluate principals with the perceptions of other central office

administrators (e.g., assistant superintendents, deputy superintendents,

directors of secondary or elementary education) who do supervise and evaluate principals.

5. Investigate the perceptions of supervision and evaluation described by school boards. What do they believe to be important regarding principal supervision and evaluation?

6. Conduct a documentary analysis of National Council for Accreditation of Teacher Education (NCATE), ISLLC, and various other state standards and criteria looking for common themes that can be used to help districts formulate better evaluation programs and instruments to supervise and evaluate principals.

Final Commentary

Further research on the supervision and evaluation of principals is necessary. Just as it is important to assure good classroom practices by teachers, it is equally important to assure good leadership practices from those responsible for supervising and evaluating teachers—the principals.

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APPENDIX A

THE OKLAHOMA MINIMUM CRITERIA FOR EFFECTIVE

ADMINISTRATIVE PERFORMANCE

I. Practice

A. Administrator Management Indicators

1. Preparation
The administrator and staff develop goal statements that are
the result of a needs assessment, a written analysis of
student test scores and other data as well as community
input.

2. Routine
The administrator uses a minimum of instructional time for
non-instructional routines thus maximizing time on task.

3. Discipline
The administrator works with staff to develop and
communicate defined standards of conduct that encourage
positive and productive behavior.

4. Learning Environment
The administrator establishes and maintains rapport with staff
and students, providing a pleasant, safe, and orderly climate
for learning.

B. Instructional Leadership Indicators

1. The administrator works with staff in collegial and non-
threatening ways to promote and improve instruction.

2. The administrator sets high expectations for staff.

3. The administrator provides needed resources for staff.

4. The administrator works with staff to establish curriculum
objectives, sequence, and lesson objectives.

5. The administrator works with staff to assure that all learners
are involved in the learning process.

6. The administrator assists the staff in monitoring student progress.

7. The administrator works with the staff to develop a program to recognize academic achievement.

8. The administrator educates the staff to recognize and display the teaching criteria upon which the evaluation is conducted.

9. The administrator observes in the classroom the performance criteria as defined by the district.

10. The administrator summatively evaluates staff only after classroom observations are made, performance feedback is given, growth goals are set, and alternative methods are offered.

II. Products

Administrator Product Indicators

1. The administrator provides written discipline policies to which students are expected to perform.

2. The administrator provides a written school building improvement plan that supports the district's Five-Year School Improvement Plan describing school goals, objectives, and staff development.

3. The administrator provides a written analysis of student test scores and other data to assure that the various student populations are benefiting from the programs

APPENDIX B

ANALYSIS OF PRINCIPAL SUPERVISION AND EVALUATION COVERAGE

IN SELECTED ADMINISTRATION BOOKS

Year	Educational Administration Books	Supervision Coverage	Evaluation Coverage
1979	The Secondary School Principals Wood C. L., Nicholson G. W., & Findley D. G.	None	Two sentences
1985	The Principalship: Concepts, Competencies, and Cases Lipham J., Rankin R., & Hoeh J.	None	Four and one-half pages
1986	The Principalship 3rd Ed. Drake T. L., & Roe, W. H.	None	Five paragraphs
1989	Human Resource Management in Education Riches, C. & Morgan, C.	None	None
1990	The Principalship: Concepts and Practices Kimbrough, R., & Burkett, C.	None	None

(table contiues)

Year	Educational Administration Books	Supervision Coverage	Evaluation Coverage
1991	The Principalship: A Reflective Practice Perception Sergiovanni, T.	None	None
1991	Personnel Management for Effective Schools Seyfarth, J.	None	Two pages
1991	Personnel Administration in Education: A Management Approach 3rd Ed. Rebore, R.	None	None
1992	School Personnel Administration: A Practitioners Guide Castallo, R.T., Fletcher, M.R. Rossetti, A.D., & Sekowski, R. N	None	None
1993	Understanding the Principalship: Metaphorical Themes 1920-1990's Beck, L. & Murphy, J	None	10 pages covering eight decades

Year	Educational Administration Books	Supervision Coverage	Evaluation Coverage
1993	Principal Succession: Establishing Leadership in Schools Hart, A.	None	Two Pages
1994	The Leadership Paradox: Balancing Logic and Artistry in Schools Deal, T. E., & Peterson, K. D.	None	None
1994	Reshaping the Principalship: Insights From Transformational Reform Efforts Murphy, J. and Lousis, K.	None	None
1994	Human Resources Administration: Personnel Issues and Needs in Education 2nd Edition Webb, L. D., Montello, P., & Norton, M. S.	None	One paragraph
1995	Balancing Act: The Political Role of the Urban Superintendent Jackson, B.	None	None

(table continues)

Year	Educational Administration Books	Supervision Coverage	Evaluation Coverage
1995	The Principal's Companion: Strategies and Help to Make the Job Easier Robbins, P., & Alvy, H.	None	One paragraph
1996	Making Sense As a School Leader Ackerman R. H., Donaldson, G. A., & Van der Bogert, R.	None	None
1996	The School Superintendency: New Responsibilities New Leadership Norton, M., Webb, L., Dlugosh, L., & Sybouts, W.	None	one sentence
1996	The Human Resource Function in Educational Administration 6th Edition Castetter, W.	None	None
1997	The Reflective Supervisor Calabrese, R. & Zepeda, S.	None	None
1997	The American School Superintendent Carter, G., & Cunningham W.	None	None

INFORMED CONSENT FORM

This research is being conducted under the auspices of The University of Oklahoma-Norman campus. This document serves as the individual's consent to participate in this project.

Introduction

"Supervision and Evaluation of High School Principals as Described by Central Office Administrators" is the dissertation topic being investigated by George Moore. This qualitative investigation is sponsored by Dr. Jeffrey A. Maiden.

Description of the Study

Mr. Moore is interested in the processes and procedures used in supervising high school principals. He wishes to interview you to determine your characterization of the supervision processes and procedures used to supervise high school principals. The interview will be audio taped and transcribed. The initial interview will last forty-five minutes to one hour. Subsequent interviews may be required for clarification.

Anticipated Risk and Benefits

As your participation is in the form of an interview, no risks to your well-being or reputation are expected. As a benefit to you, you may gain some personal insight into your own perceptions about effective principals. The researcher will benefit from your participation, as your responses are analyzed and reflected upon in the dissertation submitted as a partial requirement for the Ph.D. The resulting dissertation may be submitted for publication at a later date.

Participation and Confidentiality

Your participation in this project is purely voluntary, and you may withdraw from the interview at any time without any penalty. At all times your confidentiality will be protected, and neither your name nor title will be used in any field notes, transcripts, or written report. Field notes and transcripts will be secured in a locked box. Only the researcher and the sponsoring professor will have access to field notes and the transcript of the interview. All data will be destroyed when it is no longer needed.

If you would like to check on the research project, you may contact George Moore at 737-0104 or 737-4461 ext. 264, or you may also contact Dr. Jeff Maiden at 325-1524. If you have questions regarding your rights as a research participant, please call the Office of Research Administration at 325-4757.

I agree to participate in the research project proposed above. I know what I will be asked to do, and I also understand that I may stop at anytime without penalty.

APPENDIX D

INTERVIEW GUIDE

Introduction

Purpose: To study the procedures used by the supervisors of high school principals, and to describe the supervisors' descriptions and characterization of the supervision process.

Anonymity: During the reporting of the findings, neither your name nor your district will be used. An alias will be used.

Consent: This is a form that I must ask you to sign. It explains the research project and your rights as a participant.

Taping: I need to tape this interview so I can generate a transcript. Again, your name will never be used. Do you mind?

Main Questions

I believe a good principal is an essential element of a good school. Therefore, I am very interested in the processes that take place when high school principals are supervised and subsequently evaluated.

1. How would you define the terms supervision and evaluation?

2. What do you see as the purpose(s) for supervising high school principals?

3. Describe the procedure you use to supervise principals? (Is this process consistent with the purpose and definition you stated?)

4. What types of interactions take place between you and the high school principal(s)?

5. How do you perceive the relationship between supervision and evaluation?

6. How do you know a principal is meeting the expectations of the district?

Alternative Questions

Describe the professional relationship between you, the supervisor, and your high school principal(s).

What is most significant about the supervisory practice you use?

Keeping confidentiality in mind, describe a situation in which the supervisory process did not work.

Clarifying Questions

•Can you explain that?   Or, You said ..... what does that mean? (How does that apply to.....?)

•Can you give an example to help me understand.........?

•Earlier you said....., and now you say...... This seems to be in conflict. Is it?

•Make comment like "I see." Hoping this will stimulate more discussion.

Shorthand and Coding Symbols

Clin clinical	Evl evaluation	Pd professional development
Coll collaborative	frm formative	rep. Repeated thought (repetition)
Com- bad communication (negative)	gp good point	sum summative
com+ good communication (positive)	inst. Instruction	vis vision
Conf conference	Ld. Leadership	Supv supervision
Dir directed	MC minimum criteria	
D. A. direct assistance	nc not clear	
email	Obs observations	

Others symbols will evolve as the work proceeds.

APPENDIX E

INTERVIEW SUMMARY REPORT

Interview Date:_____Site:_____

Today' Date:_____

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1. **Ideas heard during interview**

2. **Information obtained related to questions**

3. **New questions to pursue with other contacts**

4. **Follow-up questions**