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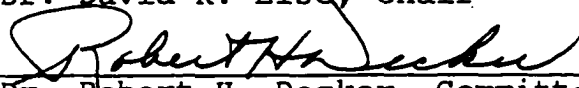
A CASE STUDY OF ONE IOWA PUBLIC SCHOOL

SUPERINTENDENT'S EVALUATION PROCESS

A Dissertation

Submitted

In Partial Fulfillment

of the Requirements for the Degree

DOCTOR OF EDUCATION

Approved:

Dr. David K. Else, Chair

Dr. Robert H. Decker, Committee Member

Dr. Steven B. Corbin, Committee Member

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July 1998

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Discipline is remembering what you want. I have no idea when I first heard that adage but I have repeated it to myself countless times. Often during the dissertation process, I found myself seeking motivation from many sources. Gratefully, I discovered inspirational friends and colleagues surrounded me. To them, I extend my heartfelt thanks.
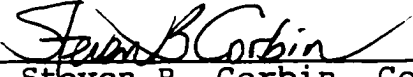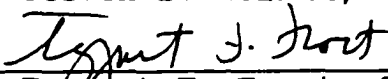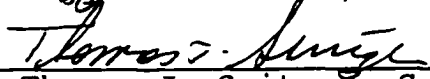
I was very fortunate to have Dr. Steve Corbin, Dr. Robert Decker, Dr. David Else, Dr. Taggart Frost, and Dr. Thomas Switzer serve on my committee. They deserve accolades for their time, wise counsel, and sincere commitment to the project. As chair, Dr. David Else, provided excellent guidance and the necessary motivation to keep me and the process in motion. Also, I am appreciative of the input I received from Dr. Linda Quinn, her support and knowledge were integral resources during the final writing process.

I express great gratitude to the case study participants for their generous gift of time, their openness to the study, as well as their genuine desire to make K-12 education better. The case study superintendent and board president, truly exemplify exceptional professionalism and dedication.

I will be forever indebted to Sherry Nuss and Carson Bartels for their expertise and commitment to excellence.

Sherry's patience was never ending during our lengthy telephone calls regarding APA format and her assistance in editing many drafts. Carson's ability to facilitate the publishing process eased many nerves.

Lastly, I acknowledge the sacrifices and words of wisdom from my family. I thank my parents, Kenneth and Charlene, for teaching me at an early age to finish what I begin.

The contributions from my children, Becca, Keely, and Nick, were invaluable. They allowed me the time to think and to write by helping each other and extending me encouraging words at just the right times. For example, when Keely programmed my computer screen saver to tell me to keep working! I hope that this accomplishment has modeled for them that they can do and be whatever they aspire.

Without a doubt, the most significant contributions to this effort came from an unsung hero. My husband, Steve, patiently fixed all glitches, computer and otherwise, during my fits of exasperation. He ran interference on the home front for three years by taking on more than his share of the responsibilities. But most importantly, he told me he knew I could do it.

TABLE OF CONTENTS

LIST OF TABLES

A CASE STUDY OF ONE IOWA PUBLIC SCHOOL

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ABSTRACT

The purpose of this exploratory case study was to identify and describe one Iowa public school district's superintendent performance evaluation process. This study explored the perceptions of one superintendent and one school board of directors in regard to the purposes, criteria, sources of information, and general effectiveness of their superintendent performance evaluation process.

The study was conducted in an urban K-12 public school district in northeastern Iowa. Factors considered in the selection of the school district included: size, location, demographics, as well as the willingness of the participants to have their voices heard through the researcher. Also, the district was incorporating a system in which feedback would be solicited from many stakeholders in an effort to enhance the effectiveness of the established evaluation process. A qualitative case study research design was utilized which included data collection from a survey, interviews with the participants, observations of interactions, and archival records.

The significant research questions considered in this study are:

1. What are the purposes of the superintendent's evaluation as perceived by the superintendent and the board members?

2. What criteria should be utilized in the evaluation process as perceived by the superintendent and the board members?

3. How does the use of multiple sources of information or 360 degree feedback impact the board members' rating of the superintendent?

4. Does the use of multiple sources of information or 360 degree feedback result in the board providing the superintendent a more detailed and directional plan for professional growth of the superintendent? If so, in what ways?

5. Does the use of multiple sources of information or 360 degree feedback impact the importance of the evaluation as perceived by the superintendent? If so, why?

6. How does the use of multiple sources of information or 360 degree feedback impact the overall effectiveness of

the superintendent evaluation process as perceived by the superintendent and board members?

Findings indicate that the predominant benefits of incorporating 360 degree feedback into the superintendent's evaluation process were enhanced communication between the superintendent and the board members regarding job performance, job expectations, and the collaborative effort needed to improve student achievement. Although the evidence indicates that the board members' ratings of the superintendent's performance were not significantly impacted by the 360 feedback, the board members and the superintendent perceived that the evaluation process was more effective.

CHAPTER 1

INTRODUCTION TO THE STUDY

In recent years, accountability has become an important concept in American education. Lawmakers and the general public have increasingly insisted that educators be called to account for the money spent on schools and the quality of education produced. As part of this accountability movement, much attention has been directed toward improving the evaluation of teachers and school administrators. As chief executive officer, the superintendent plays a key role in determining the cost-effectiveness and quality of the education provided to students in the school district.

> Much attention has been given to the development of effective procedures for assessing student performance, teacher performance, and administrative performance. Comparatively little effort, however, has been given to the development of effective procedures for evaluating objectively the performance of the school superintendent. (Educational Research Service [ERS], 1976, p. 4)

Because the superintendent serves as the highest ranking education professional in the district, it is important to examine the evaluation of superintendents as viewed and practiced in public school districts today. Several authors have reported that, in the past, the majority of public school district superintendents were not evaluated regularly by their school boards (Anderson & Lavid, 1985; Cunningham & Hentges, 1982; Dittloff, 1982). Data from the 1989 nationwide ERS survey, however, indicate

that evaluation of superintendents has now become widespread. Almost 90% of superintendents reported that they are currently evaluated at least once a year. Only a small portion (11%) reported that they are not very often or never evaluated by their school boards. Evaluating superintendent performance is one of the most important and difficult challenges facing school boards today (Genck, 1983). Redfern (1980) summarized the important reasons:

> Evaluation plays many roles. It is motivational. It is an aid in planning. It is developmental. It aids in communication. And ultimately, effective evaluation helps to assure a good education for students in our nation's schools. (p. 71)

Improving educational performance is the basic reason for a school board to systematically evaluate the superintendent. Because of the superintendent's unique position as chief executive officer, he or she affects the school district's overall performance (Genck & Klingenberg, 1978). How well superintendents perform their duties has a direct impact on teacher performance, which in turn affects student achievement. Systematic evaluations can help superintendents maintain an awareness of these interconnections and prevent them from becoming detached from the education for which they are responsible (Genck, 1983).

The role of the superintendent in such a framework cannot be underestimated. Attempts to develop and define

the culture of the school district organization are based upon the assumption that school district administrators can effect change. By leading the district toward a definition of its beliefs and then measuring the consistency or inconsistency of existing district practices in regard to these beliefs, the school superintendent can promote a healthy district culture (Patterson, Purkey, & Parker, 1986).

Statement of the Problem

The need to create an evaluation process that superintendents can trust is evident. Superintendents must openly accept evaluation as a legitimate growth tool rather than an object to be used by those board members who misuse power and lack the requisite skills to effectively evaluate the school district chief executive officer. The evaluation process, when performed openly and with common understandings, may be a welcomed event for many superintendents. The process could well afford the superintendent freedom from surprises (i.e., unsubstantiated claims of poor performance based upon minimal input from secretive sources of information).

An assumption of this study is that in order for performance evaluation to be effective in providing detailed, directional feedback that promotes professional growth both the evaluator and the evaluatee need to have a

common understanding of the reasons for the evaluation (purposes), of measurement criteria, and of sources of information. In addition, the evaluation process must be thorough, balanced, and straightforward (Langlois & McAdams, 1992; Mitchell, 1994).

The literature reviewed suggests the following theoretical propositions concerning the effectiveness of superintendent performance evaluation though this has yet to be corroborated by substantial empirical evidence.

1. The majority of superintendents are concerned about a lack of objectivity in some of the methods used to evaluate superintendents.

2. Evidence suggests that school board members may not be adequately prepared for evaluating superintendents.

3. The majority of board members and superintendents do not perceive performance evaluations as contributing to the overall effectiveness of the superintendency and the school system.

In Chapter V these propositions will be examined with respect to the research findings. In each case, support for or evidence against the propositions is analyzed as well as other possible circumstances related to superintendent evaluation.

Background of the Problem

The literature on cultural leadership is clear regarding the positive effects that leaders can produce. Deal and Kennedy (1982) pointed out that those factors to which leaders pay attention, to which they allocate resources, and to which they react strongly are the factors that members in the organization view as also important. The ability of a superintendent to work with all the stakeholders of the district in defining the critical beliefs of the organization is of primary importance.

Yet despite the importance of their role, historically, the literature on superintendent evaluation has not focused on using evaluation for the purpose of improved job performance (Bippus, 1985). In reality, there has been little use of the evaluation process as a means of providing the superintendent with positive direction in shaping his or her job-related behaviors, thereby decreasing the possibility that the district would be led in a direction that is viewed as desirable by the board (Braddom, 1986).

There has been a great deal of concern regarding the purpose of evaluation. Much has been written on the relationship of the evaluator and their power to control individuals. A competing perspective is that evaluation has as its aim the pure desire to improve the performance of another human being for his or her benefit.

The purpose of clarifying and specifying, preferably in writing, the purpose of superintendent evaluation is underlined by Foldesey (1989) who referred to the "hidden agenda" (p. 17) of evaluation. He cautions against the use of evaluation to justify "either the continuance or termination of employment with little or no consideration given to improvement."

When a school board evaluates its superintendent, it also creates opportunities to improve its own effectiveness. Evaluating the superintendent compels the board to understand the superintendent's management role and responsibilities, thus more clearly defining its own policy-making role. The process of setting goals and standards for the superintendent also assists the board in setting district goals and objectives and in planning to better meet the educational needs of the district's students (Dickinson, 1980). The American Association of School Administrators (AASA) and the National School Boards Association (NSBA) (1980) argued that evaluation will help in clarifying board expectations of the superintendent's performance and enable the superintendent to know how he/she stands with the board.

The Personnel Evaluation Standards (Joint Committee on Standards for Education Evaluation, 1988) emphasized the importance of evaluator credibility, referring to the necessity for evaluation procedures to be carried out by

qualified individuals who have the requisite skills, sensitivity, authority, and training to perform this function. Dillon and Halliwell (1991) suggested that school board members may not be adequately prepared to perform the job of evaluating the district superintendent. In their survey of New York school districts, they found that more than 43% of superintendents thought a major weakness of formal evaluation procedures is that they require evaluation skills that most board members do not possess.

There is a frequent lack of agreement regarding the evaluative criteria used as well as a lack of understanding about where the information for an evaluation may be gathered--the sources of information that can be tapped by the evaluator (Harrison & Peterson, 1986). A number of stakeholder groups, apart from the members of the board and the superintendent, could potentially have input into the evaluation process. These groups include: peers, for example, chief executive officers from other sectors; subordinates, such as administrative personnel, principals, and teachers; constituents, on whose behalf the administrator acts, namely, parents and the surrounding community; and finally, students in whose service the organization exists (Cullen, 1995).

The extent to which the evaluation of superintendent performance contributes to the effectiveness of the

superintendency and the school district is clearly fundamental to the existence of evaluations in the first place. According to the Personnel Evaluation Standards (Joint Committee, 1988), evaluations of educators should promote sound education principles, fulfillment of institutional missions, and effective performance of job responsibilities so that the educational needs of students, community, and society are met. Research on the extent of support for this important consequence is lacking and is limited to the perceptions of superintendents, to the neglect of other stakeholder groups.

If American schools and their boards of education are truly motivated toward the principles of continuous improvement, then gradual transformation must occur. Creating a quality-promoting environment by advocating workplace changes will take strong and effective leadership. Deming's Total Quality Management (TQM) theory, as summarized by Weaver (1992), is the basis of this concept and at the root of 360 degree feedback. As a data gathering tool, 360 degree feedback is used to enhance the effectiveness of performance management and the conducting of performance reviews. Condensed into four categories, Deming advocated positive customer relationships, employee empowerment, continual gathering and use of statistical

data, and the creation of an environment promoting unity and change (Weaver, 1992).

Definitions

1. Formal evaluation--a regularly scheduled assessment of the chief school administrator's performance using pre-determined criteria.

   a. There is a formal written board policy on superintendent evaluation.
   b. A formal instrument is used in the evaluation process.
   c. There is an on-going, regularly scheduled evaluation process.
   d. Written documentation of the evaluation is maintained in the district files.
   e. The superintendent's contract specifies the procedures and criteria of the evaluation process.

2. Informal evaluation--the process of judging the performance of the chief school administrator that is not handled in a systematic manner.

   a. Infrequent and sporadic evaluations are conducted, as needed.
   b. The evaluation is a verbal exchange and is not recorded.
   c. The procedure for the evaluation process is unstructured and changes frequently (Intress, 1985).

3. Formative evaluation--a formal method of evaluation in which the person being evaluated is given on-going feedback for the purpose of improving undesirable job performance behaviors and reinforcing desired behaviors.

4. Summative evaluation--a formal method of evaluation in which the person being evaluated is given a summation of his or her performance at the end of a set period of time.

No attempt is made to shape behaviors; the summation is simply shared.

5. Effectiveness of evaluation--for the purpose of this study, which is concerned with the context of formative evaluation, the extent to which both parties (superintendent and board president) share a common understanding of the evaluative criteria and sources of information used and then base professional development of the superintendent upon knowledge gained by measuring the superintendent's performance on the basis of these criteria and the feedback from sources of information.

6. 360 degree feedback--a data gathering tool used to enhance the effectiveness of performance evaluations. The 360 degree feedback is not the performance appraisal document. The feedback process provides the board with input as to how the superintendent performs his or her job. The feedback comes from a total of 12-20 respondents or respondent groups who have had direct contact with the superintendent. Feedback is gathered from selected school community stakeholders via a specially designed survey which also accommodates comments. Typically the feedback is shared with the superintendent for his or her perusal in addition to the summative evaluation document.

7. Superintendent--"the chief executive officer of the school system appointed by and directly responsible to the

board of education for the discharge of his or her responsibilities. The superintendent acts in accordance with the policies, rules, and regulations established by the board and the laws and regulations of the state and federal government. The administration of the entire school system is delegated to the superintendent" (Candoli, Cullen, & Stufflebeam, 1997, p. 37).

8. Leader--a person, who, by word and/or personal example, markedly influences the behaviors, thoughts, and/or feelings of a significant number of his or her fellow humans (Gardner, 1995).

9. School culture--"a pattern of basic assumptions--invented, discovered, or developed by a given group as it learns to cope with its problems of external adaptation and internal integration--that has worked well enough to be considered valid and, therefore, to be taught to new members as a correct way to perceive, think, and feel in relation to those problems" (Schein, 1992, p. 12).

Research Questions

The research questions addressed in this study include:

1. What are the purposes of the superintendent's evaluation as perceived by the superintendent and the board members?

2. What criteria should be utilized in the evaluation process as perceived by the superintendent and the board members?

3. How does the use of multiple sources of information or 360 degree feedback impact the board members' ratings of the superintendent?

4. Does the use of multiple sources of information or 360 degree feedback result in the board providing the superintendent a more detailed and directional plan for professional growth of the superintendent? If so, in what ways?

5. Does the use of multiple sources of information or 360 degree feedback impact the importance of the evaluation as perceived by the superintendent? If so, why?

6. How does the use of multiple sources of information or 360 degree feedback impact the overall effectiveness of the superintendent evaluation process as perceived by the superintendent and board members?

Significance of the Study

This study will contribute to the on-going effort to determine how best to evaluate the performance of school superintendents. The underlying premise of current literature on school culture, and how it relates to school improvement and ultimately school reform, is that all parties should be clearly aware of the beliefs and practices

of the district. There can be no area where this is more critical than in the understanding between boards and superintendents. They must mutually understand what it is that they are about as a district, and these beliefs must be translated into board policies that can be implemented by the superintendent. The issue of deciding the effectiveness of the superintendent in doing this is imperative to the future translation of beliefs into practice. For a school district's culture to be defined and developed, it is of utmost importance that the superintendent be made aware of his or her strengths and weaknesses in this process. Open communication in such a system is essential. The superintendent must understand what the board desires and hope that the board does not change its membership or goals too frequently.

When one considers the negative impact that the replacement of a superintendent can have on a school district, the importance of having an evaluation system that stimulates and sustains true leadership growth becomes evident. The superintendent must also realize how his or her performance behaviors exhibited with all stakeholders of the organization are key in moving the district forward or causing it to become stagnant.

There is a growing interest in studying the evaluation of superintendents (Weiskittel, 1988). However, Buchanan

(1981) noted that lack of procedures of superintendent evaluation is a significant problem. The areas of procedures that increase a common understanding of the purposes for the evaluation sources, criteria, and sources of information must be studied more thoroughly. An underlying premise to performance evaluation is that there must be a clear understanding of the desired job-related behaviors between the board and superintendent. Evaluation is for the purpose of improving performance in such a system.

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

This study will investigate the perceptions of only one superintendent and one board of directors. This study will not be generalizable (Yin, 1994); however, "the particulars of the study serve to illuminate larger issues, and therefore, are of significance" (Marshall & Rossman, 1989, p. 119). The information obtained and shared will contribute to the body of knowledge of superintendent evaluation and how it can better contribute to the growth of the superintendent. This study will be conducted during the period of time in which multiple sources of information or 360 degree feedback will be initiated into the formal evaluation process of the superintendent.

Methodology

Qualitative research methods will be used in this study to investigate and describe the perceptions of the superintendent and the board members during the annual formal evaluation process. The subjects of the study (superintendent and board members) will be conducting the school district's established process for annually evaluating the superintendent. The researcher will study and describe the process and its ultimate effectiveness as perceived by the superintendent and board over a 6-month period.

The school board and the superintendent live and operate within a bounded system, the school district. The study of the bounded system searches for an understanding of the particular case, in its idiosyncracy and complexity (Stake, 1988).

Goode and Hatt (1952) maintained that case study is not a specific technique but rather a way of organizing social data so as to preserve the unitary character of the social object studied. The focus is the case, not a whole population of cases. One understands the uniqueness of individual cases and does not generalize beyond that uniqueness. This school district itself is a single institution. It has character, it has totality, and it has

boundaries. This researcher will tell the story of this bounded system of one particular school district.

It will be important to understand which story to tell. Different researchers have different conceptualizations of the problem and set different boundaries for the case. Ideas change even during the course of the study. Howard Becker, and his colleagues Geer, Hughes, and Strauss (1961) in their study, Boys in White, described what they termed the developmental perspective which causes a shift in orientation. As information accumulates and artifacts surface, like lampposts illuminating the unity and wholeness of the bounded system, the researcher must confine attention to those aspects that are relevant to the research problem at the time. This allows the researcher to acquire understanding through naturalistic generalization rather than scientific generalization.

A case may not be representative, but the process may be typical and worth the attention of the reader. To analyze the perceptions of the superintendent and the board undertaking the annual evaluation process, the following exploratory case study methodology was used during the noted time frames:

1. A Survey Instrument: The survey instrument was developed on the basis of literature reviewed and informal discussions with educational administrators, professors,

public school superintendents, and board of education members. The survey was administered to the superintendent and board members before the evaluation process. The survey was piloted with two former board members from the case study school district and two superintendents before use to establish validity. The purpose of the survey instrument was to identify the current status of the superintendent evaluation process regarding purpose, criteria, sources of information, and effectiveness as perceived by the superintendent and board. Basic descriptive statistics was used to analyze the data in relationship to similar data found in the literature regarding these same constructs.

2. Interviews: Two sets of open-ended and semistructured questions with probes were developed aimed at addressing the research questions of the study. The superintendent and board members will be interviewed before the formal superintendent evaluation process commenced in February, 1998, and after the summative evaluation conference between the board and the superintendent occurred in May, 1998. The interview questions were pilot-tested with two superintendents and two former board members.

3. Observations: Observations were made of scheduled interactions of the evaluation process which included but were not limited to: sessions held for the purpose of collecting feedback from respondents, selected board work

sessions for the purpose of addressing the superintendent's evaluation, inservice sessions for the purpose of implementation of 360 degree feedback in the district, and board meetings addressing the superintendent's evaluation and/or possible implications of the superintendent's evaluation that occurred from February through May 1998.

Summary

This case study identifies, relates, and describes the total evaluation process undertaken by an Iowa public school district. It focuses most specifically on how that process is perceived by the superintendent and the board members of the school district.

Because there is a lack of literature relating to administrator evaluation and because this is particularly marked in the case of evaluation of school district superintendents, research into the practice of superintendent performance evaluation as a basis for promoting improved practice is an area of importance. The critical role school district superintendents play in promoting the effective education of America's children and youth should not be underestimated.

> The public interest is no less at risk from incompetent school administrators than from incompetent doctors, lawyers, and accountants; all such public servants should be carefully evaluated throughout their professional careers. However, although systematic evaluation of administrators is important and while most U.S. school districts regularly evaluate

superintendents, the quality of such evaluations has remained inadequate. (Stufflebeam, 1995b, p. 305)

The documented voices of one superintendent and the board members of an Iowa public school district add to the understanding of the role of superintendent evaluation in providing meaningful guidance in the superintendent's professional growth.

CHAPTER 2

REVIEW OF THE LITERATURE

Historical Perspective

An overview of the history of the school district superintendency in the U.S. and an analysis of the duties and skills required of the superintendent provide a useful framework for superintendents and board members to develop and articulate a common view of the superintendency within the contemporary American school system. There are approximately 15,500 school districts in the country. Many are small, inefficient units where the office of superintendent is not cost-effective and is of questionable value (Candoli et al., 1997).

A redefinition of the role of the superintendent may be in order with recent organizational changes, such as site-based management, site councils, educational vouchers, decentralization, charter schools, and privatization. Thus, systems for evaluating the district's chief executive officer should consider the important issue of the need for the role in the first place.

With the development of a commercial and industrial base, cities started to grow, and the school districts serving those cities also grew. With this growth, school systems recognized the need for more direction and supervision than the lay board of education could provide.

On July 1, 1837, the first superintendent of public schools was chosen in Louisville, Kentucky (Reller, 1935). Noncity areas did not establish the superintendency until the 20th century. Each school district had one-room, eight-grade schools and needed only minimal supervision that was adequately provided for with the creation of the county superintendency (Reller, 1935).

The development of the superintendency in the United States was the result of two major events. The first event was the famous Michigan Supreme Court decision in 1874 on the Kalamazoo case, which established the right of the local school boards to tax property owners for support of elementary and secondary education. The other major event that led to the expansion of multicampus school systems, and ultimately to the need for a superintendent, was the invention of the motor vehicle and the ability to move people from one place to another. The evolution of the school bus fleet was an important element in the creation of the massive consolidated school systems seen today (Candoli, 1995). The growth of the superintendency paralleled the growth of the public schools in the United States and was linked to the evolution of school boards.

Many early superintendents were like secular clergy serving as role models and spreaders of the democratic ethic. They faced challenges to the survival of the common

school movement itself. By the end of the 19th century, most superintendents had shed the role of supervisor of students and teachers to become managing administrators (Callahan, 1966).

Ellwood Cubberley (1920), a former superintendent who conducted most of the early research on the superintendency, described the transition of gaining operational authority of the school district from the board as the struggle to become true professionals. The grand old men of the superintendency, Cubberley, George Strayer, and Frank Spaulding, advocated an executive type of leadership (Callahan, 1966).

Daniel Griffiths (1966) discussed the first phase in the development of the role of the superintendency. During this phase, superintendents are described as quasi-businessmen who were attempting to form school districts into industrial models through principles of scientific management. A significant degree of control over decision-making was moved from boards of education to the superintendent; the resulting bureaucracy still guides the practices of some local school boards today. Many researchers believe that hierarchical structures are a major obstacle to school reform (Candoli et al., 1997).

The American superintendency has undergone dramatic changes over the years of its existence. The evolution of

the position started with the concept of the superintendent as the master teacher and the leader of the students and teachers of a school system. From that stage, the position also included the superintendent acting as the manager of the school system and held accountable by the board for all the activities of the system. Then the progression moved further toward the concept of the superintendent as the chief executive officer of the school organization and as the expert manager of the organization. The current notion sees the superintendent as responsible for developing and implementing a variety of different models to respond to the many publics that make up the modern school system (Candoli et al., 1997).

Due to the social changes since the 1950s, today's superintendent must perform very different tasks than did superintendents of the past. The dramatic civil upheaval and immense social tension of the 1960s and 1970s have caused significant changes in the American public school systems that continue today. Issues such as equal educational opportunity for minority students, community control of schools, intergovernmental and interagency cooperation, compensatory programs, and desegregation resulted in a greater focus on the training and selection of superintendents (Candoli et al., 1997).

Thomas E. Glass (1992) wrote:

Perhaps the greatest challenge to the superintendency
during the civil rights era was the encroachment into
the authority of the superintendency by a more involved
citizenry and school board. At the same time, a wide
array of legislative mandates also were lessening
school system autonomy. The superintendent's
traditional role of "expert" was challenged by many
parents and board members because the schools were not
meeting community expectations. The disenchantment
with American schools was especially pronounced in
large urban centers, where increasing numbers of
disadvantaged students dropped out or were front page
news. (p. 98)

Glass found that most researchers on the superintendency

favor a model of the superintendent as chief executive

officer, a concept partially borrowed from corporate

America.

Evaluation of the Public School Superintendent

With little progress made in evaluation efforts and the

development of evaluation instruments, the main method for

evaluating superintendents has been through the

credentialing process. Typically, certification for the

superintendency requires at least a Master of Arts Degree

(MA) in Educational Administration. However, states are

increasingly requiring candidates for the superintendent's

certificate to meet additional requirements. Texas, for

example, requires candidates to take and pass an examination

before receiving full certification as a superintendent.

Some states require the masters degree as a prerequisite for

taking the course work required for certification as a

superintendent. The mandated course work usually requires 30 semester credit hours beyond the MA and often includes specified courses to be taken by candidates. In addition, several states are moving toward the requirement of an internship with a practicing superintendent before certification is awarded. In a few cases, typical certification requirements have been waived so that noneducators, such as attorneys, could be appointed to the superintendency (Candoli et al., 1997).

Work undertaken by the Center for Research on Educational Accountability and Teacher Evaluation (CREATE), however, has indicated the need for a further aspect of superintendent evaluation, namely, providing guidelines for selecting candidates for the superintendency.

> This function appears particularly important as it has become clear to CREATE staff involved with the superintendent evaluation project that current systems for selecting superintendents need improvement, a view substantiated by the fact that the average tenure of superintendents is less than three years. If superintendents are as important to the quality of district schools as one believes they should be, then such a short tenure cannot be beneficial to schools. The need for further research in this area, and the development of a model for superintendent selection, are assuming increasing urgency. (Stufflebeam, 1995b, p. 305)

Standards for certification vary from state to state, but many states are approaching consensus that persons certified as superintendents must be well qualified in terms of preparation and education. Reflecting this growing

consensus on the requirements of the superintendency, the American Association of School Administrators (AASA, 1993) established standards which specify the skills and knowledge that those consulted agree should form the basis of superintendent preparation, certification, and professional development. These competencies were developed from earlier AASA publications (AASA, 1982; Hoyle, English, & Steffy, 1985, 1990). They were subject to an extensive consultation process involving a national "Jury of 100" and members of the National Council for Educational Administration and the AASA Executive Committee. However, a major group not included in the consultation process was the National School Boards Association, which represents the employing body for superintendents and whose members conduct superintendent selection and evaluation procedures.

In light of findings by Carter, Glass, and Hord (1993) regarding the evaluation of superintendent performance as judged mainly by the personality of the incumbent and the state of board/superintendent relations, it is important to define the competencies and duties of the superintendent and to adopt these as evaluation criteria. A carefully designed evaluation process could help de-emphasize political factors and extend average superintendent tenure by assisting and encouraging the board and superintendent to focus strictly on performance.

It is crucial for the prospective superintendent to understand that the board of education will determine the extent to which the evaluation process shall be an open and objective process or a closed and subjective process. This is an important aspect of the superintendent's job and should be discussed during the selection process; in particular, the potential evaluation design should be outlined in brief. (Candoli et al., 1997, p. 37)

Purposes of Superintendent Evaluation

The literature identifies a number of purposes for superintendent performance evaluation. Robinson and Bickers (1990) cited the improvement of the educational performance of the nation's schools as the basic reason for superintendent evaluations and pointed to the effect the superintendent has, as chief executive officer in the school district, on principals and teachers and through them the instruction received by students in the classroom. State school board policy documents make reference to this purpose. For example, the California School Boards Association (Lindgren, 1985) noted that the underlying common goal is to work toward the improvement of education, and the New Jersey School Boards Association (1987) gave the following evaluation purpose: to "improve the quality of the education received by the pupils served by the public schools" (p. 3). Moreover, professional education associations agree that the primary purpose of evaluation is to improve instruction in the nation's schools (Foldesey, 1989).

The AASA and the NSBA (1980) maintained that an important purpose of superintendent evaluation is to improve communication between the board and the superintendent. The establishment of a formal evaluation process undertaken regularly can be a useful mechanism for keeping channels of communication open (Robinson & Bickers, 1990). The need for good communication between boards of education and superintendents is underlined by Hord (1992), who in her interviews with experienced and trainee superintendents noted an emphasis on the importance of open communication with the board.

A number of sources attempt to clarify the roles of the superintendent and the board members in running the school district as a purpose of superintendent evaluation that is virtually a side effect of the process itself (Dickinson, 1980; Robinson & Bickers, 1990). In establishing criteria that will form the basis of the evaluation of the superintendent, the board is compelled to define in some detail the role of the superintendent and to distinguish this from the role of the board. The board, therefore, is also forced to clarify its own role (Glass, 1992; Hord, 1992).

Superintendent evaluation can be useful in fostering a high level of trust between the superintendent and the board. Improved relations can enable the superintendent and

the board to work together in serving the interests of the district's school children (Bippus, 1985; Robinson & Bickers, 1990). Hord (1992) found that the importance of healthy school board and superintendent relations should not be underestimated. In her interviews with experienced superintendents, Hord found that troubled relationships often resulted in the departure of the superintendent. Similarly, Hall and Difford (1992), in their naturalistic study of the "exiting phenomenon" in superintendents, noted that respondents referred to the importance of the relationship between the school board and the superintendent and the part this plays in causing superintendents to want to leave their jobs.

Another cited purpose of superintendent evaluation is to inform the superintendent of the board's expectations in terms of job performance (Bippus, 1985; Robinson & Bickers, 1990) and to provide feedback to the superintendent on how well these performance expectations are being met (Bippus, 1985; Lindgren, 1985). The AASA and the NSBA (1980) included in their list of the purposes of superintendent evaluation the idea that such evaluation will "clarify board expectations of his (her) performance" and "enable the superintendent to know how he (she) stands with the board" (p. 48). Clearly, a thorough understanding of performance

expectations and feedback on how well these are met will enable superintendents to perform their jobs more effectively.

According to Robinson and Bickers (1990), to improve planning by the process of setting goals and establishing priorities for the superintendent is a meritorious purpose of superintendent evaluation. In addition, this process helps to focus the board on the important task of setting district goals and objectives, thus further promoting educational planning within the school district. The California School Boards Association (Lindgren, 1985) argued that improved planning will ensure a better use of time and talent and, ultimately, the more efficient management of the school district. It is typical that school district goals and priorities change from year to year so that annual evaluation of the superintendent provides a useful forum for the board and superintendent to establish new priorities and changes in the superintendent's responsibilities for the coming year (Robinson & Bickers, 1990).

The use of superintendent evaluation to identify strengths and weaknesses and to determine ways to improve performance and effectiveness is noted by the California School Boards Association (Lindgren, 1985). The American Association of School Administrators and the National School boards Association (1980) also cited the identification of

areas of strength and weakness of the superintendent's performance as a purpose of the evaluation process. Clear definition of such strengths and weaknesses enables the superintendent and members of the board to build on and make good use of the superintendent's existing strengths, on the one hand, and to establish professional development and training needs, on the other hand.

Evaluations can be used as evidence to assist in decisions regarding personnel such as salary levels, merit awards, contract renewal, and contract termination (Robinson & Bickers, 1990). An early publication of the American Association of School Administrators recommended that the superintendent's contract include provision for evaluation as a mechanism for "roll over" of the contract (Candoli, 1986). Candoli cited the following as typical of the phrasing that currently appears in superintendent's contracts: ". . . the board will hold a personnel session to evaluate the superintendent's performance. Following such evaluation, the board, in its sole discretion, may extend the term of this contract for one additional year" (p. 349). The use of evaluation results as a basis for decisions regarding reemployment and salary increases is also noted by the California School Boards Association (Lindgren, 1985).

Evaluation of the superintendent will enable the board to hold the superintendent accountable for carrying out its

policies and responding to its priorities according to the AASA and the NSBA (1980). The California School Boards Association (Lindgren, 1985) also referred to the use of evaluation in providing for accountability on the part of the superintendent in carrying out district policy. A slightly different perspective is that of Robinson and Bickers (1990) in their reference to the use of superintendent evaluation in demonstrating to district staff that administrators are held accountable for the performance of the staff they supervise.

Many state education codes require that governing boards establish a uniform system of evaluation and assessment of performance of all certified personnel such as the Stull Bill in the state of California (Lindgren, 1985). Similarly, the New Jersey Administrative Code requires boards of education to annually evaluate the tenured Chief School Administrator (N.J.A.C. 6:3-1.22; New Jersey School Boards Association, 1987). The Texas Education Code stipulates that the State Board of Education shall adopt an appraisal process and criteria on which to appraise the performance of school administrators (T.E.C. 13.354; Texas Education Agency, Division of Management Assistance and Personnel Development, 1990).

Surveys of superintendents' and school board presidents' perceptions of the major purposes of formal

superintendent performance evaluations are inconclusive. For example, Robinson and Bickers (1990) in their nationwide survey and Edington and Enger (1992), who used questions from Robinson and Bickers work to survey Arkansas school board presidents, posed questions related to only one specific purpose of superintendent evaluation, namely, the use of evaluation results to determine compensation. The results of Robinson and Bickers' survey suggested that, for the majority of superintendents (approximately 72%), salary levels are unrelated to performance evaluation outcomes, and this is more likely to be true in very small districts with an enrollment of less than 300. However, for a minority of superintendents (nearly 25%), some part of their compensation is based on evaluation results, and this is more often the case for superintendents in suburban areas.

Glass (1992) asked superintendents what they considered the major reasons for their evaluations by school boards. Only a small minority (approximately 13%) cited the determination of salary levels as a major purpose. However, unlike Robinson and Bickers (1990), Glass found that the use of performance evaluations to determine salary levels is less likely to be true in large districts with enrollments of 25,000 or more students. According to Glass, the major reasons superintendents gave for evaluation by their boards are primarily to establish systematic accountability

(selected by 54%) and to establish performance goals (32%). The next two most important reasons given by superintendents were to assess performance with standards (29%) and to identify areas needing improvement (25%). Less than 2% of superintendents thought the major reason they are evaluated by their boards is to provide evidence for dismissal, and a substantial number (18%) saw their performance evaluations primarily as intended to comply with board policy (Candoli et al., 1997).

These findings, however, differ from those of Dillon and Halliwell (1991), who surveyed both superintendents and school board presidents in selected districts in the state of New York State. The most frequently cited response given by both superintendents (49%) and board presidents (58%) was to strengthen working relationships with the community and between the board of education and the superintendent. A number of differences in the way the surveys were conducted may have contributed to these discrepant findings, including the fact that a different set of questions was asked in each case.

In his study of 36 Wisconsin school districts, Mitchell (1994) found that misperceptions between boards and superintendents in regard to the purpose of superintendent evaluation were common. Mitchell's study showed that superintendents think one of the top three reasons for an

evaluation is to determine the superintendent's salary. But board presidents ranked the determination of the superintendent's compensation as 12th among their reasons for evaluation. Wisconsin board presidents ranked helping the superintendent work with administrators as one of their top three purposes of superintendent evaluation (Mitchell, 1994).

According to Mitchell (1994), board presidents and superintendents vary greatly regarding their respective perceptions and expectations of the role of administrative leadership.

> The discrepancies between what a school board wants and what a superintendent thinks it wants surely contribute to the revolving-door superintendencies that create such turmoil in many school districts. I believe frequent, fair evaluations can help school boards redirect their superintendents so they can avoid the expense and upheaval of a change in leadership. (Mitchell, 1994, p. 33)

In summary, most superintendents are not in tenure accruing positions. They serve at the pleasure of the school board and are usually employed under terms of a negotiated contract. Carter and associates (1993) highlighted an important finding that the performance of the superintendent is judged mainly by the personality of the incumbent and the state of board/superintendent relations.

Criteria Used to Evaluate Superintendents

Superintendents should be evaluated only with respect to those things for which they have operational responsibility and can directly affect themselves (Robinson & Bickers, 1990). Therefore, it is important for the board and the superintendent to clarify their respective responsibilities before the start of each evaluation period. This implies that the criteria for evaluation should be highly related to the superintendent's job description, which should be reviewed periodically and should be kept up-to-date. The Joint Committee on Standards for Educational Evaluation (1988) noted that fundamental requirements of fair and valid performance evaluations are to develop valid job descriptions, keep them up-to-date, and use them as a basis for evaluating job performance.

Glass (1992) investigated the extent to which superintendent job descriptions are used to establish the criteria for performance evaluation. He found that the vast majority of responding superintendents (approximately 88%) do in fact have written job descriptions, a moderate increase from 1982 when 76% of superintendents had job descriptions (Cunningham & Hentges, 1982). However, of those with job descriptions, only a little more than half (57%) are evaluated according to criteria specified in the job description, representing about the same level as the

1982 Cunningham and Hentges study when 59% of superintendents were evaluated on the basis of criteria contained in the job description. Glass viewed these findings as reinforcing the notion that the quality of the interpersonal relationships between the superintendent and board members is really what counts. He also suggested that many job descriptions are taken from books or manuals with little thought as to whether or not the criteria fit with the needs and priorities of the school district.

This finding is echoed by the comments of Dr. Joyce Annunziata, Director of Evaluation for the Dade County (Florida) Public Schools. Dr. Annunziata stated:

> During the first year, the honeymoon period, the Board and the Superintendent perform a ritual dance where give and take and conciliatory politeness reign. By year two, the Superintendent has recognized problems and set programs in motion and put people in place to address these identified needs. Programs and/or personnel can be politically damaging to the Board. Hence, by year three (or earlier), the marriage between the Board and the Superintendent becomes shaky. (Candoli, 1995, p. 342)

Dr. Annunziata (Candoli, 1995) also made the point that the apparent importance of personality and political factors in board decisions to hire, judge, and fire superintendents underscores the need for efforts to define the competencies and duties of the superintendent and to adopt these as evaluation criteria. She maintained that a carefully crafted evaluation design could help deemphasize political factors and extend average superintendent tenure by

assisting and encouraging the board and superintendent to focus strictly on performance.

Other sources of evaluation criteria include state mandates, school board policies, the superintendent's job contract, the superintendent's own description of the job, and district goals (Dickinson, 1980; Robinson & Bickers, 1990). The literature is also colored with rich but sometimes ill-defined terminology of superintendent evaluation which includes <u>duties, responsibilities, performance standards, traits, characteristics, skills, competencies, management objectives</u>, and <u>goals</u>. A useful system for categorizing types of evaluation criteria is outlined by MacPhail-Wilcox and Forbes (1990). This system describes three main types of evaluation criteria: administrative traits, administrative processes and behaviors, and administrative outcomes. Similar types of criteria are identified in Candoli (1986) under the headings personal qualities, inputs, and outputs.

Nationwide surveys of the criteria used to evaluate superintendents show a high degree of consistency in their findings. Robinson and Bickers (1990) noted that the two criteria most frequently identified as having a high degree of importance in the evaluation of superintendents are board/superintendent relationships (identified by 75% of respondents) and general effectiveness of performance

(indicated by 73% of superintendents). Likewise, Glass (1992) found that the two most important criteria for evaluating superintendents were general effectiveness (according to 88% of respondents) and board/superintendent relationships (selected by 75% of superintendents).

Robinson and Bickers (1990) identified the next two most important criteria in superintendent evaluation as budget development and implementation (57%) and level of agreement between board/superintendent priorities (51%). Glass found the next two important criteria to be management functions (75%) and budget development/implementation (66%).

A state survey done in Arkansas by Edington and Enger (1992) revealed findings differing slightly from nationwide surveys done by Robinson and Bickers (1990) and Glass (1992). Their survey ranked the two most important criteria in evaluating superintendents as general effectiveness (86%) and leadership (84%), whereas the next two most important criteria were budget development and implementation (75%) and knowledge in the field of education (71%).

In recent years, there has been much interest in the use of student test scores as a basis for evaluating school systems, individual schools, and educational professionals. The idea that the superintendent should only be evaluated on those things for which the superintendent has operational responsibility and can directly affect raises questions

about the use of student test scores to evaluate school district superintendents (Cullen, 1995).

The use of student achievement as evaluation criteria was not investigated by Glass, but Robinson and Bickers (1990) found such criteria to be of high importance in approximately 19% of districts and of moderate importance in nearly 45% of school districts. The use of student-derived data for the evaluation of school superintendents is an issue that has not yet been fully explored (Candoli et al., 1997).

The New Jersey School Boards Association (1987) suggested that the board's primary concern should be whether the superintendent is making progress toward district objectives but indicated that the board should also concern itself with the leadership style of the superintendent. The Association referred to <u>the executive skills</u> of the superintendent and defined the parameters of such skills which includes the avoidance of categorizing personal traits as executive skills.

Glass and Martinez (1993) pointed to research indicating the importance of the right chemistry between the superintendent and the board. Generally, problems arise not because of professional shortcomings but because of errors in political judgment (Hord & Estes, 1993). From wherever the criteria are drawn and with whatever types of criteria

are chosen to form the basis of the evaluation, it is preferable for the criteria to be defined and agreed upon by the superintendent working in conjunction with the board (Redfern, 1980; Robinson & Bickers, 1990).

Sources of Information Used in Evaluation

Evidence from nationwide surveys suggests that stakeholder groups provide input into the evaluation process in very few districts. Glass (1992) found that the board consults others during the evaluation process in less than 3% of districts. Similarly, Robinson and Bickers (1990) estimated that other individuals or groups have input in no more than about 10% of districts. Interestingly, Robinson and Bickers also found that input from teachers and parents tends to be included in the evaluation process more often in smaller, rural, and small-town school districts than in large, urban, and suburban districts. Similarly, Edington and Enger (1992) found this to be true for districts with smaller enrollments in Arkansas. In Kansas, Anderson and Lavid (1985) reported that information provided by patrons of the community was used in roughly 12% of districts.

Input from students was utilized in approximately 2% of responding districts in Robinson and Bickers' 1990 nationwide survey. In Arkansas, Edington and Enger (1992) reported that students have input in about 5% of school districts with formal evaluation processes in place, whereas

in Kansas, according to Anderson and Lavid (1985), students provided information used to evaluate superintendents in approximately 8% of districts in the first year and no districts whatsoever in the second year.

Therefore, factors related to the size and complexity of the district and the nature of the links it has with the community may make it more or less practicable to involve stakeholder groups in the evaluation of the superintendent. The issue then may be less one of interest and effectiveness and more one of feasibility and know-how. What may be needed, therefore, are practical methods for obtaining and using input from such groups in the evaluation of school district superintendents.

These figures may reflect a lack of interest in the use of information provided by stakeholder groups in the evaluation of superintendents. Anderson and Lavid (1985) maintained, based on data obtained in their study, that there is a decreasing interest in surveying people most affected by the educational system.

Weiskittel (1988) investigated common understandings of the sources of information used in a superintendent's evaluation. When superintendents and board presidents were asked to rank the top three sources of information, the superintendent's performance at board meetings was ranked in the top three by most respondents. The superintendent's

periodic reports was ranked second, and monthly reports was ranked third by most respondents.

Superintendents showed an interesting variance within their group in the Weiskittel (1988) study. She found that

> Superintendents who held a doctor's degree perceived that (a) subordinate administrators, (b) teachers, and (c) community members were important sources of information used in the evaluation process. In contrast, superintendents who held a bachelor's and a master's degree did not perceive these as important sources for the evaluation process. (p. 155)

Covey (1996) maintained that high performance is a by-product of a culture based not on any sense of entitlement or perfectionism but squarely on the principle of value-added. Based on models developed for the business community, Covey suggested seven key ways to lead people in harmony with the principle of value-added; one key way is 360 degree feedback. Three hundred sixty degree feedback, or multi-rater appraisal as it is sometimes called, is a data gathering tool used to enhance the effectiveness of performance management and the conducting of performance reviews. The 360 degree feedback is not the performance appraisal. The feedback process provides the board with input as to how the superintendent performs his or her job. The feedback comes from a total of 12-20 respondents/ respondent groups who work with the superintendent. The feedback is the basis for higher quality performance appraisal.

Better than many developmental tools, 360 degree feedback can get prompt, real, and measurable changes in leaders' performance behaviors. Questionnaires are used to gather information about a leader's behavior from those in a position to witness it on a daily basis (Yukl & Lepsinger, 1995). One of the most consistent findings of 360 degree feedback is that one's view of his/her abilities, personality, strengths, and areas of improvement is quite different from others with whom they work (Marchese, 1995). On the other hand, Mark R. Edwards, a professor of agribusiness and resource management at Arizona State University and a leader in 360 degree feedback, maintained that there is high agreement between the employee and the respondents who rate their performance in 95% of the cases (Edwards & Ewen, 1996).

The feedback tool used should be well-researched, behavioral, personal, multidirectional, and positive. The questionnaires are more concerned with personality and attitude than they are with on-the-job competence. The procedure is designed to improve performance with the spotlight on talents, ethics, leadership, personality, and habits (Edwards, 1995). A successful feedback system depends on enlisting the cooperation of a sufficient number of respondents who have knowledge about the leader's behavior (Jones, 1995).

Superintendents who have tried 360 degree feedback for their own evaluations have found that board members have more valid and reliable data to use in judging their performance. Thus, the feedback has credibility to both superintendents and school boards (Manatt, 1997).

Methods Used to Evaluate Superintendent Performance

The research findings relating to the methods used to evaluate superintendents suggests that the majority of superintendents are evaluated using checklists or rating forms. Glass (1992) found that this applies to 48% of respondents; Robinson and Bickers (1990) noted a figure of nearly 80% of superintendents; Edington and Enger (1992) found that 76% of school board presidents in Arkansas use such an instrument; and Anderson and Lavid (1988), in their study of new-to-site superintendents in Kansas, indicated that 74% are evaluated in this way.

Similarly, for most superintendents, their performance evaluation is discussed with them at a meeting of the superintendent and the board. Glass (1992) noted that this was true for 48% of respondents, and Anderson and Lavid found that this was the case for an average of 77% of superintendents over a 2-year period.

There is less agreement in the literature about other methods commonly used to evaluate superintendents. The use of written comments or essay format was noted by Robinson

and Bickers (1990) and Edington and Enger (1992) as used in evaluating 61% and 62% of the superintendents they surveyed respectively. This method was in conjunction with checklists and rating forms. However, Glass (1992) and Anderson and Lavid (1988) noted figures of 20% and 31%, respectively, from their surveys.

Direct observation of the superintendent by board members was identified as a common method of evaluation in the study by Anderson and Lavid (1988); they found an average figure of 71% for superintendents evaluated in this way. However, Glass (1992) calculated that only 11% of superintendents were evaluated using observation. And Robinson and Bickers (1990) estimated that less than 1% of respondents were evaluated on the basis of observation by an outside party.

Concern is expressed in the literature about a lack of objectivity in some of the methods used to evaluate superintendents. Anderson and Lavid (1988) noted that data collection, the methods employed, and the format for collection appear to rely less on objective data and more on feelings and opinions. These authors underline the need for boards and superintendents to ensure that data are collected in a systematic and objective way. According to Glass (1992), superintendents agree that the subjective opinions of board members often enter into evaluation processes.

Anderson and Lavid (1988) found that almost half of the boards of education surveyed created their own instruments rather than using an established evaluation tool. In view of this, Anderson and Lavid raised the question of the availability or knowledge about the existence of established superintendent evaluation instruments as well as the competency of superintendents and boards to design their own instruments. State school board associations recommended that boards review samples of established evaluation rating scales to identify an instrument that can be adapted to their own needs. Needs and priorities will vary from district to district. It is important for boards to have the flexibility to employ evaluation instruments tailored to their individual district (Candoli et al., 1997). However, such instruments should provide reliable and valid information concerning the performance of the superintendent. Boards and superintendents need technically sound and widely available superintendent evaluation instruments that permit flexibility of use.

Effectiveness of Superintendent Evaluation

The empirical evidence regarding the effectiveness of superintendent performance evaluation is minimal and conflicting (Anderson & Lavid, 1988; Crowson & Morris, 1992; Dillon & Halliwell, 1991; Robinson & Bickers, 1990). It cannot be said that a majority of superintendents and board

members perceive superintendent evaluation as contributing to the improvement of the superintendency or overall effectiveness of the school district.

Evidence suggests that school board members may not be qualified nor prepared to effectively evaluate the superintendent. The Personnel Evaluation Standards focus on the importance of evaluator credibility (Joint Committee, 1988). The majority of school district superintendents are evaluated by their school boards, many with input from the superintendent through the use of self-evaluation (Anderson & Lavid, 1988; Edington & Enger, 1992; Robinson & Bickers, 1990). The requisite skills for effective superintendent evaluation include sensitivity and authority, as well as specific training to perform the function (Joint Committee, 1988).

Booth and Glaub (1978) stated that the most frequent and negative error which school boards commit in evaluating their superintendent is omission. Redfern (1980) termed this the "no news is good news" (p. 31) approach to evaluation. This tends to be a common approach for many school boards until a crisis occurs; then the board hurriedly conducts an evaluation (Redfern, 1980).

Another grievous error in superintendent evaluation by school boards is using "ax-grinding" or pet peeves assessment (Redfern, 1980, p. 34). Bringing any ulterior

motives forward during the superintendent's evaluation destroys the efficacy of the process (Bippus, 1985).

Local school boards must be apprised of constructive evaluation methods which produce effective assessment for all involved. The National School Boards Association (1982) listed the most frequently made mistakes by local school boards as "undertaking evaluation without a clear understanding of what the superintendent should be doing, evaluating in a vacuum, thinking only in terms of correcting deficiencies, measuring performance without carefully constructed standards, and posturing as psychologists" (p. 41). Langlois and McAdams (1992) advocated an appraisal system that is structured and implemented as an ongoing in-service program on the relative roles and responsibilities of the superintendent and school board.

One cannot assume that school board membership brings with it the expertise or previous background of performance appraisal. The frequency of school board member turnover virtually assures that one or more members will be experiencing the process for the first time each year (Langlois & McAdams, 1992).

> Board members are at a disadvantage in evaluating the performance of their superintendent because their major opportunity for direct observation comes at school board meetings. Relationship with the school board and performance at public meetings, although vitally important, represent but a small part of the total duties of the superintendency. (Langlois & McAdams, 1992, p. 91)

Any superintendent who achieves anything of significance will have some vocal critics. Numerous controversies, from school closings to sex education issues, can distort the view of the superintendent in the eyes of the taxpayer and, ultimately, the school board member. These negative situations can occur just at a time when the superintendent most needs support and understanding.

The results of Weiskittel's (1988) study demonstrated the need for a comprehensive-collaborative evaluation model which includes: (a) self-evaluation, (b) job description, (c) jointly established goals and evaluation criteria, (d) interim progress reports, (e) written summary reports, and (f) a professional improvement plan. The evaluation process should involve four main task areas: delineating the information to be obtained and processed; obtaining the information; providing the information to the appropriate audiences; and applying the information to personnel decisions and improvement efforts (Candoli et al., 1997).

Summary

It is imperative that all local school boards provide a thorough, balanced, and straightforward process to formally evaluate their superintendent. The absence of such a process virtually guarantees that the satisfaction, effectiveness, and ultimately the tenure of the superintendent will be less than it could be. The

literature reflects the need for continued research to
identify the most important issues and problems in an effort
to improve superintendent evaluations.

CHAPTER 3

METHODOLOGY

This exploratory case study identifies and describes one Iowa public school district's superintendent performance evaluation process. This case study explores the perceptions of one superintendent and one school board of directors in regard to the purposes, criteria, sources of information, and general effectiveness of their superintendent performance evaluation process. Because the major focus of this study is to provide a thick description of one school district's superintendent evaluation process, the appropriate design is a qualitative case study.

The significant research questions considered in this study are:

1. What are the purposes of the superintendent's evaluation as perceived by the superintendent and the board members?

2. What criteria should be utilized in the evaluation process as perceived by the superintendent and the board members?

3. How does the use of multiple sources of information or 360 degree feedback impact the board members' rating of the superintendent?

4. Does the use of multiple sources of information or 360 degree feedback result in the board providing the

superintendent a more detailed and directional plan for professional growth of the superintendent? If so, in what ways?

5. Does the use of multiple sources of information or 360 degree feedback impact the importance of the evaluation as perceived by the superintendent? If so, why?

6. How does the use of multiple sources of information or 360 degree feedback impact the overall effectiveness of the superintendent evaluation process as perceived by the superintendent and board members?

The critical elements in conducting this study are: (a) selection of participants; (b) description of each participant, or subcase; (c) data collection; and (d) data analyses. Each of these elements is described in this chapter.

<u>Selection of Participants</u>

The participants in this study were selected by virtue of the school district studied. The Iowa public school district identified for this case study was undergoing transformation under the leadership of a progressive superintendent in his third year of tenure. The implementation of the 360 degree feedback process was added to the existing superintendent evaluation process as part of a three phase, 3-year plan to improve administrator evaluation throughout the district. This plan includes the

participation of all district administrators, from the
superintendent to building level principals, in staff
development regarding 360 degree feedback. This exploratory
case study addressed my own interest and the need for
expanded research on the evaluation of the public school
superintendent.

> There is widespread dissatisfaction, especially on the
> part of the public but among school professionals as
> well, concerning evaluations of school professionals,
> schools, and programs. Clearly, the time is right for
> evaluation researchers to speak authoritatively,
> usefully, and with a common voice concerning models,
> evaluation procedures, and involvement processes that
> schools can use to improve their evaluations and
> strengthen their communications with the public and
> their public credibility. (Stufflebeam, 1995a, p. 317)

The literature reveals a need for strategies to
lengthen the tenure of public school superintendents
nationwide, most specifically in the semi-urban and urban
areas. The tenure of the public school superintendent is a
critical component to effective school improvement. Mutual
understanding between the superintendent and the school
board is essential and must be based upon open communication
and a strong working relationship between the superintendent
and the school board. If the business of the school
district degenerates into a "tug-of-war" between conflicting
interests, the superintendent's career can be unduly
burdened and the school district needlessly disrupted with
the departure of a superintendent (Dittloff, 1982).

According to Cunningham and Gresso (1993), the average length of tenure for a superintendent was reported to be 6.47 years in 1992, whereas recent reports from the National School Boards Association (1992) suggested that the average term of large-district superintendents is 2.5 years. Effective communication techniques, enhanced by regular evaluation, can bring differences and misunderstandings to light so that they can be effectively handled (Haughland, 1987).

<u>Description of Case Study School District</u>

This case study of Hawkeye Community Schools, a K-12 public school district set in an urban city of 65,000 in northeastern Iowa, explores the process the school district used to evaluate their superintendent. A seven-member Board of Directors governs Hawkeye Community Schools.

Several factors were considered before selecting this school district for exploratory case study. The first factor included the size and location of the school district. Hawkeye Community Schools is one of the larger districts in the state of Iowa with a K-12 enrollment of nearly 11,000 students. The district employs approximately 1300 staff members, both certified and non-certified.

Demographics were also considered. This school district is somewhat unique in that it is made up of a very diverse student population given the homogeneous nature of

the surrounding rural communities. Thirty percent of the students are minority with the largest minority group being African American. Forty-five percent of the school population is eligible for free and reduced lunches.

The agricultural crises in the 1980s significantly impacted the community and schools. A major tractor works and a meat packing company, the largest area employers, reacted to the economic trend by downsizing their work forces. This affected many families with school-age children. The district's enrollment, peaking at 20,000 students in the '70s, declined to the current 11,000. As a result the district closed schools, reduced staff, and tightened the operating budget.

In 1991, a new meat processing plant was established on the outskirts of the city, creating an economic gateway for immigrants to the community and school district. Hispanic workers and their families came from Mexico to fill new job openings. In 1996, with an increasing threat to their survival, the first families from Bosnia immigrated to the area. Both groups have brought their culture, traditions, and aspirations to this community. Limited and non-English-speaking children continue to be enrolled in this school district in dramatic numbers.

Further, 3 years ago the newly appointed superintendent determined that the previous administration accrued a debt

of nearly $10 million. After meeting with state officials, permission was given to the district to over-extend its spending authority. A strict financial plan was implemented to continue operation of the district and pay down the debt. Once again staff and programming budgets were reduced to maintain solvency. During this period, the district has had to respond to the dramatic increase in a Limited English Proficient (LEP) population, while recovering from an extremely difficult financial crisis.

Student achievement is a critical challenge given the high-risk nature of a significant percentage of the population. The disparity between non-minority and minority test scores and formal disciplinary actions has sent red flags up not only at the local level but also at the state level. The case study school district is a comprehensive organization demanding much of its superintendent and board of directors.

Secondly, as a native Iowan and 19-year employee of the case study district, first as a teacher and later as a building administrator, the researcher was in tune with the political dynamics of this "bounded system." Steeped in the organization's culture, the researcher possessed the depth of knowledge to effectively provide a solid foundation for the study.

Thirdly, Hawkeye Community Schools was about to implement a multiple rating system or 360 degree feedback into their existing superintendent evaluation procedure. This reform effort was being undertaken in an effort to enhance the effectiveness of performance evaluation across the school district, as it was the first phase of a multiple-phased plan. The opportunity to follow this innovation as it unfolded made this a potentially rich system to study.

The fourth factor focused on the willingness of the school district and its key players to participate in a case study. The superintendent and the board members agreed to share archival documents as appropriate, complete a survey, spend considerable time participating in the interview process before and after the formal evaluation of the superintendent, and have their voices heard through the researcher.

Finally, the school district superintendent professionally advocated strong support for the study as an effort to assist the public school superintendency in general.

Description of Subcases

At the beginning of the study, the researcher informally visited with the participants in an effort to introduce the study, obtain background data, and set the

tone for the researcher's participation with the board and superintendent focusing on the annual evaluation process. A brief description of each participant or subcase was developed based on the initial meeting as well as information shared during the first formal interview. In order to maintain confidentiality, the superintendent and the board members are referred to by pseudonyms delineated in the following section.

Subcase 1: Adlai Swenson, Superintendent. Adlai Swenson, the superintendent, is in the third year of his first superintendency. Prior to assuming the leadership of Hawkeye Community Schools, he held several central office administrative positions during an 18-year tenure in a prosperous and growing Iowa school district of more than 8,000 students located about 2 hours southwest from the case study district. As Deputy Superintendent for Business, Maintenance, and Facilities in his former district, he was instrumental in the passing of three monumental bond referendums totaling over $50 million in revenue used to build new schools.

Adlai's astute business acumen was nurtured early in his young adult life, working as a bookkeeper for a seed company in a small German sect community in northeastern Iowa. At that time, he had no intention of going to college. His career in education had a slow but meaningful

start at a university where he took chemistry classes at the urging of his supervisor at the feed company, which led to the fulfillment of a Bachelor of Arts degree in education. Adlai taught science in three school districts while working on a Master of Arts degree specializing in school administration. Upon completing this graduate degree, he began the 18-year leadership role that prepared him for his first superintendent position. During those 18 years, his administrative experience spanned a comprehensive realm from curriculum specialist to facilities and finance while completing the coursework and other requirements for a Doctor of Philosophy in Education at the University of ____. Adlai came to serve as superintendent of the case study district well versed in all educational domains.

Adlai credits the role modeling of the superintendent in his former district as his motivation for pursuing the superintendency. This man also came from the business sector to the halls of education and fostered Adlai's outstanding ability to plan. "I thought I was a pretty darn good planner until I met him. I was nothing and his mentorship helped me blossom." Adlai also acknowledges his opportunity to have free reign to do his job as an administrator under this man's leadership, as being an integral element in his professional development.

Adlai believes that his relationship with his board is good because they know he recognizes and respects unique differences of philosophy. He admits that he has let it be well known that under no circumstances could he tolerate an attack on his integrity. He noted,

> I have told them that I will fight back publicly but also that I will continue to work my tail off for them as along as their goals and philosophy are married to mine and I can help to carry them out. They must be good for kids. If they were to adopt goals that I could not in good conscience support and carry out, they would have to get someone else and they know that.

Adlai credits his established and consistent routine of keeping the board well informed regarding all aspects of the organization, through sending confidential memos, as contributing to a solid and stable board/superintendent relationship. "If there are anticipated administrative changes or whatever, they won't read it first in the newspaper."

This case study superintendent has already demonstrated his ability to bring about change. He leads transformation through mobilizing people and a strong strategic planning process that lends itself to visioning. "When we have the opportunity to participate in the visioning process then we can believe a system can improve and if we don't believe that it will, it won't. Collectively we can do anything!"

Subcase 2: Pat Turner, Board President. Pat Turner has served on the Board of Directors for 4 1/2 years. She has

occupied the President's seat for the past 3 years. When she is not visiting schools or attending an endless schedule of school district activities, she is a nurse in the emergency room at a local hospital.

Pat brings enthusiasm and passion to her role as board president. She relates well with school district personnel as well as with the public in general. Her motivation to pursue board membership was her desire to help the schools as she has always been an active volunteer. Five years ago the board had a very controversial board member that at times appeared unstable and unconnected. Pat maintains that it was this absurd behavior and comments made in the boardroom during the televised meetings that served as her real impetus to carry through with the election process. Pat said she would pursue board membership again. "It is the one thing I can do for my community that will benefit my family in the long run."

She describes her relationship with the other board members as collegial. She compares herself as a peer to the superintendent referring to the fact that they each have similar jobs in different arenas. She likes to start the direction of change and thinks of herself as a guide after that. Pat recognizes that conflict among the board members is inevitable. "We are seven individuals, each elected as equals in our ability to do or change anything." She

maintains that it is not her place to tell them that they are right or wrong.

Subcase 3: Dan Morris, Board Member. Dan Morris has served on the board for 4 years and is currently the vice-president. He graduated from college with a Bachelor of Science degree in Broadcast Journalism nearly 24 years ago. After a 2-year stint working, he returned to college to earn hours in Educational Media. He currently heads up the staff development department that oversees the training and instructional development of over 4,000 wage- and salary-level employees at the local tractor works. Dan vividly remembers the frustration he felt regarding the board 5 years ago.

> I complained enough that my wife finally said, Why don't you do something about it! And I said, OK I will. Then I decided to run again for a different reason and that was because there were a lot of initiatives started and a plan in front of us. I hadn't been on the board long enough to see those moved forward, and I wanted to see those things come to fruition.

Much like Pat, Dan feels like he is a colleague of the superintendent. "He's an academic administrator with a business sense. His strong suit is planning; and that's mine also." When describing his relationship with the other board members, Dan admittedly shares that he has philosophical differences with a couple of them.

It has not created an unworkable situation but simply differences of opinion. We have come to a way to communicate and not touch each other's hot buttons, so to speak. You work those things out. We all have seven different areas that are near and dear to us and it's fun, it's enjoyable.

Subcase 4: Lowell Schultz, Board Member. Lowell Schultz holds a degree in agricultural engineering and has been involved in many engineering areas such as mechanical and environmental which led to his current job assignment in long-term planning and logistics at the local tractor works. An over-all general interest in education brought him to the board.

I had an opportunity to get a lot more education than my parents did and feel every student needs to have that opportunity, not just for their own sake but collectively to sustain the type of society and the type of government we have. I'm there to make a positive difference for kids.

It is not uncommon for Lowell to be a lone dissenting vote on issues brought for approval. "You need to serve every term as if it's your last, and to stand alone on issues is fine if it's your conviction and supported by other people."

His relationship with the other board members has run the gamut. He describes his first year back after serving a 3-year term and then being defeated when running for re-election as "cordial" but certainly bearing some baggage from relationships that were other than that in the past.

"My perspective is different than the others because I was not a board member when the current superintendent was hired."

When faced with decisions that involve change, he continually asks questions to be sure that decisions are based on fact. He maintains that "in education, a lot of research is really literature. If you dig deep enough, you can champion decisions that are well-founded." He practices fact-based decision-making and recognizes that some people and their arguments a few find easy to dismiss. Their voices are not usually eloquent and can be somewhat hostile but need to be recognized nonetheless.

When involved in conflict with other board members, Lowell tries to be professional and does not let his emotions take over. "Stick to the facts and find the common ground; usually there is more common ground than not and eventually you can come to agreement."

Subcase 5: Carl Nielsen, Board Member. Carl Nielsen is the rookie having been a board member for little more than 6 months. He earned a Bachelor of Arts degree in chemistry with a minor in geology. He taught general science for 1 year then went into the real estate business. After a year as an appraiser for a local real estate agency, 2 at the Assessor's Office, and 10 as an appraiser for a local bank,

he headed off on his own. He has operated his own appraisal office for the past 13 years.

He became motivated to pursue board membership after serving on the Quality of Education Task Force, a group formed by the board to analyze and research the current educational practices of the school district and then make recommendations for the future about everything from educational specifications to facilities. Carl relates,

> I got a taste of what was happening in this district and really wanted to be a part of that. I had been motivated in the past because of all the problems that were happening and it was an embarrassment. My wife encouraged me and also a past board member.

After serving a mere 6 months as a board member, Carl maintains he would do it again. "I guess maybe this is a selfish reason, but I get a good feeling out of doing things like that and a sense of value."

As the newcomer, Carl says his relationship with the other board members

> is good; although I have had a couple of disagreements that I thought were legitimate and so did they. It doesn't effect my feelings about them either way. We had honest differences of opinion. That is going to happen.

Carl is most appreciative of the time the superintendent has spent with him during his induction phase. "He has always been there every time I've had a

question." Carl describes himself as deliberate and one who seeks out a lot of background information when involved in decision-making.

Subcase 6: Richard Jordan, Board Member. Richard Jordan received his undergraduate degree in Communication Studies with an emphasis in Public Relations. He is presently working on a master's degree in Public Administration. Currently, he is the Director of the University of _____ Educational Opportunity Center where he works with non-conventional students, age 19 and older, by assisting them in securing placement in post-secondary programs or if they have dropped out, by helping them complete GEDs.

Richard admits that becoming a board member was not anything he ever considered until some people for whom he had a lot of respect for encouraged him to run.

> I talked with my family and decided that this was one way I could give back to youth, because I grew up in Dallas, Texas, and a lot of people reached out to me; and I'm grateful for that.

As a 4-year board member, Richard has run for a board seat twice. He says he would "most likely" do it again because he has seen a lot of progress during the time he has served, although he does want to consider his family before making such a decision for the third time.

Richard sees the superintendent as a man of great
integrity whom he truly admires. Due to his experience in
watching the superintendent do his job, he maintains that he
has reserved criticism for others that he may read about in
the papers or see on TV.

> It's easy to sit at home and be critical of something
> or someone and not have all the facts. I have told
> Adlai that he does not make enough money for what he
> does. You have to be a warrior to be a superintendent,
> particularly taking on many of the challenges out
> there. I have a lot respect for him.

Richard spent much of his first year as a board member
just trying to figure out what everyone was all about.

> You get a chance to know people on the board for being
> people. Once you like and respect a person, you learn
> to deal with all the other things that come with it.
> Obviously, everyone has some kind of political motive
> of why they do things--trying to please other people--
> but by and large everyone on the board genuinely cares
> about kids learning, and once you can sift through
> that, it takes a lot of stain off the relationships.

Sharing both sides of the issue is most important to
Richard when making any decisions. "I think if people think
that you are holding back--for example the budget--they
can't trust you. We had to put it all out on the table or
people think you are mismanaging money. My style is to
approach the issue and put it out there, and I don't
personalize it because once you personalize it, you become
less effective. Sometimes that's not easy when you are the
only (minority) on the board. I think I've had to be

craftier because some issues are different and how they are looked at when you're dealing with the (minority) community. I've tried to help other board members see the other side."

Subcase 7: Jon Harrison, Board Member. Jon Harrison earned a Bachelor of Arts degree in Administrative Management and Marketing. As vice-president of a statewide chain of shoe stores, he understands the importance of an education system on the local as well as area economy. Jon's interest in his child's education and the desire to assure that all children enjoy quality education opportunities prompted him to get involved in the schools through board membership. Although his almost 4 year tenure has been enjoyable, he is not completely satisfied with the progress the board has made in changing the schools, and he believes those feelings will inspire him to seek re-election.

When asked about his relationships with the superintendent and fellow board members, Jon responded by relating that a respect that exists between him and the other board members and that there are really no concerns. "I don't think we have problems with each other. I think they respect me for my business-like approach." Jon feels that the superintendent listens to his advice especially regarding personnel, an area where he feels he has expertise in comparison to educational issues.

When making decisions and dealing with issues of change, Jon describes himself as straightforward.

> I'm quite verbal. I say what I think, and I don't pull any punches. My style is more shock treatment; it's just the way I am. I think as long as you have the facts straight you're okay. It's when you start arguing from emotion that you get into trouble.

Subcase 8: Karen Lewis, Board Member. Karen Lewis is a native of the case study community. She went to the local university after her first child was born, describing herself as a non-traditional college student. She proudly pointed out that she and both of her brothers as well as her parents are products of the Hawkeye Schools. After completing her Bachelor of Music Education degree in 1984, she went on to teach in the case study schools for several years before leaving to lead a large music ministry serving 125 children, youth, and adults at a local church. She is currently taking seminary classes in her pursuit to further her ministry to her congregation and faith.

Karen became highly involved in the schools when her son and daughter were in school. She recalls somewhat of an awakening or calling to board membership.

> There are points in life when you're doing your thing, and then something comes up and you wake up and it makes you aware of a need. I saw a permeating atmosphere for a time that the schools were becoming discouraged.

Karen, as other board members had mentioned, was concerned about the behavior of a former board member.

> I was not happy to be truthful with the actions of a certain board member. It was devastating, and I was concerned about what it was doing to our schools, to our children, to our community . . . so I spoke publicly at a board meeting. I had never even attended a board meeting before. I made a statement about a program called values and choices. It was being said at that time that it was a pornographic kind of thing and kids shouldn't have this kind of thing and I felt strongly about the fact that people should have accurate information. I awoke to the opportunity, to the awareness to get involved.

Karen did not actually run for board membership for 2 more years. It was not until the resignation of a director left an open spot to be filled. She was encouraged by a few community members to accept the appointment. She ran for re-election a year later. Karen is completing her fifth year as a board member and feels strongly about her role as an advocate for public education and the community. She wishes she had the supreme power to change the resources available to public schools to allow them to compete in the 21st century.

Karen acknowledges that each board member has different gifts and strengths. "It is a continual process to develop trust and communication." She believes strongly that the superintendent is one of the finest leaders with whom she has ever worked with.

I want to very much support him so we can do what we want to do for our children in this community. He can't do it all and the board and the community needs to realize that. I admire him greatly.

Summary Description of Subcases

Table 1 summarizes the level of education, profession, and length of tenure of each case study board member, subcases 2 through 8.

Table 1

Description of Subcases (Board Members)

Subcases	Level of Education	Profession	Board Tenure (Years)
2	BS	Emergency Room Nurse	4.5
3	BS	Human Resources Training Instructor	3.5
4	BS	Engineer, Planning and Logistics	4.5
5	BA	Private Real Estate Appraiser	.5
6	BA	Director, Equal Opportunity Program	3.5
7	BA	Vice-President, State-Wide Shoe Company	5.5
8	BA	Director, Church Music Program	4.5

Data Collection

Survey

The superintendent and board members completed a survey prior to the implementation of 360 degree feedback as part of the superintendent's summative evaluation (see Appendix A). The survey addressed the beliefs and attitudes of the participants regarding the reason superintendents should be evaluated. Also addressed were the criteria that should be used in which to measure the superintendent's performance, the sources of information that should be tapped in the process, as well as the overall effectiveness of the district's evaluation process. The purpose of the survey was to establish data that could be compared to nationwide data found in the literature regarding these areas of study. The survey design also allowed for some comparison to be generated between practice and theory or what the participants believe to be the way to do things and the current reality of the evaluation process in this school district.

Interviews

Prior to and following the superintendent's evaluation process, in depth interviews were conducted with both the superintendent (see Appendix B for interview questions and protocols) and the board members (see Appendix C for interview questions and protocols). All participants gave

written consent (see Appendix D for consent form). The University of Northern Iowa's Human Subjects Review System reviewed and approved (see Appendix E for approval form) the case study project. Glesne and Peshkin (1992) noted that the preestablished interview questions are developed to fit the topic so that the answers can serve to illuminate the phenomenon of inquiry. The preestablished questions are anchored in the cultural reality of the participant. The structured interview questions are intended to open dialogue and may develop unexpected leads which will prompt the researcher to probe with expressions such as "tell me more," "help me understand," and "explain" (p. 92). Interviews were scheduled with the individual participants at their convenience and held at a school district site.

Initial interviews lasted from 60 to 75 minutes, while follow-up interviews were briefer lasting no more than 45 minutes (see Appendix F for interview duration).

Observations

Direct observations were made of the implementation of 360 degree feedback inservice sessions as well as board work sessions regarding the superintendent's evaluation process as appropriate. The researcher, during interviews and observations, wrote detailed notes. The fieldnotes include an account of what was heard, seen, experienced, and thought in the course of collecting and reflecting on the data

(Bogdan & Biklen, 1992). Nonverbal elements in the interview process are important because they communicate attitudes (Gorden, 1980). Looks, facial expression, body posture, long silences, and dress informs by the consonance between verbal and nonverbal communication (Goffman, 1961). Therefore, the written notes served as "the most common component of the database" (Yin, 1994, p. 95). Interviews with participants were audiotaped and transcribed.

Archival Records

Archival records offered by the participants provided additional information. The researcher was careful to ascertain the conditions under which the archival records had been produced as well as their accuracy. "Most archival records were produced for a specific purpose and a specific audience (other than the case study investigation), and these conditions must be fully appreciated in order to interpret the usefulness of any archival records" (Yin, 1994, p. 84).

Data Analysis

A major strength of the case study was the use of multiple resources that allowed the investigator to address the broad range of historical, attitudinal, and behavioral issues. "The most important advantage presented by using multiple sources of evidence is the development of converging lines of inquiry" (Yin, 1994, p. 92). Thus, the

findings and conclusion in a case study are more likely validated as confirmed by data sources (which can include, for example, persons, times, places), by method (observation, interview documents), and by data type (qualitative text, recordings, quantitative information) (Denzin, 1978). "A major strength of case study data collection is the opportunity to use many different sources of evidence" (Yin, 1994, p. 91).

An analytical file was built as data were collected (Lofland & Lofland, 1984). Five major organizational files were developed consisting of the participants' feelings and reflections. The five files included the purposes of superintendent evaluation, the criteria used in the evaluation process, the sources of information used in the evaluation process, the impact of the use and incorporation of 360 degree feedback into the evaluation process, and the general effectiveness of the superintendent evaluation process used in the case study school district.

As divisions and subdivisions emerged, salient themes, recurring language, and patterns of beliefs were identified. The inductive analysis process was used to uncover themes, patterns, and categories, where the salient categories emerge from the data, a process "that requires making carefully considered judgments about what is really

significant and meaningful in the data" (Patton, 1980, p. 313).

To produce compelling analytical conclusions, the researcher must "treat the evidence fairly" as to ruling out alternative interpretations (Yin, 1994, p. 103). This is a continuing process that begins as soon as the research begins. The interviewing and observation process was also a time to consider relationships, salience, questions, and explanations (Glesne & Peshkin, 1992). Data collection and analysis go hand-in-hand to promote the emergence of theory supported by empirical data (Marshall & Rossman, 1989). By categorizing, tabulating, and recombing the evidence, the purpose of the study will be examined (Marshall & Rossman, 1989). According to Yin (1994), "much depends on the investigator's own style of rigorous thinking, the sufficient presentation of evidence and careful consideration of alternative interpretations" (p. 103). Two pilot studies of the survey and interview questions were conducted in February and March 1998. In an effort to legitimize the pilot studies, the participants were drawn from similar group types (Glesne & Peshkin, 1992). The preestablished interview questions (Appendixes B and C) focused on the research questions of the study; follow-up questions emerged during the course of the interviews.

Questions may emerge in the course of the interviewing and may be added to or replace the preestablished ones; this process of question formation is more likely and the more ideal one in qualitative research. (Glesne & Peshkin, 1992, p. 64)

The pilot studies served to aid the researcher "to refine the data collection plans with respect to both the content of the data and the procedures to be followed" (Yin, 1994, p. 74).

Summary

This case study explored the process one Iowa public school district used in evaluating their superintendent. Through initial surveys and follow-up in-depth interviews with the participants, on-site observations, and examination of archival records, the real-life situation of one Iowa public school district emerged.

The log of the data collection process (see Appendix F) is outlined then summarized below.

1. Contacted case study participants   1/29/98

2. Mailed written consent forms   3/18/98

3. Mailed surveys   3/18/98

4. Initial interviews with participants   3/24-4/3/98

5. Observations of the evaluation process   2/11-5/20/98

6. Final interviews with participants   5/21-5/26/98

CHAPTER 4

RESULTS

Introduction

This study was undertaken to explore the process that one Iowa public school district used to evaluate the performance of their superintendent. Research Question 1 deals with the purposes of superintendent evaluation as perceived by board members and the superintendent. Research Question 2 refers to the criteria that should be used when evaluating the superintendent as perceived by the board members and the superintendent. Research Questions 3 through 6 address the effectiveness and scope of the evaluation of the superintendent's performance in light of the addition of 360 degree feedback into the process. Findings related to these questions are reported in this chapter.

Three propositions concerned with the effectiveness of superintendent evaluation, and related to the research questions, will be discussed in Chapter 5. Although the research questions and propositions are introduced separately, their implications are overlapping within the general scheme of this study, and they are often discussed in conjunction with one another.

In these findings, various forms of data are recorded. Responses to survey items regarding the perceived purposes

for evaluating the superintendent and the criteria that
should be used in measuring the superintendent's performance
are addressed in relationship to the voices of the
participants through the interview process. Survey and
observational data are used to substantiate or refute
information from interviews.

Background Information

The process used by Hawkeye Community Schools to
evaluate the superintendent has remained virtually unchanged
for the past several years according to six of seven board
members. Carl Nielsen could not comment on the specifics of
the evaluation format given his short tenure on the board.
Three board members recalled changing the instrument
slightly based on input from the current superintendent
during his first evaluation cycle. Pat Turner, Board
President, recalled that they made some adjustments to the
evaluation form based on a format that they received from
the Iowa Association of School Boards. She also mentioned
along with Jon Harrison, that the addition of Job Targets
was direct input from Adlai Swenson. Adlai systematically
made Job Targets an addition to all district administrators'
evaluations.

All board members were aware that the superintendent
was evaluated annually. Although there was unified
affirmation that the process was well defined, all board

members acknowledged that there was no procedure or adopted timeline for updating or revising the structure or the instrument. No one seemed too concerned about that; in fact, Jon Harrison said, "We change when we find something better." Four board members mentioned that the entire evaluation process only seemed important when you have a superintendent of questionable merit.

As to the effectiveness of the present evaluation system, 1 board member, Richard Jordan, measured its effectiveness in regard to the present superintendent's productivity and progress toward the district's articulated goals. Richard said, "I think it's effective simply because a lot of progress has been made. I guess it depends on the superintendent." In the same vein, Jon Harrison said, "It's effective as long as you have someone who's doing a good job." Pat Turner echoed similar thoughts when she said,

> In the past, it's not been used well. I don't think the superintendent's evaluation has been taken too seriously until it became apparent to us that we had a superintendent that wasn't very good and we didn't have any documentation.

Pat was referring to the previous superintendent but voiced concern that regardless of which individual was being evaluated the present system was somewhat subjective. She said, "I don't like the fact that it falls on the shoulders of 7 people who do not work with him on a daily basis." Lowell Shultz believes that the evaluation of the

superintendent does not hold high enough stakes. He said, "It's not real effective because I don't think it ties any specific performance measures to compensation or continuance of a contract. It's not as effective as it could be if it were directly tied to rewards." Dan Morris likes the current evaluation process because it's based on measurable criteria but maintains that it's still subjective. He said, "It's subjective because each person has different opinions of what's good or very good." Karen Lewis feels much the same way in that it is difficult to rate the superintendent's performance on a graded scale. She said, "It's not a report card but should be useful information to help him get better at what he does." Adlai Swenson agrees with many of the board members opinions as he also has reservations about the effectiveness of an evaluation that is top down and limited in its input process. He feels the current board members take it seriously and that they have a big picture of his functions as the superintendent.

The suggested time schedule, delineated in the Hawkeye Community Schools Superintendent Performance Evaluation (Appendix G), runs from April to April annually. The superintendent's performance evaluation is scheduled into the existing management program. During April and May, district goals are approved after which plans of action are developed. The goals are also the basis for the

superintendent's Job Targets. Work toward the accomplishment of the goals is ongoing by all respective district personnel from July through May each year. The superintendent provides the board with a written narrative describing the progress of each goal in November and April.

The written evaluation cycle delineates March as the month in which board members complete the evaluation instrument, compile their results, and conference with the superintendent. The researcher found that the implementation of 360 degree feedback into the process delayed the progress of the established cycle as more time was needed than anticipated to institute the procedure.

According to Pat Turner, Board President, the evaluation process requires the board and superintendent to address what the superintendent is attempting to accomplish, to assess how well the superintendent is doing, and to define the areas and priorities for improvement.

The board president reviews the instructions for use of the appraisal form and the subsequent sequence of events with the board members each spring. In summary, the board and superintendent review the appraisal instrument and procedures together. Each board member independently completes the appraisal form; written comments are encouraged. Completed forms are returned to the board president. The board president compiles data for each item

into a frequency distribution and an average rating. The average ratings for each item are used to calculate an average score of each section: General Performance Characteristics, Selected Performance Characteristics, and Superintendent Performance on District Goals. The three section scores are used to calculate a weighted final rating. Individual board members' responses are not identified by name. A copy of the composite evaluation, including comments, is given to each board member as a confidential document. The board meets in a closed work session to clarify and further define its appraisal. The superintendent's self-assessment is also presented to board members and reviewed at that time. The president of the board presents the summative performance review to the superintendent. The superintendent may request a conference with the board of directors to discuss the evaluation and submit written comments in response to the appraisal. The comments are attached to the final composite evaluation and placed in the superintendent's personnel file.

Approved district goals are the basis for the next year's appraisal form. Job Targets are identified with appropriate action plans and are placed in Section IV on next year's evaluation form, and, thus, the cycle begins again.

The evaluation process used during the 1997-98 cycle was revised to include input from all stakeholders of the school community. Four of the seven board members attributed the addition of the multiple rater system directly to the case study superintendent, as they could not remember knowing anything about it until he came on board. The other three simply did not know who had initiated the incorporation of what became known as "360 degree feedback or the 360 process" into the established process. Two board members mentioned that perhaps the researcher was involved in bringing the concept into the district. Their related thoughts concerning this evaluation reform effort are shared as introduction information to Research Questions 3 through 6.

Research Question 1

What are the purposes of the superintendent's evaluation as perceived by the superintendent and the board members?

Research Question 1 was explored to establish some relationship between the purposes for superintendent performance evaluation as identified in the literature and the purposes of evaluation as perceived by the case study superintendent and board members. Two methods, a survey (Appendix A) and interviews (Appendixes B and C) were used

to determine the perceptions of the superintendent and board members regarding the purpose of evaluating the superintendent.

The survey instrument required participants to respond to a list of purposes of superintendent evaluation most frequently cited in the literature by indicating whether they were in strong agreement, agreement, disagreement, or strong disagreement with the cited purpose. NA was an optional response if the participant did not believe that the item should be a purpose of evaluation. Table 2 summarizes the results of Survey Question 1. In summary, eight delineated purposes elicited strong agreement or agreement from all eight case study participants.

Table 2

Summary of Results of Survey Question 1

Purpose of Superintendent Evaluation	Subcase							
	1	2	3	4	5	6	7	8
SA = Strong agreement A = Agreement D = Disagreement SD = Strong Disagreement NA = I do not believe it should be a purpose of evaluation								
Improve job related behaviors	SA	SA	SA	A	A	A	A	A
Determine continued employment	D	SA	SD	A	A	A	SA	A

(table continues)

Purpose of Superintendent Evaluation	Subcase							
	1	2	3	4	5	6	7	8
Determine the superintendent's compensation	A	A	D	D	A	A	SA	A
Meet DOE state requirements	A	D	D	NA	A	A	A	A
Address the superintendent's strengths and weaknesses	A	D	A	SA	SA	SA	SA	SA
Set expectation for future performance	A	SA	SA	SA	SA	SA	SA	SA
Improve instruction	A	SA	D	A	SA	A	A	SA
Help the superintendent work with the board	A	A	D	A	SA	SA	SA	A
Help the superintendent work on personnel matters	A	A	A	A	A	A	SA	A
Help the superintendent work with administrators	A	A	A	A	SA	SA	SA	A
Help the superintendent work with teachers	A	A	A	A	A	SA	SA	A
Help the superintendent work with parents	A	A	A	A	A	A	A	A
Help the superintendent work with nonparent community members	A	A	A	A	A	A	A	A
Help the superintendent work with the business community	A	A	A	A	A	A	A	A
Help on legal issues	A	D	A	D	A	A	A	A
Help the superintendent work with the students	A	A	A	A	A	D	A	A
Help the superintendent work with media related issues	A	A	A	A	A	D	A	A

Note. Data collected from Appendix A (Superintendents Evaluation Survey).

Item 6: Set expectations for future performance elicited strong agreement from 7 participants. Items 1 and 10, "Improve job related behaviors" and "Help the superintendent work with administrators" were rated next in importance with 3 participants indicating strong agreement while all others were in agreement. The superintendent and the board were in agreement that the following items should be purposes for evaluating the superintendent: help the superintendent work with the board; help the superintendent work on personnel matters; help the superintendent work with teachers; help the superintendent work with parents; help the superintendent work with nonparent community members; and help the superintendent work with the business community.

Although many of the other survey items elicited agreement responses from a majority of the participants, the above mentioned purposes brought unanimous agreement. The survey instrument provided all participants with the opportunity to add purposes of their own. Board member, Lowell Shultz, was the only respondent to share written comments in the space provided. He wrote, "The evaluation should also inherently underscore the fact that the superintendent is an employee of the Board of Directors, an organizational relationship often not de facto among many superintendents and board members."

The survey item that elicited the most disagreement among the participants was, "Meet DOE State requirements." Although the superintendent and 4 board members were in agreement, two board members disagreed and one indicated that it should not be a purpose of evaluation. There was a full gamut of responses on whether "Determine continued employment" should be a purpose of evaluation. Although the board president and another board member were in strong agreement, the superintendent disagreed, the board vice-president indicated strong disagreement, and the balance of the board members agreed.

Case study participants were interviewed prior to the evaluation process and after the summative Superintendent Performance Evaluation (Appendix G) was completed and reviewed with the superintendent by the board president. Interview protocol and questions are included in Appendixes B and C. The following summaries capture the participants' feelings, attitudes, and opinions regarding the purposes of superintendent evaluation.

Subcase 1: Adlai Swenson, Superintendent. Adlai Swenson feels strongly that detailed job descriptions are essential for all positions in the organization. This is also his philosophy regarding his job as superintendent. He said,

> I think the job description, if it is a good job
> description, will lay out the main duties and functions
> of the superintendent, and then the purpose of the
> evaluation is to see how one grows and progresses
> within each of those descriptors.

When asked to weigh the many descriptors that may be part of a superintendent's job description in relationship to importance, Adlai outlined the following priorities: daily operations of the district, mobilizing people toward the accomplishment of board adopted goals and objectives, and money management.

Subcase 2: Pat Turner, President of the Board of Directors. Pat Turner openly advocates for community input at board meetings. She facilitated almost 20 public forums in an effort to receive feedback regarding a district initiative leading to a bond referendum. Her participatory philosophy was evident when she shared what she believes is the purpose of superintendent evaluation. She said,

> I think it's an opportunity for the people who
> represent the community to sit down with the
> superintendent and let him know what they think about
> the direction he is taking the district in and the job
> that he has been doing from an outside point of view,
> from the community's point of view.

Subcase 3: Dan Morris, Vice-President of the Board of Directors. Dan Morris strongly emphasized his belief that the superintendent is the key to the school system's direction and esprit. He said,

The superintendent sets the tone as to what the
educational philosophy of the district is. We evaluate
our superintendent on goals that we have mutually, I
underline mutually that's a key word in my mind, agreed
on. We ask for an action plan... what do we see as our
course for the next year. It's a process, it's not an
event; it's on-going. Of the two evaluations that we
have done there has been no surprises, at least from my
vantage point.

Dan cites another purpose of the superintendent's
evaluation is to measure the extent to which the
superintendent sets educational direction for the
organization. He also maintains that the annual evaluation
serves as an impetus for the board to reassess district
goals and how well they have been accomplished. He
explains, "He's the CEO of the district. There are business
aspects you'll want to look at as well as budgetary
concerns."

Subcase 4: Lowell Schultz, Board Member. Lowell
Schultz related that the development and assessment of long
range plans with specific objectives is an integral purpose
of the evaluation process. He said, "Those that can be
accomplished because the superintendent leads the
organization in the manner and at the speed the board thinks
it ought to be." Lowell perceives the superintendent as the
major role model of the district in regard to having a
contract to accomplish a certain number of things that the
board stipulates as crucial to the welfare of the
organization.

Subcase 5: Carl Nielsen, Board Member. Carl Nielsen believes that the main purpose of evaluation is to help the superintendent re-evaluate himself. He explained, "If done properly, it helps you focus in on areas needing improvement and makes you aware of areas that you may need to pull back from and slow down . . . take a deep breath."

As a board member, Carl feels that the improvement of the person being evaluated should be the prime consideration during the process. He has found that it takes someone who can take an objective look and say, "Here's what I think needs to be done. You can say to yourself what you think needs to be done in your job but you get so involved that you can't see the forest for the trees."

Subcase 6: Richard Jordan, Board Member. Richard Jordan, like Carl Nielsen, envisions the role of the board member in the superintendent's evaluation process is,

> to help him see the big picture and not to criticize the superintendent. If you are criticizing when you are evaluating, then you better be willing to take some criticism yourself because that means we have not done what we're supposed to do in helping provide the necessary resources and information for the superintendent to be effective.

Subcase: Jon Harrison, Board Member. Jon Harrison succinctly states that the main and virtually solitary purpose for evaluating the superintendent is to make sure he is following the district goals set out by the board. He believes that the board goals are designed and developed

using appropriate criteria based on data and educational theory; therefore, the accomplishment of the goals, is of utmost importance. Without the superintendent's commitment to the goals the district may not experience the necessary growth for enhancing the level of education delivered to students in the district.

Subcase 8: Karen Lewis, Board Member. Karen Lewis advocates that evaluation should be a great tool for the superintendent's personal and professional growth. She maintains that the superintendent should be provided all the information he needs to know to be successful. She said, "He has a right to clearly understand what we are expecting from him and what we are valuing about what he is doing and what were not happy about. You treasure what you measure, kind of thing."

Karen advocates that evaluation serves a two-way process in regard to understanding what the superintendent's expectations of the board members truly are. She said, "I want him to be able to tell us what he perceives the board needs to do in school district."

Summary of Research Question 1

Tables 2 and 3 summarize the participants' perceptions of the role of superintendent evaluation in their school district. Table 2 is the compilation of the data from all

participants as delineated on the survey (see Appendix A) completed prior to the annual evaluation process. Table 2 highlights the participants' voices during the interview process regarding the purpose of superintendent evaluation.

Table 3

Summary of Results of Data Collected From Initial Interviews

	Subcase							
Perceived Purpose of Superintendent Evaluation	1	2	3	4	5	6	7	8
Daily operations of the district	✓							
District goals	✓		✓	✓			✓	
Money management	✓		✓					
District climate			✓					
Vision / Educational direction		✓	✓			✓		
Strategic Planning				✓				
Professional growth						✓		✓
Personal growth								✓
Board self-evaluation								✓

Note. Data collected from initial interviews. Terminology cited was taken verbatim from interviewees.

Board members did not distinguish between a purpose and criteria of evaluation. The superintendent voiced an understanding in explaining that the purpose of evaluating anyone's performance is to measure how well they are doing their job based on the criteria of their duties found in the job description. The two concepts are so closely related that there was overlap in their answers.

The literature identifies a number of purposes for superintendent evaluation. The improvement of the educational performance of the school system is cited most often as the basic reason. State school board policy documents make reference to this purpose based on the premise that the superintendent, as chief executive officer, has the most direct effect on the school district. Survey results and initial interviews illustrate that the case study participants are in agreement.

The survey results (see Table 2) indicate strong opinions on the part of all participants that working with the stakeholders of the organization is important. This information directly relates to the strong feelings shared at both the initial and follow up interviews regarding the desire of the board to know what the stakeholders think about the superintendent's performance.

The initial interviews revealed some deep feelings regarding the future of the case study school district in

light of its sordid past coupled with the challenges of
educating a population of students who are poorer and who
are more at risk of failure than the state average. Richard
summarized the feeling best when he said, "We're trying to
deal with a lot of different facets of life. That's tough!
How do you evaluate a superintendent on that? It's
impossible! We're walking around, shaking our heads."
Although the Board appears to understand the plight of their
schools which saddles the organization with heavy baggage to
carry on their quest to fulfill their number one goal,
improve student achievement, they are optimistic about their
future. Maybe more importantly, they are committed to
setting standards with firm expectations for district
personnel including the superintendent.

Research Question 2

> What criteria should be utilized in the evaluation
> process as perceived by the superintendent and the
> board members?

A review of the survey results indicates widespread
differences among the case study participants regarding
their perceptions of various criteria that should serve as
the basis for the evaluation of the superintendent. Some
criteria listed on the survey (see Appendix A, Section 2)
elicited unanimous agreement among participants. All
participants marked that they were either in agreement or
strong agreement with the following criteria: knowledge of

educational issues; knowledge of financial issues; budget development; executes all federal and state laws; demonstrates an attitude of professionalism; knowledge of processes to address cultural diversity; and maintain a positive tone in the district. Responses to a number of items were found to be viable criteria for evaluation purposes with 7 of the 8 participants.

Subcase 4, Lowell Schultz, stood out as a minority opinion regarding several criteria. He was in disagreement or strong disagreement with the following criteria whereas the superintendent and his fellow board members were in agreement or strong agreement: student performance-academics; teacher performance; administrator performance; ability to attain district goals; knowledge of site and facility development; administers processes to develop long-range facility improvement; and adheres to high ethical standards.

Evaluation criteria with which three or more participants were in disagreement although the others indicated their agreement or strong agreement were as follows: teacher satisfaction; parent satisfaction; administrator satisfaction; student satisfaction; and ability to control tax increases. The widest range of opinions was evident in the criterion of the superintendent having the "ability to control tax increases."

Table 4

Summary of Results of Survey Question 2

Criteria Used in Superintendent Evaluation	Subcase							
	1	2	3	4	5	6	7	8
SA = Strong agreement A = Agreement D = Disagreement SD = Strong Disagreement								
Knowledge of educational issues	A	SA	A	A	SA	SA	SA	SA
Student performance academics	A	A	SA	SD	NA	SA	SA	A
Student performanceþextra-curricular	A	A	D	SD	NA	A	A	A
Teacher performance	A	A	A	SD	SA	SA	SA	A
Administrator performance	A	A	A	D	SA	SA	SA	A
Ability to attain district goals	SA	SA	SA	D	SA	A	SA	SA
Student satisfaction	A	A	A	D	A	A	D	D
Teacher satisfaction	A	A	D	D	A	SA	D	D
Parent satisfaction	A	A	A	D	A	A	D	D
Administrator satisfaction	A	A	D	A	A	SA	D	D
Avoidance of negative media coverage	A	D	D	SA	D	A	D	A
Attainment of positive media coverage	A	D	D	SA	SA	A	A	A

(table continues)

| | | | | Subcase | | | | |
Criteria Used in Superintendent Evaluation	1	2	3	4	5	6	7	8
Knowledge of financial issues	SA	SA	SA	A	SA	A	SA	SA
Budget development	A	SA	A	A	SA	A	SA	A
Budget implementation	A	A	D	A	SA	A	SA	SA
Ability to control tax increases	D	A	D	D	SA	D	SA	D
Knowledge of site and facility development	SA	SA	A	D	SA	A	SA	A
Administers processes to develop long-range facility improvement	A	SA	SA	D	SA	A	A	SA
Executes all federal and state laws	SA	SA	A	SA	SA	A	SA	SA
Adheres to high ethical standards	SA	SA	SA	SD	SA	SA	SA	SA
Demonstrates an attitude of professionalism	SA	SA	A	SA	SA	SA	SA	SA
Knowledge of processes to address cultural diversity	A	A	A	SA	SA	A	A	SA
Maintain a positive tone in the district	A	A	A	SA	SA	A	A	SA

Note. Data collected from Appendix A (Superintendent Evaluation Survey).

The superintendent and 4 board members indicted that they
did not believe the ability to control tax increases should
be something that is measured during the evaluation process
whereas 2 board members strongly agreed and 1 simply agreed
that it should be considered. Table 4 illustrates the
opinions regarding criteria that should be used in
superintendent evaluation by cases.

The excerpts from interviews of case study participants
prior to the annual evaluation process are included to
illustrate criteria highlighted by individuals (see Table
5). The following information will be compared to survey
results in the summary following to substantiate, refute, or
further clarify the participants true feelings and opinions
regarding criteria that should be used in the evaluation
process.

Subcase 1: Adlai Swenson, Superintendent. Adlai
Swenson maintains that general leadership characteristics
can be broken down into a dozen specific descriptors such as
improvement of the educational process, general operations,
curriculum and instruction, working with the board, managing
staff and operations, and working with the community. He
also felt that they should be prioritized as such. He said,
"If you look at the role of superintendent across the
nation, unfortunately financial leadership ranks either 1 or

2. I view that as something within this broad category of managing personnel and operations."

Table 5

Summary of Results of Data Collected From Initial Interviews

Perceived Criteria Used in Superintendent Evaluation	Subcase							
	1	2	3	4	5	6	7	8
Improvement of Educational Process	✓							
General Operations	✓							
Curriculum and Instruction	✓			✓				
Working with the Board	✓	✓						
Managing staff and operations	✓	✓					✓	
Working with the community	✓	✓			✓			
Financial leadership	✓				✓		✓	
Communicate district direction		✓						
Inspire staff teamwork		✓						✓
Vision		✓		✓			✓	
Goals and Objectives				✓	✓		✓	✓
Communication skills					✓	✓		
Student Achievement							✓	✓

Note. Data collected from initial interviews. Terminology was taken verbatim from interviewees.

Subcase 2: Pat Turner, President of Board of Directors.
As Board President, Pat Turner verbalizes her desire for
district leadership who can communicate clear and deliberate
direction and also inspire school district staff to pull
together for a common cause. She said, "I think the major
thing is the ability to have a vision and be able to see and
know what should happen, be able to articulate that vision
and have people buy into it."

**Subcase 3: Dan Morris, Vice-president of Board of
Directors.** Relationships with school community stakeholders
are important criteria to evaluate from Dan's perspective.
Relationships with board members, immediate reports,
employees in the district, his peers in and outside the
state, as well as community members were delineated during
the interview.

Subcase 4: Lowell Schultz, Board Member. Lowell
Schultz felt the key criteria of the superintendent's
evaluation is assessing his ability to communicate the
district's vision and mission, as well as the attainment of
the subsequent goals and objectives. He sees this as
bringing together what the district wants to do and how do
it, in an effective way. He said, "I see that it's a two
fold goal. It's academic achievement and developing good
character at the same time, with academics having a little
more weight."

Subcase 5: Carl Nielsen, Board Member. Carl Nielsen had no trouble listing the criteria he believes should be scrutinized during the evaluation process. "Communication is critical in many ways because it cuts down the damage that can be done when people misunderstand." Building visits were also a facet of the job that Carl felt important. "It's good for the staff to see the superintendent and for the superintendent to see what they are experiencing on a day-to-day basis." Carl went on to say, "The annual budget is important because apparently budgetary skills were lacking in the superintendent we had in the past."

As other board members had related, the accomplishment of annual goals must be measured to assure that strong academic and curriculum objectives are the focal point of the district.

Subcase 6: Richard Jordan, Board Member. Richard Jordan shared his unequivocal belief that communication is key when dealing with the public. "How you communicate with the public is key to your success. Two people can say the same thing, but people will take it differently based on how you communicate. You can go from one building to another building, and they are totally different." Understanding the dynamics of the community helps the superintendent communicate. Richard shares his philosophy that the

superintendent has to be able to craft his language appropriately for different groups or as Richard describes, "the ability to communicate from community to community."

Subcase 7: Jon Harrison, Board Member. Jon Harrison was predictable in his immediate response to the criteria that should be measured when evaluating the superintendent. He again emphasized the importance of the superintendent effectively handling the financial domain of the organization.

Jon's business background was evident when he stated his belief that the district leader must be the one to facilitate the employees. He said, "How he handles personnel should be evaluated. He has to let them run the show. But how you deal with them and bring them along is all important."

Again, as other board members have cited, Jon maintains setting the educational goals with vision is the difference between managing the schools and leading the schools. In regard to the goals, he said, "He doesn't necessarily have to do them, but he has to get people working in that direction. We don't need just a business manager. We need somebody with educational leadership also."

Subcase 8: Karen Lewis, Board Member. Karen Lewis firmly cited student achievement as the major criteria for evaluating the superintendent. She said, "What are students looking like when they come through our district? What are they able to do? He has to be able to answer these questions and account for the answers, that's his job."

Karen also recognized that the superintendent is one person and that it takes teamwork to accomplish the identified district goals. She said, "He's got to empower others, he can't do it all. He has to surround himself by a team, build a team that can carry out the strategic goals." Having been involved in several superintendent evaluations, Mrs. Lewis acknowledges that the accomplishment of the district goals is the bottom line used in the established board routine. She said, "That is the process we are using now. We judge the progress made toward each of the identified goals."

Summary of Research Question 2

A review of the literature indicates that there is a high degree of agreement on the most important criteria by which superintendents are evaluated: board/superintendent relationships, general effectiveness, and budget development and implementation. In the light of public demand for student outcome measures to be included in the evaluation of

educational professionals, researchers are working to
develop techniques for validly including such data (Candoli
et al., 1997).

Table 5 indicates that three or more of the case study
participants perceived that the management of staff and
operations, working with the community, financial
leadership, vision, and the accomplishment of goals and
objectives as criteria for the superintendent's evaluation.
Again, it is underscored that the board members did not
distinguish a difference between criteria to be evaluated
and a purpose for the evaluation process. The case study
superintendent had an understanding of the purpose of
evaluating his performance as well as what criteria should
serve as the measuring tool. He delineated specific
criteria, which is included in his job description, to serve
as a guide in assessing his performance.

Research Question 3

> How does the use of multiple sources of information or
> 360 degree feedback impact the board members rating of
> the superintendent?

Hints, suggestions, and threats that schools must get
better "or else" besiege many superintendents and school
boards. The "or else" is not well defined, but one can
assume it means no support at the polls the next time the
district must ask for additional local taxes. Frequently,
private sector groups are seen complaining in the media that

schools are not turning out graduates capable of filling their needs. For many, the general panacea for education reform is that schools should operate more like a business, turning out products, making profits, and keeping overheads low (Glass, 1992).

Hawkeye Community Schools, much like other K-12 public school districts, has struggled with the perceived reality of the public that they employ too many administrators who make too much money for what they do coupled with the belief that teachers have too much time off. Unfortunately, schools are not institutions that have ever operated on a profit motive. In fact, the schools must, and should, always be motivated to reach out, seek, and obtain input from its many constituents (parents, students, teachers, citizens, agencies, religious and political groups, as well as the private sector). It was this perceived public reality, some which was residue built up and left (along with a $10 million deficit) by the previous superintendent, that led the newly appointed superintendent to secure the services of a consulting firm to analyze and evaluate all aspects of the school district. As a result of their recommendations, administrative staff were reduced, and ways to instill integrity into the teaching and administrative professions were sought.

In the spring of 1996, an inventory of the past administrator and teacher evaluation systems revealed a lack of effectiveness and subsequently accountability. Adlai Swenson explored the realm of the business arena. His son, a senior Vice-President for MIS (Management Information Systems) in a major banking firm located on the West Coast, shared a concept with him called "360 degree feedback." This multi-rater appraisal tool had been instituted into his son's organization 5 years ago. After many sharing sessions between Adlai and his son and a review of the research, Adlai began talking about the concept with board members and a few administrators.

Literature on multi-rater feedback instruments in the business field has been plentiful in recent years. These instruments, commonly known as 360 degree feedback, have won the hearts of many human resource professionals, as a way to give employees a broad spectrum of performance information. Companies such as Amoco, AlliedSignal, and Ford maintain that the multi-rater process can be used much more broadly to help achieve strategic goals and carry out change efforts (Gebelein, 1996). The use of 360 degree feedback enables companies to align employee performance with the organization's needs and overall strategy and leads to the development of a more involved, less hierarchical workforce (Hoffman, 1995). Many companies are using feedback for

cultural change, to accelerate the shift to teamwork and

employee empowerment (O'Reilly, 1994).

> The environment at the manager and executive level
> tends to be feedback-poor, and the higher one goes in
> an organization, the more constricted the feedback
> channels become. To obtain good, candid information
> about one's performance, impact on others, and general
> leadership, a leadership audit might find areas where
> changes could improve performance. Leadership audits
> have been around for some time. Although there are
> many too choose from, 360 degree feedback instruments
> are the most effective. Management needed an
> instrument that would measure each individual against
> strategic issues that leaders face, such as teamwork,
> change, adaptability, leading courageously, knowledge
> of business, and goal congruency. (Denton, p. 19, 1994)

An article published in Fortune magazine, December

1993, by an anonymous author, it was stated that of the

companies that ranked top among the 32 industries surveyed

for Fortune magazine's annual Most Admired list, 20 used

upward evaluations.

Although the human resource and executive journals in

the business world have reviewed countless 360 degree

feedback programs, the literature regarding the multi-rater

process in the school administration arena was lacking.

Interestingly, three well-read educational journals

published articles regarding 360 degree feedback during

spring and summer, 1997. Dr. Robert Martin, Director of the

School Improvement Planning Project located at _____ State

University, authored two articles specifically focused at

the evaluation of teachers with feedback from their clients-

-the students. In July 1997, the case study superintendent met with Dr. Martin to discuss how his expertise and research in the field might fit into a plan for the Hawkeye Community Schools.

The Hawkeye Community Schools developed a comprehensive 3-year, 3-phase plan. Dr. Martin and Charles Curtis, Research Associate, met with the district's Administrative Evaluation Committee. This seven-member committee, representing all principals and Central Office administrators, had been formed in August 1997 for the purpose of reviewing the present administrative evaluation process and documents in an effort to improve the assessment of personnel performance. This committee served as the stakeholders' committee needed to facilitate the creation and refinement of district-level strategies for performance appraisal. Dr. Martin described the concept in his proposal to the district (see Appendix H). "The stakeholders must represent all of those who have a stake in excellence and equity for the students served by the district. They will work across the entire array of components for 360 degree feedback and performance improvement. The stakeholders do not decide these issues; they decide to recommend solutions, activities, and strategies to the board. The overall charge to this group will include the creation of valid, reliable,

and legally discriminating feedback from co-workers and clients."

Teachers, parents, and community members were added to the Administrative Evaluation Committee to create a committee that represented the district and community. An orientation meeting was held on February 11, 1998, for all district administrators and the stakeholders' committee.

The first phase of the plan (Spring 1998) called for the case study superintendent to serve as the role model in piloting the top-down project designed to reach all district personnel over 3 years with implementation in three phases (see Appendix G). Adlai believed that 360 degree feedback could serve as a common performance appraisal tool to improve evaluations of teachers, administrators, and support personnel while also strengthening communications with the public and their public credibility. The most important pay back of the project in Adlai's mind would be improved student achievement, the district's number one goal.

The Feedback to Superintendent Survey (see Appendix I) was developed in collaboration between the case study superintendent and Dr. Martin with assistance from Charles Curtis, Research Assistant, on Aril 3, 1998. The survey was a synthesis of criteria gleaned from the present district evaluation document (Appendix H), the superintendent's job description (Appendix J), and a display manual of sample

survey items that Dr. Martin provided. The researcher observed this process and found "give and take" decorum present. The superintendent displayed a willingness to include more criteria in an effort to solicit feedback regarding his performance than Dr. Martin felt was necessary. Although there was concern that the instrument should be comprehensive enough to measure a broad range of superintendent duties, brevity had to be addressed in order that respondents would indeed complete and return the survey. A total of 31 items were agreed upon. Charles Curtis was responsible for returning to the University campus, drafting the final instrument, and faxing it to the district for final approval. Packets were prepared by Dr. Martin's associates and shipped to the district. Each packet included a cover letter explaining the concept and the process, a 31-item feedback survey, a scanform, and return envelope. Packets were mailed to select respondents on April 17 with a return requested on or before April 30.

Respondents were selected in February during a specially arranged meeting between the superintendent and the board president. The researcher observed the process. Dr. Martin had explained during the orientation meeting that a "judgement sample" would provide feedback into the superintendent's evaluation process. A judgement sample is one in which participants have had direct contact with the

superintendent in his role as the district's educational leader. In the business world, this is most typically 12-20 respondents; the employee chooses 50%, and the supervisor chooses 50%. In education, it is more viable to target respondent groups, i.e., committees, task forces, community and patron organizations, as well as employee groups such as the teachers, administrators, and support personnel. Adlai and Pat worked through a list of possible respondent groups and collaboratively selected a judgement sample totaling 175 individuals, which included all stakeholders of the Hawkeye Community Schools including the students. One hundred five participants returned surveys. Table 6 outlines the number and percentage of each stakeholder group.

Subcase 1: Adlai Swenson, Superintendent. The case study superintendent maintains that 105 individuals' input cannot be easily ignored. He interpreted that board members analyzed the data provided from the Feedback to Superintendent Survey (see Appendix I) to scrutinize their personal ratings of his performance characteristics delineated in the Superintendent Performance Evaluation document (Appendix G) based on an evaluation conference facilitated by the board president.

Table 6

Summary of Survey Responses

Feedback to Superintendent Survey Responses	Surveys Distributed	Surveys Returned	Return Rate
Central Office	14	14	100%
Principals	32	21	66%
Secondary Teachers	3	3	100%
Middle Teachers	4	3	75%
Elementary Teachers	14	12	86%
Students	14	3	21%
Parents/Community	79	37	47%
Other	15	12	80%
Total	175	105	60%

Subcase 2: Pat Turner, President of Board of Directors. As Board President, Pat Turner has the responsibility to share the summative performance evaluation results with the superintendent. Pat candidly related that in years past she felt that the evaluation process was viewed as a vehicle for the board to tell the superintendent what they did not like about what he was doing. She said,

It was looked upon as something punitive for the superintendent rather than something where you sat down and tried to decide what page the superintendent was on and decide if he was on the same page that you were on?

The 360 makes the board sit down and look at this as a professional performance evaluation rather than anything personal and perhaps there needs to be some changes.

Pat related that the 360 data were in line with areas that board members had been discussing as areas of concern and that this was evidenced in their individual ratings as well; she had the responsibility to collate all of the individual ratings into one document. She said,

> We had different people's perspectives on what the superintendent is doing. I think the numbers from different categories [constituencies] told us a little bit about where the superintendent needs to be looking at putting some energy. The people who chose not to respond told us as much as those who chose to return the survey.

Subcase 3: Dan Morris, Board Vice-President. Dan related that almost all the board members were consistent in their ratings of the superintendent. He said,

> When we finally sat down after completing our evaluations individually, we found we generally came to the same conclusions. We gave the superintendent specific feedback. It's good to give him as much information as you can give that is constructive.

Dan felt more comfortable with the summative evaluation document because he had more information, and the data confirmed some areas with which the board was concerned. He said,

> We try to feel as many pulses as we can, but we might miss some folks. The groups that were selected and the information that was provided really made a nice package in my mind. There were no surprises at all,

and I doubt seriously that he [superintendent] had any surprises.

Subcase 4: Lowell Schultz, Board Member. Lowell vacillated in his description of the 360 process. He was critical of the fact that the board shared all the comments included in the 360 data with the superintendent verbatim, but he voiced frustration that the board's individual comments had been summarized. On the other hand, he did relate that he believed the final evaluation document was a more valid portrayal of the superintendent's performance. He said,

> Some of the comments I made were in part because I had a feeling this way or a limited amount of information supporting this. If I found the same items of concern in 360, I tended to reinforce those a little more. If my feeling was counter to 360, I softened them, so I'm more confident that the information I provided was a little more accurate because of the broader-based evaluation.

Lowell stated he believed the 360 process did not provide the superintendent with detailed feedback regarding his performance. He said,

> It remains largely the same because of how we chose to apply it. It's viewed as an opportunity to pat the superintendent on the back by this board. More important, it's an opportunity to redirect, and I don't think the process we went through will end up in much redirection even though we sit here at the low end academically.

Subcase 5: Carl Nielsen, Board Member. Carl shared that, as he completed his individual evaluation document, he referred to the 360 data several times. He said,

> I've had some staff members make comments one way or another. I just felt it was more valid to look at what people that responded to the survey said. 360 is good because you want to get information as about as scientific and formal as possible; I don't know of any better way. You are hearing from people who have a fact-based opinion. If you hear it any other way you're likely to get someone who has an ax to grind or may just be very one-sided.

Subcase 6: Richard Jordan, Board Member. Richard was confident that the board had a complete picture of the performance of the superintendent. He said,

> I think it was one of the best and thorough tools I've seen around, and working here at the University of _____ obviously I've seen several evaluation tools that we use, and I've not seen one as complete as the 360. I feel like we touched on all the areas that needed to be touched on. Not often when you evaluate do you walk away feeling like you evaluated the whole process.

Richard cautioned that even though there was a lot of information to use in the evaluation process he was careful to scrutinize it. He said,

> I think it's healthy, but you have to look at it objectively. We have a very good superintendent here. When you step into the situation he stepped into, having to deal with budget, having to deal with infrastructure, having to deal with achievement of students, you can expect there is going to be a few people who for whatever reason evaluate the superintendent for what happened in the past."

Subcase 7: Jon Harrison, Board Member. Although Jon was receptive to the viewpoints of others who work with the superintendent, he also questioned the validity of some of it. He said,

> It was interesting to see other people's viewpoints. You can use the 360 but you have to weight it because not everybody has all the information needed in the decision-making. I think it's nice to know what other people think about you whether it's right or wrong, because you can modify your behavior that way. Three-sixty gave me a different perspective that I could think about before I actually wrote my evaluation. I don't know if it affected me at all; it let me know that things are not all perfect or as bad as they could be. I'm not working for him, so you need to take into account their perspectives.

Subcase 8: Karen Lewis, Board Member. Karen believes that the evaluation of the superintendent is an important part of her role as a board member. She felt she had much more information that gave her ratings much more credibility. She said, "It was really helpful from a board viewpoint to see whether you're evaluation was in concert with others." She is already looking to the future and anxious to see the 360 process done again. She said, "The board needs to be checking at regular intervals with Dr. [Swenson] about the work on objectives. Are these areas improving over time? Do ratings improve over time?"

Summary of Research Question 3

A review of the literature reveals that input from stakeholder groups, such as peers, subordinates,

constituents, teachers, and students is solicited in no more than 10% of school districts. The Hawkeye Community Schools were no exception. There had been no formal process in place, prior to the implementation of 360 degree feedback, wherein the board could find out what stakeholders thought about the job the superintendent was doing.

During the initial interviews, all board members except Carl related that they did take into consideration information from various sources when determining their evaluation ratings of the superintendent's performance. Many were quite candid in their confessions. Jon admitted,

> It's probably an embarrassing answer but between ourselves we share what we hear on the streets and in the schools. I feel it's not so much a problem who we hear it from but how we hear it. We need a little more formal process so it isn't deemed hearsay.

Karen had similar thoughts to share, "We talk and listen to all people, but we should be intentional about how we do it." Richard said, "You rely on communicating with other board members because in some areas I'm not as informed. Board members bring different information to the table because we play different roles in the community." Pat voiced her concern that the Board needs a better way to obtain reliable information. She said, "Mostly it's hearsay and our own personal feelings. It should be a lot of different sources, but then take it all with a grain of salt and look at it in its whole and not as individual

snapshots." Lowell said he looked at the objective numbers, such as test scores, student grades, drop-out rates, number of people who transfer out of the district, as well as testimony from teachers, when deciding his ratings. Lowell was not convinced that the addition of 360 degree feedback or information from multiple sources would be a panacea. He said,

> It's a double-edged sword. Three hundred degrees of that are good and should be used as a performance tool. The other has to be viewed that the hierarchy does exist and that the board directs the superintendent and that popularity is not one the same as performance.

The reality is that the information regarding the superintendent's performance that board members received from multiple stakeholders of the organization mainly served to reinforce or validate the opinions they already held.

Research Question 4

> Does the use of multiple sources of information or 360 degree feedback result in the board providing a more detailed and directional plan for professional growth of the superintendent? If so, in what ways?

In reviewing the board members' perceived purposes of superintendent evaluation (see Appendix A, section 1), it is evident that the improvement of job-related behaviors holds high priority. The survey probed the board's perceptions in regard to the detailed and directional feedback that they provide the superintendent for the purpose of professional

growth (see Table 7). The superintendent and four board members indicated that they were in strong agreement; one board member was in agreement. Two board members disagreed. The opinions voiced during the interviews revealed to a certain extent a new awareness; some participants had not really intellectualized the concept of detailed and directional feedback and its relationship with a formalized plan for professional development.

Subcase 1: Adlai Swenson, Superintendent. Adlai was quite succinct in responding to the question of whether or not the Board provided him with a written detailed and directional plan designed to facilitate his professional growth. He said, "No, they expect me to do that in the form of my Job Targets. I know what I need to do."

Subcase 2: Pat Turner, Board President. Pat was confident that the board had provided detailed and directional information to the superintendent through the Superintendent's Evaluation document she presented to him during the summative evaluation conference. She said, "Absolutely. I think that it was an improved situation over previous situations." She also quickly acknowledged that the board did not provide anything in a written format that

Table 7

Summary of Results of Survey Question 4

Effectiveness of Superintendent Evaluation	Subcase							
	1	2	3	4	5	6	7	8
SA = Strong agreement A = Agreement D = Disagreement SD = Strong Disagreement NA = No answer-I am unsure								
The board shares the results of the evaluation with the superintendent	SA	SA	SA	A	SA	SA	SA	SA
The board provides the superintendent with detailed and directional feedback for professional growth	SA	A	SA	D	SA	SA	SA	D
A formal written professional growth plan is provided to the superintendent based on detailed and directional feedback	A	D	A	SD	NA	SA	D	D
Multiple sources of information are used in completing the superintendent's summative evaluation document	A	SA	SA	SD	SA	A	A	D
Our current evaluation process is effective	A	D	A	D	NA	A	A	D

Note. Data collected from Appendix A (Superintendent Evaluation Survey).

directed the superintendent's professional development

planning. She maintains,

> I don't think a board of education is in a position to
> do a formal written growth plan. I do think they are
> in a position to say where we see there is a weakness
> and you [the superintendent] need to tell us how you
> are going to fix it.

Subcase 3: Dan Morris, Board Vice-President. Dan

maintained that the board gave the superintendent specific

feedback and specific comments. He said, "We gave him as

much information that you can give that is constructive."

He went on to share that they did not provide a detailed

professional growth plan. He explained,

> We ask him to provide us information about how he has
> performed. If he was having some major difficulty, we
> would not hesitate to give him direction on what to try
> or where to go but we haven't run across that as of
> yet. It's more his recommendations because he knows
> what he needs for his professional growth. In a
> superintendent role, a person should know that.

Subcase 4: Lowell Schultz, Board Member. Lowell did

not categorize the information that the Board provided to

the superintendent as detailed because he termed it "summary

in nature." He went on to say,

> The board may have a separate session to say, 'all
> right, we really need to better define what we want the
> superintendent to do.' If I were the superintendent, I
> would have a difficult time understanding what exactly
> am I supposed to do; there's not a very crisp document.
> And the board is not all together on what ought to be
> done. The superintendent's evaluation brings out the
> need to do that.

Subcase 5: Carl Nielsen, Board Member. As a first year board member, Carl completed the evaluation process for the first time. Despite the fact that he had no comparison for this event, he did speak positively about the experience and how he perceived the board interaction and final evaluation document. He maintained that the board provided the superintendent with quality data that he interpreted as "fairly detailed." He was not sure about the next step in the process as he related that the board did not compose a written growth plan of any type but that they would be getting back together.

Subcase 6: Richard Jordan, Board Member. Richard appeared to be quite enthusiastic about the kind and quality of information that the board provided the superintendent based on the 360 data. He felt that as individuals they prepared evaluations that collectively provided detailed and directional feedback. Regarding a written professional growth plan, he said,

> I can't say we have sat down and given him a detailed
> plan especially in the area of student achievement.
> The [Hawkeye Community Schools] take on serious
> challenges based on the students we serve. I don't
> think we have a handle on it as far as where we really
> want to go. The superintendent has the responsibility
> to go research and bring recommendations to us, but I
> think it is just as much the board's responsibility to
> try to assist the superintendent in that area.

Subcase 7: Jon Harrison, Board Member. Jon qualified his answer immediately by explaining he had to leave the

work session early; therefore, he was not overly confident about stating what the board provided the superintendent regarding specific information addressing his performance. He shared that there had not been a written growth plan developed to his knowledge but that the board was going to get back together and work on goals.

Subcase 8: Karen Lewis, Board Member. Karen was quite deliberate in her opinion regarding the feedback that the board provided to the superintendent. She said, "Directional definitely. I'm not sure how detailed we got. We could still work on more detail if that's important to the superintendent." There was no doubt in Karen's opinion that the board did not provide any type of professional growth plan to the superintendent.

Summary of Research Question 4

Although the superintendent was given the 360 degree feedback verbatim along with the summative Superintendent's Evaluation document, the board did not provide the superintendent with a detailed, directional plan for professional growth. Board members voiced in one way or another that they saw the actual plans needed for professional growth as the superintendent's responsibility. A few shared that they would not feel competent based on their roles and background to provide such a plan to the superintendent. The superintendent perceived that his

professional development was his responsibility. All participants stated that their practice would be to use the evaluation information, most specifically the 360 feedback, in preparing next year's district goals. The board members also had a common understanding that the superintendent would design his future Job Targets around the district goals, so in essence they felt they were contributing or having some influence over the superintendent's professional development.

Research Question 5

> Does the use of multiple sources of information or 360 degree feedback impact the importance of the evaluation as perceived by the superintendent? If so, why?

According to The Personnel Evaluation Standards (Joint Committee, 1988), evaluations of educators should promote sound education principles, fulfillment of institutional missions, and effective performance of job responsibilities, so that the educational needs of students, community, and society are met.

Although the empirical evidence on the question of the importance of superintendent performance evaluation is minimal and conflicting, at present it cannot be said that a majority of superintendents perceive evaluations as contributing to the overall effectiveness of the superintendency and the school district.

Subcase 1: Adlai Swenson, Superintendent. When asked
if the input of many school community stakeholders made him
feel that his summative evaluation held more importance than
previous performance appraisals, Adlai Swenson responded
unequivocally, "Absolutely!" He believed that this
evaluation was much more thorough. He went on to explain
that sometimes board members form their own opinions based
on what they hear. He said,

> Three-sixty offers a range of perspectives I expected
> to receive in this process. I think we're getting a
> more complete picture of those within the organization
> and those affected by the organization's movement.
> Some are impacted negatively, and as a consequence of
> that negative impact, they believe they are alienated
> from the process. The comments indicate the degree to
> which they might feel alienated or the degree of their
> anger. It comes through the frank comments as well as
> the walk-on-water comments.

When probed about his feelings concerning the verbatim
comments included in the 360 degree feedback summary, Adlai
said,

> I think there's a tendency in 360 to focus on the
> negative even though it might only represent 4 or 5%.
> It can do nothing but grow from the 4 or 5% and one
> doesn't even know about it. It's OK for the eyes to
> travel to the negative because one can in this process
> thwart the growth of the negative. The longer one
> stays without knowing and continues to guess what they
> need to do in the future, throwing arrows in the dark
> and missing completely; that's when leaders get buried.

He also shared that board members who hire the
superintendent have a certain amount of loyalty to him or
her that is reflected during the evaluation process. Adlai

cautioned that he is not completely comfortable with that fact because when new people are elected his base of support may disappear. He believes that he must address a broad base of support by continually culturing all constituencies. He said, "We don't like hearing those nasty things, but in education we've walked around that and skirted it too long."

It was abundantly clear that Adlai Swenson has a lot of respect for the board of directors governing his school district. This was evident in his description of their abilities when he said, "I'm fortunate that we have such a well-prepared board, professionally as well as educationally." Adlai believes that this evaluation was much more thorough, offering a range of perspectives. He said, "The board analyzed the strengths as well as the areas that thought needed improvement that were articulated with the 360 combined with their own perceptions and verified the areas in my opinion." He related that he feels like he has a base of support with the 360 data. He said,

> Otherwise you have 7 board members forming their own
> opinions based on what they hear. I think there may
> always be a maverick or two who doesn't understand what
> evaluation is for. I think we have one, but knowing
> that is fine. Regardless of the outlier's denial of
> the input process and whether or not it was legitimate,
> it's still input.

During the monthly meeting of the School/Community Network (a district-wide group of administrators and parents) held shortly after the superintendent received a

summary of his 360 feedback, he shared with the entire room that he learned some things about himself and learned he had some things to do. He said, "I know what I need to do and in what areas. I can now address those areas because I know what audiences hold those perceptions. It's no longer a guessing game."

Summary of Research Question 5

The superintendent validated the importance of input from multiple sources of information into his performance evaluation. He voiced a willingness to do some self-evaluation as he prepared his Job Targets for the Board. Further research at a later date could verify the extent to which he developed and implemented strategies for his professional growth in the areas the Board highlighted as needing improvement. In light of his openness in sharing his feelings upon analyzing his 360 degree feedback data with several audiences, the next step in the district-wide implementation may be less threatening for those participants from the Superintendent's Cabinet in Spring, 1999.

Research Question 6

How does the use of multiple sources of information or 360 degree feedback impact the overall effectiveness of the superintendent evaluation process as perceived by the superintendent and board members?

For the purposes of this study, the effectiveness of evaluation was concerned with the extent to which both the superintendent and the board members shared a common understanding of the evaluative process and its role in the professional development of the superintendent. Not only must a mutual understanding of the evaluative criteria and the sources of information exist, but also must exist a clear understanding of how the criteria and the feedback from the sources of information serve as the basis of knowledge in measuring the superintendent's performance and ultimately directing professional development.

Survey results summarized in Table 6 reveal that perceptions regarding the effectiveness of the evaluation process used in this case study school district before the implementation of 360 degree feedback are Bi-polar. This discrepancy is underscored when the survey results are compared to the opinions of the participants voiced during the interviews held before and after the annual evaluation process.

Although the superintendent and 3 board members were in agreement that the evaluation process prior to the implementation of 360 degree feedback was effective, 3 board members disagreed; Carl Nielsen could not give an opinion due his lack of participation in evaluation process to date.

The following summaries of the interview excerpts regarding the effectiveness of the appraisal of the superintendent done by the board before the addition of 360 degree feedback into the process reveals some ambiguity on the part of many of the case study participants.

Subcase 1: Adlai Swenson, Superintendent. Adlai believes that when 7 people have the job of evaluating your job performance, formal input from multiple sources of information is a proactive approach. He also maintains that the more information an evaluator can have regarding your performance, the better. He did qualify his answer by adding, "It must be constructive input from a broad audience. By adding some science to the process we will remove some of the threat."

Adlai advocates that a superintendent who truly buys into the district goals should be an entrepreneur. He further explains this thought by describing the true entrepreneur as a person who is committed to self-evaluation. He said, "If we are truly professionals, we will be self-evaluators; 360 is the first step in that direction." Adlai views school improvement and subsequent reform efforts as expectations of the superintendency, but that's not always the reality of the role. His experience has shown him that it cannot be done by one person or from the top down. He hopes that a feedback tool incorporated

into the performance appraisal process for all employees
will raise the standards throughout the district and perhaps
the community. He said, "They are all going to have to be
motivated to want to attain more than they are and that
takes self-initiative." Adlai realizes that the receiver in
the 360 process can choose to do little or nothing with the
data, even dismiss it as inaccurate or invalid. He
maintains that the development and progress monitoring of an
individual's Job Targets will direct even the most cynical
recipients to come around to self realization and eventually
self-evaluation.

The survey results outlined in Table 6 indicate this
case study superintendent was in agreement that the current
evaluation process was effective. When asked if he would
change that mark in consideration of the 360 data provided
during his recently completed evaluation conference he
replied, "It's effective but I'm not in 'strong agreement.'
There are weaknesses, of course. I believe it's effective
because 7 people have been elected to evaluate you, and 360
can be interpreted to be more proactive." When asked to
further explain, Adlai acknowledged that he felt that there
was a better understanding on the part of the board as to
his job functions. In analyzing the data, Adlai felt that
the board more clearly verified his strengths and
weaknesses. Although Adlai is of the opinion that he

received better quality and more specific feedback than in the past, the board did not provide him with a formal written professional growth plan. He said, "They expect me to do that myself in the form of my Job Targets."

Subcase 2: Pat Turner, Board President. Although Pat feels that the board has done a better job with evaluation the past 2 years, the addition of 360 added some depth to what they were already doing. On the survey Pat completed prior to the annual evaluation process, she was in disagreement that the current evaluation process was effective. When asked about that rating she replied, "I would change that. I think the format we are using is straight forward, but it's still open to interpretations if you are looking for hidden little things in it."

Pat believes that the superintendent was provided information that should assist him in his professional growth through the use of the 360 process. She added, "He doesn't have to do a good job for us. He has to lead the district effectively."

Subcase 3: Dan Morris, Board Vice-President. Dan acknowledged most the board's overall comfort level. He said, "It supported our thoughts. The more information the better. I've done four evaluations, and of the four, I felt most comfortable with this one, based on the level and amount of information we received."

Subcase 4: Lowell Schultz, Board Member. Lowell cites the fact that the superintendent is the direct recipient of the benefits of 360 feedback. He said, "I've been on the receiving end of the 360, and I perfectly understand that you have the choice of accepting or dismissing the data. In lots of cases, there are qualifiers out there, and you know the basis on which they were made. I only used it as additional insight. It wasn't a major factor in my evaluation." Lowell stated his "bottom line" by saying, "What are the results of this organization?"

Subcase 5: Carl Nielsen, Board Member. Although Carl endorsed the 360 process as scientific, he did not address how the final evaluation may have contributed to the professional development of the superintendent. The positive nature of his comments indicates he perceives the process as effective. He qualified his perceptions with the fact that he had no previous experience in which to compare the results.

Subcase 6: Richard Jordan, Board Member. Richard maintains that the board had to look at how evaluation was handled district-wide in order to move forward. He said, "If it [360 process] started with anyone but the superintendent, it would be dead in the water!" He feels this may be a system that will help in working with people's attitudes. He viewed it as an effective tool that he

believed could fill a void in the district regarding evaluation that had been around for a long time.

Subcase 7: Jon Harrison, Board Member. Jon was interested in seeing other people's viewpoints regarding the superintendent, but his qualifier for judging the ultimate effectiveness of the 360 process is how the superintendent will move forward. He explained, "One of the comments was that he's not out in the buildings much. Will that change?"

Subcase 8: Karen Lewis, Board Member. Karen believes that the scope of this evaluation is going to be very influential in helping the rest of the staff move forward. She explained, "I'm glad the superintendent was brave enough to do this first, and we've gotten this far. I'm anxious to move it into other areas of administration and teaching."

Summary of Research Question 6

Board members and the superintendent perceived the use of 360 degree feedback as an effective process, which ultimately enhanced past practice. All participants voiced sincerity in the fact that they now had a comprehensive and objective tool to use in measuring the superintendent's performance. This was evidenced in the phraseology they used to describe it such as: thorough, broad based, detailed, offering a range of perspectives, more information, improved situation, scientific, formal,

different points of view, more valid, added credibility, provided additional insight, and so on.

When the superintendent and board members were asked whether they would welcome an outside facilitator to come in and play an active role in the formulation of the summative evaluation document, all agreed that any qualified assistance would be welcome if it could enhance the process. Dan said, "We had a brief discussion with Dr. Martin during our work session, and that was enlightening. It helped me confirm some areas."

CHAPTER 5

DISCUSSION, CONCLUSIONS, AND IMPLICATIONS

Until the past decade, the evaluation of the school district's superintendent had been a highly overlooked process. Many boards simply had the superintendent complete a self-evaluation, or no measure of the organization's CEO was formally recorded at all.

Whether or not superintendent performance evaluation is important is a question that has not been firmly answered in the literature. Empirical evidence is minimal and conflicting, but at present it cannot be said that a majority of board members and superintendents perceive performance evaluations as contributing to the overall effectiveness of the superintendency and the school district (Candoli et al., 1997).

This study followed the process that one Iowa public school board of directors used to measure their superintendent's performance by soliciting input from stakeholder groups. A multiple case-study research design was utilized to discover if tapping additional sources of information regarding the superintendent's performance could ultimately make the evaluation a more meaningful and effective process for both the board members and the superintendent contributing to the overall effectiveness of the superintendency and the school system. Data were

collected from survey responses, from interviews, and from
observations. Chapter 5 summarizes the data analysis and
discusses the results within a framework of three
theoretical propositions related to the effectiveness of
superintendent evaluation. Conclusions are drawn from these
analyses, and the implications of the research of tapping
multiple sources of information when measuring the
performance of the superintendent are discussed.
Implications of this for further research are also
suggested.

Discussion of Findings

The case study superintendent, in his third year with
Hawkeye Community Schools, was hired by five of the present
seven case study board members after an outside consultant
conducted a nation-wide search. He has been evaluated
annually by the board.

The board members participating in this case study
acquired their positions by popular election at large. They
receive no compensation for their services as board members.
When the study commenced in February 1998, the average
tenure of the board members was 4 years, ranging from 6
months to 6 years. Currently there is no formalized process
for board evaluation other than the reality of election or
re-election. All board members have gone to college
completing at least a bachelor's degree. All have children

who are either attending, have previously attended, or will attend the Hawkeye Community Schools.

The practice of evaluating the superintendent was examined through a discussion of the process employed in the case study school district and the roles the participants played in the process. Findings suggest the following answers to each of the 6 research questions posed.

Research Question 1

> What are the purposes of the superintendent's evaluation as perceived by the superintendent and the board members?

The case study superintendent perceives the main purpose of his evaluation is to measure his performance in carrying out his delineated duties as defined in the district's superintendent job description (see Appendix J). He most specifically cites his responsibility to mobilize people toward the accomplishment of board adopted goals and objectives (see Appendix K), financial leadership, as well as the daily operations of the district.

The board members collectively also are most interested in the educational leadership the superintendent can bring to the district. This is evidenced in the purposes of the superintendent's evaluation most often cited: the accomplishment of district goals (see Appendix K), vision, and educational direction. These purposes were highlighted by all board members as areas that they do not feel

competent in planning, setting direction, and making decisions without the assistance of expert leadership. These feelings were shared when they were asked to comment about their preparation for evaluating the superintendent. All case study board members agreed with the nationwide literature that suggests that board members are not adequately prepared to evaluate the district superintendent.

Research Question 2

> What criteria should be utilized in the evaluation process as perceived by the superintendent and the board members?

The superintendent outlined several criteria about which he felt strongly and perceived as important when measuring his performance. Although he delineated seven different criteria, three areas emerged: improvement of the educational process, general operations, and working with the board.

The board members voiced little difference in their perceived criteria and purposes for evaluation. Their perception of the district is more global than the superintendent's. He has the responsibility to oversee all aspects of the organization. He is well aware of the diversity of the parts that make up the whole. The board is somewhat limited in their scope and honestly so. They speak generally about the district as if it were a train heading in one direction or another with all the cars in a straight

line. Many of the board members perceive vision, district goals and objectives, and financial leadership as important criteria.

Research Question 3

> How does the use of multiple sources of information or 360 degree feedback impact the board members rating of the superintendent?

The superintendent believes that his performance ratings were significantly impacted by the 360 feedback. This belief makes the evaluation document more credible and valid in his mind. He was most impacted by the negative comments as he reflected on the evaluation experience.

The 360 degree feedback somewhat impacted the board members' individual ratings of the superintendent but not significantly. Each board member shared that he or she used the 360 data to substantiate or support their feelings about the superintendent's performance. No one spoke directly about whether the data had refuted any of their markings. Lowell was the only board member to voice that he had "softened" in an area where he had found the 360 data to be more positive than he was regarding the superintendent's performance. It is the researcher's opinion that all of the board members truly valued the information that the 360 data provided to them given that it was input from 105 people who have worked with the superintendent. In many cases, it confirmed their perceptions and validated their ratings.

Research Question 4

Does the use of multiple sources of information or 360 degree feedback result in the board providing the superintendent a more detailed and directional plan for the professional growth of the superintendent? If so, in what ways?

The 360 degree feedback did not result in the board providing the superintendent with a written professional growth plan. The superintendent did not expect that the addition of 360 degree feedback would lead to the Board providing any type of formal professional growth plan to him. He sees that as part of the current evaluation process in the form of Job Targets. The Board does not perceive planning for the professional growth of the superintendent as their job, nor do they feel qualified to make decisions regarding the professional growth of the superintendent.

Research Question 5

Does the use of multiple sources of information or 360 degree feedback impact the importance of the evaluation as perceived by the superintendent? If so, why?

The superintendent perceived his summative evaluation as more important knowing that many people who had direct knowledge of him in his role of superintendent had input into the process. The superintendent perceived his summative evaluation document as being significantly impacted by the 360 degree feedback provided to the Board. Therefore, he

voiced having more respect for the importance of the
document measuring his performance.

Research Question 6

> How does the use of multiple sources of information or
> 360 degree feedback impact the overall effectiveness of
> the superintendent evaluation process as perceived by
> the superintendent and board members?

The superintendent and all board members perceive that
using multiple sources of information has positively
impacted the overall effectiveness of the evaluation
process. Despite strong indications that the 360 data did
not significantly impact the board members' rating of the
superintendent's performance, the board members perceive the
use of multiple sources of information as enhancing the
credibility of the evaluation process and a positive
practice that has viable potential.

The superintendent was most impacted by the 360
process. The researcher has observed the superintendent
voice in several settings with district personnel his
reflections concerning his performance and practices as a
superintendent based on his most recent evaluation. The
researcher cannot recall anytime during the past 19 years
that any superintendent has made reference to their
evaluation or has been publicly introspective about their
job performance.

The literature reviewed suggests the following theoretical propositions concerning the effectiveness of superintendent performance evaluation although this has yet to be corroborated by substantial empirical evidence. Analysis of the findings suggests the following support for or evidence against these propositions.

> Proposition 1: The majority of superintendents are concerned about a lack of objectivity in some of the methods used to evaluate superintendents.

Adlai Swenson is concerned about the objectivity of a top-down evaluation process with limited input from multiple perspectives. His concern is not based in a personal fear that his job status is in jeopardy but rather that feedback necessary for a person to improve their job performance, and subsequently the effectiveness of the organization, needs to be solicited from all those affected by the organization.

However, the research on superintendent evaluation indicates the primacy of personal and political factors in board decisions to hire and fire superintendents. If administered appropriately, analyzed effectively, and used for the purpose of professional development, the 360 process can offer a viable addition to board-driven evaluations and/or a superintendent's self-evaluation.

> Proposition 2: Evidence suggests that school board members may not be adequately prepared for evaluating superintendents.

The participants in this study corroborated the premise that school board members may not be adequately prepared to evaluate the superintendent. During the follow up interviews, which were held within 3 working days of the board work session to complete the summative evaluation document, the board members echoed over and over again their vulnerability. Regarding their preparation for the task of evaluating their superintendent, all board members qualified their abilities.

Lowell maintained that they were well versed in a few areas but lacking in others. Lowell stated that board members are not technically competent. He explained that because this is not their full-time jobs, they are not qualified to direct the superintendent to direct the district, but he went on to clarify that the board does represent the public.

When asked about how he perceived his abilities to evaluate the superintendent, Jon immediately reflected back to a comparison of the current superintendent and the previous superintendent in sharing his perception. He said,

> In our position we are a policy board not a governing board; we're not dealing hands-on. We don't have the ability to know if he or she is doing a good job. That's the problem; you think someone is doing a good job or you think they know what they're doing, but you're subject to the information given to you by the superintendent.

Pat said,

> I think that's very, very true. During my tenure on
> the board, the evaluations done prior to the current
> format we are using were inadequate, and perhaps there
> needs to be some changes. Maybe you have a board
> member who doesn't understand what the question is, but
> I think that's more the board member's problem, because
> even when you say something straightforward it's open
> to interpretation.

Carl agreed, based on one evaluation experience. He
explained that to a certain extent he has very little idea
how the superintendent interacts with people downtown or
with the building administrators except for what someone may
have said. Carl stated that he knows how he interacts with
the board and the public to some extent from what he
observes at board meetings.

Karen said that the board absolutely is not prepared to
evaluate the superintendent. She explained, "It's a
learning and growing experience on the board's part. We're
not professionals in the field. We each come with areas of
expertise that are very important, but we do not know all of
the areas. If you look at boards across the nation they may
not be representative of anyone or just a pocket of people."

Richard's thoughts were very similar. He said, "In
some areas, we are very equipped to evaluate the
superintendent, but in other areas we are not--like student
achievement." Dan agreed by saying,

> I'm not an expert in educational philosophy. I'm not an
> expert in curriculum development, and I'm certainly not

an expert in school finance. I know my way around
them, but I'm not an expert.

It takes a long time for a board member to become very
knowledgeable about the intricacies of school finance
etc. If we get a new board member that comes on and
professes to know everything there is, I'm very
suspect. Unless a board member has been in the
president's role or has been on the board for a
substantial period of time, the evaluation could suffer
from the technical aspects of the job.

The perspective was a bit different from Adlai's

viewpoint. He felt the board was skilled enough to handle

his evaluation. He emphasized their level of education and

the professional status of their occupations. He noted that

all of the board members had achieved a post-secondary

degree and were employed in occupations that depended upon

the use of expertise relating to their acquired education.

He did profess a need for a broad focus regarding his job

performance, perhaps more perspective than the board can

provide without the advantage of acquiring information

outside of their individual domains.

> Proposition 3: The majority of board members and
> superintendents do not perceive performance evaluations
> as contributing to the overall effectiveness of the
> superintendency and the school system.

The evaluation of the superintendent of the Hawkeye

Community Schools in isolation will most likely have little

effect on the overall effectiveness of the school system.

The superintendent will be the recipient of greatest benefit

as a result of the first phase of the district's 360 plan.

The participants of this study perceive that the addition of

360 degree feedback into the evaluation process will ultimately contribute to the effectiveness of their school district. As the district's three-phased plan unfolds, the superintendent and the board envisions that each employee's opportunity to review valid feedback from a variety of sources regarding their performance will have a positive influence on their future performance.

The Hawkeye Community Schools is a complex organizational system. It will require more than just the superintendent enhancing his job performance for the district to realize their cherished goals. It will take the community working and evolving hand-in-hand with the schools to realize true systemic change.

Conclusions

Superintendent performance evaluations should be grounded in sound conceptualizations of superintendent duties. Superintendent performance evaluations do not distinguish precisely between superintendent performance and district performance or between superintendent performance and board performance. The findings, reported in response to six research questions and in relation to three theoretical propositions, suggest the following conclusions:

> Conclusion 1: Input from multiple sources of information regarding the superintendent's job performance during the formal evaluation process enhances the communication that occurs between the superintendent and the board regarding job performance and expectations.

The revised evaluation model used by Hawkeye Community Schools relies heavily on sound communication. It is in the best interests of the board, superintendent, and members of the school community to develop an evaluation system that considers input from stakeholders. Not only will this serve to nurture a common understanding of the superintendent evaluation system among stakeholders, but also it will earn widespread respect for the evaluation system's integrity and value to the district. This was evidenced when the case study school district implemented the first of their three-phase plan to incorporate 360 degree feedback into their existing evaluation formats.

The topic of evaluation makes people nervous because often they do not understand what is involved. Some view evaluation as a highly secretive process and potentially corrupt. There is also the opposite swing of the pendulum wherein the participants see the process as simply a ritual with little or no value. Even evaluations systems carefully designed to rigorous standards cause concerns among stakeholders if they are not periodically involved. The 360 degree feedback three-phase plan illustrates to the school community that they play a part all along the way. The researcher, by virtue of the interest the media has had in the first phase, evidenced this. An article appeared on the

front page of the local newspaper shortly after Dr. Martin delivered the orientation meeting for all administrators and the stakeholder group. The researcher interpreted that the purpose of the newspaper article was to highlight the implementation of 360 degree feedback, which would eventually find it's way into all administrators' evaluations, in an effort to promote administrator credibility. Therefore, affirming the need for public school servants to be held accountable for their job performance.

It may strike some as unusual to single out the superintendent's evaluation for public scrutiny when it is not done for other public employees. It is argued that the superintendent is vital to the welfare of the community, therefore, the stakeholders have a right to be consulted and at the least informed as to how the superintendent is performing his/her responsibilities.

The researcher surmised from the interviews with board members that the addition of 360 degree feedback generated more discussion in their closed sessions than the previous evaluation format. Richard described this discussion as "going full circle." He said, "I know why it is called 360 because I saw the whole process come together. I saw the superintendent and the board being evaluated, which is fair.

With the old process, I saw us evaluating the
superintendent. I'd never seen a tool that was able to do
that up until now."

> Conclusion 2: The board perceives the superintendent's
> evaluation as necessary documentation for contract
> termination and compensation.

The Hawkeye Community Schools Board of Directors
understands the importance of documentation when making
personnel decisions. They also realize their vulnerability
in the reality of the practice. Since 1988 they have had a
rocky road in securing high quality superintendents. In the
summer of 1990, the case study school district found
themselves in a lose-lose superintendent situation. They
had just completed the first year with a new superintendent
who had become controversial among school district employees
and the community as well. The board at that time voted to
buy out the remainder of his three-year contract at over
$150,000 and send the superintendent on his way. This was a
bitter pill not only for the board to swallow but also the
community. The community's willingness to shoulder
additional taxes was non-existent for several years in light
of this situation. Although none of the case study board
members were school district directors at the time, they are
aware of the politics and complexity of personnel decisions
involving termination and compensation. This was evident
when three board members directly referred to the

superintendent who served before Adlai. They indicated that his performance was detrimental to the district and that they had not done their homework along the way regarding his performance. Also, there was strong acknowledgement that the superintendent's evaluation will influence compensation decisions. Again, the case study board members are well aware that they now have under their employment a talented and sought after educational leader. They realize that the demand for quality superintendents in the state of Iowa has now exceeded the supply; they have one and will need to be fiscally competitive to keep him. They also realize the importance and challenge of the superintendent position in this diverse semi-urban community regardless of the individual occupying it. The salary offered for the case study school district's superintendency must keep pace with the competitive nature of the position across the state and the Midwest.

It is the researcher's opinion, based on information that the case study superintendent has provided to district administrators, that he is not pursuing other superintendencies despite the public fact that bigger districts offering substantially larger salaries are actively recruiting him. Adlai professes to be interested in positively influencing the achievement and diversity challenges that the Hawkeye Community Schools face to the

exclusion of padding his personal resume' in order to climb career ladders. This is a plus for a district that is not in the best of health. The consistency of leadership, and in this case strong leadership, may be the variable that will inevitably restructure the case study school district and move it toward improvement.

> Conclusion 3: School board members are aware of their lack of preparation to effectively evaluate the superintendent.

The case study board members affirm their inadequacies in their preparation to evaluate the top education administrator of a large multifaceted school system. All board member participants voiced their feelings regarding their expertise in regard to evaluation processes as well as knowledge areas germain specifically to education.

Dillon and Halliwell (1991) report in their study of school districts in New York State, that more than 43% of responding superintendents thought the major weakness of superintendent evaluation processes was that evaluation procedures require skills most school board members do not possess. Not surprisingly, only 16% of school board presidents surveyed recognized the lack of preparation and evaluation skills most board members possess, as a weakness of superintendent performance evaluation processes.

Clearly, training is an issue and a challenge to the development of effective superintendent performance

appraisal. Therefore, state school board policy makers should consider stipulating that all appraisers of public school superintendents shall participate in mandated evaluation training programs, designed to provide appropriate personnel evaluation skills related to the locally established criteria and process.

> Conclusion 4: The superintendent and board members benefit from an outside facilitator guiding the evaluation process.

The participants of this case study advocate an openness regarding the evaluation process. Their commitment to an effective evaluation process was evidenced by their desire to seek out all avenues of assistance in the endeavor, even welcoming direction from an outside facilitator or consultant to guide them in the implementation of 360 degree feedback. Board members shared their need for advice and support regarding the management of the superintendent's evaluation process. In fact, many stated that the entire process gained credibility in their minds when a consultant was hired to administer the 360 process. That being the case, then it is correct to assume that the process would lose credibility if the superintendent were to manage his own evaluation.

Whereas the board president is charged with the responsibility, often by state policy, of conducting and managing the evaluation of the superintendent, typically

these people do not have the expertise needed to do this task. Pat confirmed that she felt her preparation to lead the evaluation process was limited.

> Conclusion 5: There is a need for the board to develop an evaluation process in order to assess its role and performance.

All of the participants of the study commented that the superintendent's evaluation should serve as an opportunity for the board to self-evaluate. Currently, there is no formal structure in place wherein the board either individually or collectively evaluates their performance. Historically, the Hawkeye Community Schools Board of Directors has not been evaluated. Typically across the state of Iowa, elected school officials responsible to the taxpayers and not to any higher authority within the district, are not evaluated.

School boards should be evaluated for the same basic reason that teachers and administrators are evaluated--to improve performance. The case study board members recognized their limitations in regard to evaluation skills.

In order for schools to improve, school boards must strive to overcome their limitations as well as enhance their strengths. The importance of evaluator credibility needs to start at the very top of the public school leadership ladder.

Conclusion 6: For the board and the superintendent to benefit from superintendent evaluation, they need to evaluate the outcomes not just to improve the superintendent's performance but more fundamentally to improve collaborative work of the board and superintendent particularly in areas affecting student achievement.

Hawkeye Community Schools faces many educational challenges that do not have "cook book" answers. The community dynamics that significantly affect the academic achievement of many youth are deeply rooted in the ills of poverty. Because the superintendent serves as the district's chief administrator, it is reasonable to key judgments of his performance to judgments of the district's functioning and achievements. The constraints in the setting must be taken into account. The superintendent should not be held accountable for shortfalls not under his control. Clearly, the superintendent cannot control poverty in the district, nor can the superintendent control limited school finances based on assessed property value. Such factors severely restrict the resources available to the superintendent in attempting to meet student needs and to improve school district services. It is important for board members to consider constraints on the superintendent when interpreting the 360 data and in the process of arriving at judgments about his performance. By thoroughly considering contextual factors, board members can be assured of providing a fair and defensible evaluation.

Finally, the board should take into account its own role and performance. This will require, at a minimum, some self-evaluation by the board.

Implications

Implications for Future Practice

A number of studies emphasize the importance of change agents as important determinants of successful initiation. Outside experts are assumed to possess the ability to approach situations in a more objective manner (Gross, Giacquinta, & Bernstein, 1971). The fact that Hawkeye Community Schools secured the services of an "expert" in the field of 360 degree feedback in the educational domain to institute the practice of multiple raters into performance evaluations, was pragmatic and effective. There was never a word uttered or an insinuation made by any of the participants involved in the study indicating a lack of objectivity in the implementation of the 360 process. Because the superintendent was the first to pilot the use of 360 degree feedback into his annual evaluation, the 360 process may transition down the ranks into all employee groups more successfully. Gross et al. (1971) argued that a strategy of collaborative initiation, one which involves participation of subordinates with superordinates, usually with the involvement of an outside change agent, will have

the greatest impact on the degree to which an innovation is successfully implemented.

Similar suggestions regarding the 360 process were made by two case study board members. Jon stated that he wished he that he had data representing even more than 105 stakeholders. Lowell also mentioned that teacher perceptions were important in his mind, given their high profile in the orgnization. Both, Lowell and Jon, cited that although all teacher groups, elementary and secondary, submitted input into the evaluation process, they would like to get more teacher responses in the future.

School districts interested in 360 degree feedback implementation should consider this model and approach. Smaller school districts may be even tougher ground to plow. Smaller employee groups heighten the fear of identity in assessment and also prove to be "bounded systems" that will require a neutral facilitator to analyze and interpret feedback with employees allowing for confidentiality.

If a district is unable to afford the services of an outside expert, other options the board could consider are as follows:

1.   Arranging with their state department of education to present workshops on the 360 process and training district teams to carry out the responsibilities of the implementation.

2. Having an expert on multiple rater evaluation processes present at a state school board conference to practicing as well as potential board members.

3. Pooling resources with other districts and engaging an expert to conduct seminars for the districts at a shared cost.

This study revealed the need for school districts to seek advice and support regarding the management of the superintendent's evaluation process. Therefore, the following recommendations could be viable options for districts to consider:

1. Some credible body such as the state department of education or a state post-secondary educational institution that credentials educational leaders should create and maintain a list of professionals capable of managing the evaluation process. These professionals would assist the board in establishing its instrument and processes, help identify the tasks to be accomplished, and teach the board the basic techniques needed to manage the process.

2. Boards could employ persons from the approved list for assistance and guidance.

3. Various state level organizations for superintendents and board members could offer training sessions for board members to learn the evaluation process.

4. State-level board organizations need to assist in the development and dissemination of technically sound evaluation instruments that may be adapted to the particular circumstances of the school district such as the 360 plan.

Adequate preparation of boards to evaluate public school superintendents can only result in a win-win situation for all.

Implications for Future Research

The usefulness of 360 degree feedback in the evaluation process must be more definitely established. In order to establish empirical evidence regarding the importance of stakeholder input into superintendent evaluation, multiple case studies of a similar nature must be conducted. It is also important to study the impact of the 360 degree feedback or the use of tapping multiple sources of information when evaluating a superintendent of questionable competency. Longitudinal studies focusing on the effectiveness of stakeholder feedback into Central Office, principal and teacher performance evaluations need to be conducted.

Studies examining the influence of board behavior and attitude on the effectiveness of superintendent performance evaluations may be useful information for state level board organizations in the training and preparation of board members. This study dealt only with the perceptions of

superintendents and board members. Studies of the perceptions of the stakeholders involved in the process need to be conducted to determine their commitment to the task of providing feedback.

Additional Implications of Performance Evaluation

The evaluation of another's job performance is a complex process. The interplay between emotion-laden versus factual gathering of information is difficult to sort.

Future studies in this area need to assess the extent to which various performance evaluation models can effectively bring superintendents and boards together communicating with school community stakeholders about the challenging business of education. It is ironic that coaches in professional sports often are accorded more opportunity to succeed than are urban superintendents. Some survive four or five dismal seasons before their rebuilding efforts come to fruition. In an organization where the stakes are much higher, the public must be educated to the reality that schools will not improve by periodically changing superintendents. The idea that one individual can successfully transform a complex organization by imposing his or her vision in a relatively short period of time is simply myopic (Fullan, 1991).

Perhaps the true measure of an effective evaluation process is not how one perceives it, but whether the person

successfully remains in his or her position as a
superintendent. A possible indicator of effectiveness might
be to determine which superintendents keep their jobs and
grow in their positions while leading their school districts
in meaningful and systemic educational reform as opposed to
those superintendents who were terminated or leave their
positions seeing no other options. If evaluation is truly
effective and in the end is a growth tool, then terminations
and stressful resignations should occur only where unusual,
unforeseen circumstances arise.

Put simply, we must remove the revolving door from the
urban superintendent's office. No organization can be
expected to engage in meaningful reforms when there is
change in top leadership every 2 or 3 years.

> We believe that educational leadership means the
> ability to influence a community and a school staff to
> raise its educational sights. It means the ability to
> get the professional staff and the community to work
> together in developing an educational philosophy and a
> set of educational goals that will provide a firm basis
> for developing school policies and programs. It means
> the ability to work effectively with the staff to
> accomplish these objectives. And it implies the
> ability to convince the community and its key opinion
> leaders of the need to provide sufficient financial
> support for the schools. It also requires enough self-
> confidence on the part of the superintendent so that he
> will be willing to discuss frankly with the community
> the weaknesses as well as the strengths of the schools.
> (Gross, 1958, p. 144)

Educational leadership . . . all that, and keep your
job too! Clearly, the integral role of educational leader

is a prime factor in the maintenance and future reform of K-12 public education. It is a risky fate.

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APPENDIX A

PERCEPTIONS OF
SUPERINTENDENT EVALUATION
SURVEY FORM

Perceptions of

Superintendent Evaluation

A Survey for the Superintendent and Board of Directors

Name_____

Number of years as superintendent/board member_____

I. Purpose of Superintendent Evaluation

Superintendents and board members have different purposes for the evaluation of the school district superintendent. Please circle the response that best reflects the degree to which you believe each response should be a purpose in evaluating the superintendent.

The responses are as follows:
          SA = Strong agreement
          A = Agreement
          D = Disagreement
          SD = Strong Disagreement
          NA = I do not believe it should be a purpose of evaluation

The purpose of the superintendent's evaluation is to:

Improve job related behaviors	SA	A	D	SD	NA
Determine continued employment	SA	A	D	SD	NA
Determine the superintendent's compensation	SA	A	D	SD	NA
Meet DOE state requirements	SA	A	D	SD	NA
Address the superintendent's strengths and weaknesses	SA	A	D	SD	NA
Set expectations for future performance	SA	A	D	SD	NA
Improve instruction	SA	A	D	SD	NA

Help the superintendent work with the board	SA	A	D	SD	NA
Help the superintendent work on personnel matters	SA	A	D	SD	NA
Help the superintendent work with administrators	SA	A	D	SD	NA
Help the superintendent work with teachers	SA	A	D	SD	NA
Help the superintendent work with parents	SA	A	D	SD	NA
Help the superintendent work with nonparent community members	SA	A	D	SD	NA
Help the superintendent work with the business community	SA	A	D	SD	NA
Help on legal issues	SA	A	D	SD	NA
Help the superintendent work with the students	SA	A	D	SD	NA
Help the superintendent work with media-related issues	SA	A	D	SD	NA

Other_____

2. Criteria Used in Superintendent Evaluation

Board members base their evaluation of the superintendent on a number of criteria. Listed below are a number of criteria typically used in superintendent evaluation based on the literature. Please circle the response that best reflects your perception of your district's use of these criteria in its evaluation of the superintendent.

The responses are as follows:
SA = Strong agreement
A = Agreement
D = Disagreement
SD = Strong Disagreement

Knowledge of educational issues	SA	A	D	SD
Student performance - academics	SA	A	D	SD
Student performance - extra-curricular	SA	A	D	SD
Teacher performance	SA	A	D	SD

Administrator performance	SA	A	D	SD
Ability to attain district goals	SA	A	D	SD
Student satisfaction	SA	A	D	SD
Teacher satisfaction	SA	A	D	SD
Parent satisfaction	SA	A	D	SD
Administrator satisfaction	SA	A	D	SD
Avoidance of negative media coverage	SA	A	D	SD
Attainment of positive media coverage	SA	A	D	SD
Knowledge of financial issues	SA	A	D	SD
Budget development	SA	A	D	SD
Budget implementation	SA	A	D	SD
Ability to control tax increases	SA	A	D	SD
Knowledge of site and facility development	SA	A	D	SD
Administers processes to develop long-range facility improvement	SA	A	D	SD
Executes all federal and state laws	SA	A	D	SD
Adheres to high ethical standards	SA	A	D	SD
Demonstrates an attitude of professionalism	SA	A	D	SD
Knowledge of processes to address cultural diversity	SA	A	D	SD
Maintain a positive tone in the district	SA	A	D	SD

3. Sources of Information

Board members make use of a number of sources of information when evaluating the performance of the superintendent. Listed below are a number of sources of information that might be used. Please circle the response that reflects your district's use of these sources of information in its evaluation of the superintendent.

The responses are as follows:

SA = Strong agreement
A = Agreement
D = Disagreement
SD = Strong Disagreement

District test scores	SA	A	D	SD
Citizen responses (phone calls letters etc.)	SA	A	D	SD
Teacher input	SA	A	D	SD
Administrator input	SA	A	D	SD
Student input	SA	A	D	SD
Parent input	SA	A	D	SD
Community input	SA	A	D	SD
Drop out rate	SA	A	D	SD
Student attendance rate	SA	A	D	SD
School district climate	SA	A	D	SD
Superintendent's self-evaluation	SA	A	D	SD

<u>Please circle the response that reflects which sources of information you believe should be used when evaluating your school district's superintendent.</u>

The responses are as follows:

SA = Strong agreement
A = Agreement
D = Disagreement
SD = Strong Disagreement
NA = I do not believe it should be used as evaluation input.

Student achievement scores	SA	A	D	SD	NA
Citizen responses (phone calls, letters. etc.)	SA	A	D	SD	NA
Teacher input	SA	A	D	SD	NA
Administrator input	SA	A	D	SD	NA
Student input	SA	A	D	SD	NA
Parent input	SA	A	D	SD	NA
Community input	SA	A	D	SD	NA
Drop-out rate	SA	A	D	SD	NA
Student attendance rate	SA	A	D	SD	NA
School district climate	SA	A	D	SD	NA
Superintendent's self-evaluation	SA	A	D	SD	NA

4. Effectiveness of Superintendent Evaluation

The responses are as follows:

SA = Strong agreement
A = Agreement
D = Disagreement
SD = Strong Disagreement
NA = No answer - I am unsure

How often is the superintendent formally evaluated in your district?_____

The board shares the results of the evaluation with the superintendent.	SA	A	D	SD	NA
The board provides the superintendent with detailed and directional feedback for professional growth.	SA	A	D	SD	NA
A formal written professional growth plan is provided to the superintendent based on detailed and directional feedback.	SA	A	D	SD	NA
Multiple sources of information are used in compiling the superintendent's summative evaluation document.	SA	A	D	SD	NA
Our current evaluation process is effective.	SA	A	D	SD	NA

Thank you for your assistance in completing this survey.

APPENDIX B

INITIAL INTERVIEW QUESTIONS

AND PROTOCOLS

INITIAL INTERVIEW QUESTIONS AND PROTOCOLS

Thank you for your willingness to meet with me regarding the process used in your district to evaluate the superintendent. As you may recall you recently completed a survey that addressed the reasons for evaluating the superintendent, the criteria that should be used in the process, where the information should come from used in the evaluation, and how effective the entire process may be in your school district. At this time I would like to ask you some questions that will allow me to further explore your feelings and attitudes toward the evaluation of the superintendent. If my questions are unclear, please let me know and I will rephrase them.

(SUPERINTENDENT) February, 1998

1. Please share with me your educational background?

2. Describe what motivated you to become a central office administrator and, later a superintendent?

3. Did any one person serve as a role model or sponsor to you as you pursued the superintendency? If so, in what ways did he/she assist you?

4. How do you describe your relationship with the school board?

5. How do you bring about change?

6. How do you deal with conflict between and among board members?

7. What do you believe are the purposes of the superintendent evaluation process?

8. What types of things do you believe should be examined and measured during the evaluation process? What criteria should you be evaluated on?

9. Where does your board go to gather information regarding your performance? Which sources do you believe your board should tap in order to obtain input into your evaluation?

10. Please describe the process the used in evaluating your performance? How often are you evaluated? Are the results shared with you? If so, how are they shared and by whom? To what extent is your evaluation used by the board to determine contract continuation or duration? Compensation?

11. When was the current evaluation process developed? How is it updated? When is it updated?

12. Why do you feel the current process is effective or ineffective? What do you like most about it? What do you dislike the most about it? What is your role in the current process?

13. Your district is currently undergoing inservice training on the adoption of 360 degree feedback into the evaluation of the superintendent. How do you feel about this implementation into the present evaluation process? Who initiated the implementation of 360 degree feedback in your district? What do you believe will be the ultimate pros and cons of this implementation?

14. Is there any other information that you would like to share with me?

Thank you for your time and effort in answering my questions.

INITIAL INTERVIEW QUESTIONS AND PROTOCOLS

Thank you for your willingness to meet with me regarding the process used in your district to evaluate the superintendent. As you may recall you recently completed a survey that addressed the reasons for evaluating the superintendent, the criteria that should be used in the process, where the information should come from used in the evaluation, and how effective the entire process may be in your school district. At this time I would like to ask you some questions that will allow me to further explore your feelings and attitudes toward the evaluation of the superintendent. If my questions are unclear, please let me know and I will rephrase them.

(SCHOOL BOARD MEMBERS) February, 1998

1. Please share with me your educational and career background?

2. Describe what motivated you to become a school board member? If you had it to do over again, would you pursue board membership again? Why or why not?

3. Did any one person serve as a role model or sponsor to you as you pursued becoming a board member? If so, in what ways did he/she assist you?

4. How do you describe your relationship with other board members and the superintendent?

5. How do you bring about change as a board member?

6. How do you deal with conflict between and among board members and/or the superintendent?

7. What do you believe are the purposes of the superintendent evaluation process?

8. What do you believe are the most important things that should be examined and measured during the superintendent's evaluation process? What criteria should the superintendent be evaluated on?

9. Where do you and the other board members go to gather information regarding the superintendent's performance? Which sources do you believe the board should tap in order to obtain input into the superintendent's evaluation?

10. Please describe the process the used in evaluating the performance of the superintendent in your district? How often is he evaluated? Are the results

shared with him? If so, how are they shared and by whom? To what extent is his evaluation used by the board to determine contract continuation or duration? Compensation? When was the current evaluation process developed? How is it updated? When is it updated?

11. Why do you feel the current process is effective or ineffective? What do you like most about it? What do you dislike the most about it? What is your role in the current process?

12. Your district is currently undergoing inservice training on the adoption of 360 degree feedback into the evaluation of the superintendent. How do you feel about this implementation into the present evaluation process? Who initiated the implementation of 360 degree feedback in your district? What do you believe will be the ultimate pros and cons of this implementation?

13. Is there any other information that you would like to share with me?

Thank you for your time and effort in answering my questions.

APPENDIX C

FOLLOW-UP INTERVIEW QUESTIONS

AND PROTOCOLS

FOLLOW-UP INTERVIEW QUESTIONS

Superintendent (May, 1998)

1. As you reflect back on your recently completed formal evaluation, how would you describe the overall experience?

2. Did the board provide you with detailed and directional feedback for future performance? If so, in what ways?

3. Did the board provide you with a formal, written professional growth plan? If so, please describe the type of direction they provided?

   a. Do you believe that the implementation of 360 degree feedback, which provided the board with information regarding your performance as a superintendent from multiple sources, contributed to the quality and specificity of your final evaluation document?

   b. Do you place more importance on your final evaluation document knowing that many people whom you have direct and frequent contact with, provided information into the process? Why or why not?

4. How will you move forward in consideration of the results of your evaluation?

5. The literature regarding superintendent evaluation suggests that board members are not adequately prepared to perform the job of evaluating the school district superintendent. Would you please respond to that suggestion?

6. Do you have any thoughts or feelings that you would like to share with me regarding the evaluation process with the addition of 360 degree feedback in comparison to previous evaluations done during your tenure as a superintendent in the district?

Thank you again for your time and effort in answering my questions.

FOLLOW-UP INTERVIEW QUESTIONS

Board Members (May, 1998)

1. As you reflect back on the recently completed superintendent evaluation process in your school district, how would you describe the overall experience?

2. Did the board provide the superintendent with detailed and directional feedback for his future performance? If so, in what ways?

3. Did the board provide the superintendent with a formal, written professional growth plan? If so, please describe the type of direction the board provided to the superintendent?

    a. Do you believe that the implementation of 360 degree feedback. which provided the board with information regarding the superintendent's performance from multiple sources, contributed to the quality and specificity of the final evaluation document provided to the superintendent?

    b. Do you place more importance on the superintendent's final evaluation document knowing that many people, whom have direct and frequent contact with the superintendent, provided information into the process? Why or why not?

4. How will the board move forward in consideration of the results cf the superintendent's evaluation?

5. The literature regarding superintendent evaluation suggests that board members are not adequately prepared to perform the job of evaluating the school district superintendent. Would you please respond to that suggestion?

6. Do you have any thoughts or feelings that you would like to share with me regarding the evaluation process with the addition of 360 degree feedback in comparison to previous evaluations done during your tenure as a board member in this school district?

Thank you again for your time and effort in answering my questions.

APPENDIX D

WRITTEN CONSENT FORM

Written Consent Form

To participants in this study:

I am a graduate student at the University of Northern Iowa. The subject of my doctoral research is "An Iowa Public School Superintendent's Evaluation Process: A Case Study." I will be using a qualitative study approach to my research which consists of data collection through the use of surveys, observations, interviews, and the review of artifacts pertinent to the study.

As part of this study you will be asked to participate in completing a survey and an in-depth interview. The survey will focus on your perceptions of the purpose of a superintendent's evaluation, the criteria to be used in the evaluation process, the sources of information that should be tapped, and the overall effectiveness of the evaluation process in your district during the superintendent's annual 1997-98 evaluation process.

My goal is to analyze the materials from your survey, interview, and any observations completed in order to describe the superintendent evaluation process in your school district. As part of my dissertation I may compose the materials of your survey, interview, and observations as a "profile" in your own words. I may wish to use some of the materials for journal articles or presentations to interested groups, or for instructional purposes. I may wish to write a book based on my dissertation.

In all written materials and oral presentations in which I might use materials from your survey, interview, and observations, **I will not use your name, names of people close to you, or the name of your school district.** Transcripts and field notes will be typed with initials for names and in final form the survey, interview, and observations materials will use pseudonyms.

You may at any time choose not to complete the survey or any items on the survey and also withdraw from the interview and observation process. You may withdraw your consent to have specific excerpts used, if you notify me at the end of your interview and any observation sequence. If I were to use any of the materials in a way not consistent with what is stated above, I would ask for your additional written consent. You may contact the Human Subjects Coordinator in the Graduate College at the University of Northern Iowa, (319) 273-2748, if you have any questions about the research or wish to know more about the rights of research subjects.

I am fully aware of the nature and extent of my participation in this project as stated above and the possible risks arising from it. I hereby agree to participate in this project. I acknowledge that I received a copy of this consent statement.

_____   _____

Signature of participant   Date

_____

Printed name of participant

_____

Signature of investigator
Gail Vanous Moon. (319) 277-6375. 1482 Laurel Circle, Cedar Falls, IA 50613 or
Educational Leadership Department (319) 273-2605, UNI. Cedar Falls, IA 50614

APPENDIX E

HUMAN SUBJECTS REVIEW

APPROVAL

The
University of
Northern
Iowa

January 15, 1998

Gail Vanous Moon
1482 Laurel Circle
Cedar Falls, IA 50613

Dear Ms. Moon:

Your project, "An Iowa Public School Superintendent's Evaluation Process: Case Study," which you submitted for human subjects review on 1/8/98 has been determined to be exempt from further review under the guidelines stated in the UNI Human Subjects Handbook. You may commence participation of human research subjects in your project.

Your project need not be submitted for continuing review unless you alter it in a way that increases the risk to the participants. If you make any such changes in your project, you should notify the Graduate College Office.

If you decide to seek federal funds for this project, it would be wise not to claim exemption from human subjects review on your application. Should the agency to which you submit the application decide that your project is not exempt from review, you might not be able to submit the project for review by the UNI Institutional Review Board within the federal agency's time limit (30 days after application). As a precaution against applicants' being caught in such a time bind, the Board will review any projects for which federal funds are sought. If you do seek federal funds for this project, please submit the project for human subjects review no later than the time you submit your funding application.

If you have any further questions about the Human Subjects Review System, please contact me. Best wishes for your project.

Sincerely,

Norris M. Durham, Ph.D.
Chair, Institutional Review Board

cc: Dr. David A. Walker, Associate Dean

APPENDIX F

LOG OF DATA

COLLECTION

LOG OF DATA COLLECTION AND
CONTACT WITH SUBJECTS

1. 1 / 29 / 98 - Board of Directors work session: explained the proposed study and the scope and sequence of the implementation of 360 degree feedback into the existing administrative evaluation process via a three-phase, three - year plan facilitated through ____ State University (see Appendix H).

2. 2 / 10 / 98 - sent surveys and written consent forms to superintendent and board members involved in the pilot studies.

3. 2 / 11 / 98 - 1:00 – 3:30 p.m. observed case study district's Administrative Evaluation Committee work session with Dr. Martin and doctoral assistant Charles Curt from ____ State University. Work session focused on the design and structure of 360 degree feedback evaluation implementation and the role of the Stakeholder Committee during the process. 4:00 – 6:00 p.m. observed the inservice given by Dr. Martin for all district central office and building administrators as well as other specially selected stakeholders. All sessions were held at the Education Service Center.

4. 2 / 27 / 98 - interviewed pilot study superintendent number one.

5. 3 / 2 / 98 - interviewed pilot study superintendent number two.

6. 3 / 5 / 98 - 3:00 p.m. observed Administrative Evaluation Committee Meeting for the purpose of reviewing the proposal for contracted services of Dr. Martin and ____ State University in facilitating all aspects of the three-phase, three - year plan for the case study district (see Appendix H).

7. 3 / 10 / 98 - interviewed pilot study board member number one.

8. 3 / 12 / 98 - interviewed pilot study board member number two.

9. 3 / 18 / 98 - sent surveys and written consent forms to case study superintendent and board members.

10. 3 / 24 / 98 - 3:00-4:05 p.m. interviewed case study superintendent (Adlai Swenson - subcase 1) at Education Service Center.

11. 3 / 25 / 98 - 8:45-10:00 a.m. interviewed case study board member
     (Karen Lewis – subcase 8) at the researcher's school site.

12. 3 / 26 / 98 - 11:15-12:25 p.m. interviewed case study board president
     (Pat Turner -subcase 2) at researcher's school site.

13. 3 / 26 / 98 - 1:00-2:00 p.m. interviewed case study board member
     (Dan Morris - subcase 3) at Education Service Center.

14. 3 / 26 / 98 - 3:30-4:45 p.m. interviewed case study board member (Lowell
     Schultz - subcase 4) at researcher's school site.

15. 3 / 27 / 98 - 9:30-10:50 a.m. interviewed case study board member
     (Carl Nielsen – subcase 5) at researcher's school site.

16. 4 / 2 / 98 - 10:30-11:30 a.m. interviewed case study board member
     (Richard Jordan – subcase 6) at board member's place of employment.

17. 4 / 3 / 98 - 9:00-10:00 a.m. interviewed case study board member
     (Jon Harrison – subcase 7) at researcher's school site.

18. 5 / 21 / 98 – 10:30-11:10 a.m. interviewed case study superintendent
     (Adlai Swenson – subcase 1) at Education Service Center

19. 5 / 21 / 98 - 2:15-3:00 p.m. interviewed case study board president
     (Pat Turner - subcase 2) at Education Service Center.

20. 5 / 21 / 98 – 2:45-3:20 p.m. interviewed case study board member
     (Carl Nielsen – subcase 5) at researcher's scnool site.

21. 5 / 21 / 98 - 4:30-5:15 p.m. interviewed case study board member
     (Lowell Schultz - subcase 4) at Education Service Center.

22. 5 / 22 / 98 - 8:00-8:40 a.m. interviewed case study board member
     (Jon Harrison – subcase 7) at board member's place of employment.

23. 5 / 26 / 98 – 9:00-9:30 a.m. interviewed case study board member
     (Richard Jordan – subcase 6) at board member's place of employment.

24. 5 / 26 / 98 - 10:00-10:40 a.m. interviewed case study board member
     (Dan Morris - subcase 3) at Education Service Center.

25. 5 / 26 / 98 – 5:30-6:00 p.m. interviewed case study board member
     (Karen Lewis – subcase 8) at Education Service Center.

APPENDIX G

SUPERINTENDENT PERFORMANCE

EVALUATION

SUPERINTENDENT

PERFORMANCE

EVALUATION

Performance Characteristics

Job Targets

Performance Factors

Organizational Goals

Community School District

EVALUATION CYCLE

FOR PERFORMANCE EVALUATION OF THE SUPERINTENDENT

The performance evaluation of the Superintendent of Schools is an integral and integrated part of the well-established management system based on objectives and plans of action that are utilized by the   Community School District. The primary purpose of the Superintendent's evaluation is the improvement of performance. The evaluation process requires the Board and Superintendent to address what the Superintendent is attempting to accomplish; to assess how well the Superintendent is doing and to define the areas and priorities for improvement.

Following is a suggested time schedule that incorporates the Superintendent's performance evaluation into the existing management program.

Month	Activity	In Attendance
Apr	District goals approved	Board
Apr/May	Plans of action developed	Administration/Supt
Jul/May	Work on goals	All personnel
Nov/Apr	Progress report to Board on goals	Superintendent
Mar	Completes Superintendent's evaluation instrument	Board members
	Compiles evaluation	Board President
	Evaluation conference	Board President and Superintendent
Apr	Job targets developed	Board/Superintendent
Apr	Action plans set for Superintendent/job targets	Superintendent
May	Salary increase approved Contract drawn	Board Board/Superintendent

1

INSTRUCTIONS FOR USE OF APPRAISAL FORM

1. The Board and Superintendent review the appraisal instrument and procedures. The Superintendent may report to the Board on the current status of each goal statement.

2. Each Board member completes an appraisal form in April. In this phase of the evaluation process, each Board member works independently without consulting any other Board member to rate the performance of the Superintendent. Written comments relating to any item are encouraged.

3. Completed forms from individual Board members are returned to the Board President.

4. The Board President compiles data for each item into a frequency distribution and an average rating. The average ratings for each item are used to calculate an average score of each section. The three section scores are used to calculate a weighted final rating. Individual Board members' responses are **not** identified by name.

5. A copy of the composite evaluation, including comments, is given to each Board member. This is a confidential document and should not be shared with people other than the Board members.

6. The Board will meet and review the composite ratings in mid-April. Each Board member's completed appraisal form is returned, based on the ID number. The composite score for each item, section and final rating represents the assessment of the entire Board and is given primary importance over individual Board member's ratings. The Board will review the composite ratings without the Superintendent present to clarify and further define its appraisal. The Superintendent's self-assessment should also be presented to the Board at this time.

7. The President of the Board presents the performance review to the Superintendent by providing a copy of the Board's composite rating form. The Superintendent may request a conference with the Board of Directors to discuss the evaluation.

8. The Superintendent may submit written comments in response to the appraisal. These comments are to be attached to the final written composite evaluation and placed in the Superintendent's personnel file.

9. District goals mutually approved are incorporated into the next year's appraisal form.

10. Job targets are identified, with appropriate action plans, appraisal methods and timelines developed and placed in Section IV of next year's evaluation form.

2

**COMMUNITY SCHOOL DISTRICT
SUPERINTENDENT'S APPRAISAL FORM
1996-97 School Year**

☐ Board Member Form: Date Completed_____ID#_____

☐ Board of Directors Composite Form: Date Reviewed with Supt:_____

Process

This form is to be completed by each member of the Board of Directors. Please respond to the statements honestly and frankly in reference to the performance of the Superintendent during the past year. Written comments are encouraged, particularly for unusual ratings.

Do **not** sign your name: all responses will remain anonymous. The ID number will assist you in retrieving your form at the time the composite evaluation is reviewed.

Format

The Superintendent's evaluation document consists of four (4) sections as follows:

Section I	Contains general performance traits and characteristics, which are important. but may not have a critical impact on performance.
Section II	Consists of selected performance factors compiled from the position description. critical work activities. and the district's administrative philosophy. Since these performance factors are the primary areas of responsibility. they are more important than performance traits.
Section III	Contains the specific district goals agreed to by the Board and the Superintendent.
Section IV	Contains specific job targets to be used to improve performance for the next evaluation cycle. The Superintendent and Board will set 3-5 targets. The performance profile from Sections I. II and III should be used to suggest targets. Section IV is not included in the final tabulation.

COMMUNITY SCHOOLS
Superintendent's Evaluation
1997-98
May 1998

(1) Marginal: Performance is clearly below acceptable level.
(Does not meet district standards.)

(2) Fair: Performance comes close to being acceptable, but needs
further development.

(3) Competent: Performance is acceptable, satisfactory, sufficient.
(Meets district standards.)

(4) Commendable: Performance is noticeably better than "acceptable."

(5) Distinguished: Outstanding performance is clearly obvious.
(A special category to recognize exemplary district performance.)

SECTION I: General Performance Characteristics

1. Maintains poise in stressful situations while continuing to function in a professional
manner.

1	2	3	4	5

2. Demonstrates patience. understanding. consideration and courtesy.

1	2	3	4	5

3. Demonstrates sensitivity to the diversity of the population within the schools and commu-
nity and promotes a positive view of diversity.

1	2	3	4	5

4. Creates a feeling of unity and enthusiasm among those in contact with the Superintendent.

1	2	3	4	5

5. Demonstrates ability to work with members of the Board of Directors, administrative team, teachers, students and parents.

1	2	3	4	5

6. Demonstrates courage in making recommendations and providing friendly constructive criticism.

1	2	3	4	5

7. Shows a willingness to try new approaches or methods.

1	2	3	4	5

8. Provides verbal communication which is clear, concise and positive.

1	2	3	4	5

9. Demonstrates ability to write in a clear, accurate, logical manner.

1	2	3	4	5

10. Has the ability to see and articulate a "bigger" picture.

1	2	3	4	5

SECTION II: Performance Factors

Improving the Educational Process

1. Monitors and makes recommendations for courses of study and graduation requirements in the district.

1	2	3	4	5

2. Demonstrates ability to organize staff for smooth and efficient operations while attaining district goals.

1	2	3	4	5

3. Utilizes team effort to organize a planned program of curriculum evaluation. assessment and improvements.

1	2	3	4	5

4. Promotes staff development activities appropriate to meet the goals of the district and staff.

1	2	3	4	5

Working With the Board

1. Leads the Board in understanding the school district's facility and financial operation and management.

1	2	3	4	5

2. Advises the Board on recommendations for educational needs. trends. and practices.

1	2	3	4	5

3. Prepares and submits to the Board recommendations relative to all matters requiring Board action. placing before the Board such facts and information as are needed to make informed decisions.

1	2	3	4	5

4. Makes recommendations to the Board for expansion. new construction. remodeling, etc.. in buildings and equipment of the district.

1	2	3	4	5

5. Advises and makes recommendations to the Board on personnel matters involving contract negotiations and contract management. specifically, as such matters affect the budget.

1	2	3	4	5

6. Advises and makes financial recommendations to the Board. based upon sound planning.

1	2	3	4	5

Developing and Managing Staff Personnel and Operations

1. Guides and facilitates the process of recruiting and employing candidates for all positions.

1	2	3	4	5

2. Assigns administrative functions which demonstrate his/her ability to manage with an administrative team philosophy.

1	2	3	4	5

3. Maintains open. effective communication lines with all staff and makes periodic on-site visits.

1	2	3	4	5

4. Makes decisions with counsel and advice of administrative team members.

1	2	3	4	5

5. Serves as an effective leader for administrative team members.

1	2	3	4	5

6. Objectively evaluates programs, practices and personnel.

1	2	3	4	5

7. Provides leadership to assist the Board in the process of planning long- and short-range goals.

1	2	3	4	5

Working With the Community

1. Establishes and maintains a program of public relations to keep the public informed about policies, practices, goals, problems and accomplishments of the district's schools.

1	2	3	4	5

2. Presents a positive image of the schools by participation in community life and activities. Participates in professional organizations.

1	2	3	4	5

3. Encourages open communication with students, staff and parents through an established process. Solicits parent and community input and commitment to district goals, policies and programs.

1	2	3	4	5

4. Strives to build effective relationships between business and the school district. Maintains communications with city officials to maximize long-range planning.

1	2	3	4	5

Professional and Personal Development

1. Maintains high standards of ethics. honesty and integrity in all personal and professional matters.

1	2	3	4	5

2. Keeps current on educational issues and on sound initiatives.

1	2	3	4	5

SECTION III:

SUPERINTENDENT PERFORMANCE ON DISTRICT GOALS FOR
1997-98

> The evaluation of this section should be based on both the accomplishment of the goal and the superintendent's personal leadership in working toward successful goal accomplishment.

1. Improve student achievement. graduation and retention rates.

1	2	3	4	5

2. Mobilize staff to accomplish the District's mission.

1	2	3	4	5

3. Eliminate ethnicity. gender and socioeconomic status as predictors of a student's academic achievement. graduation rate. testing data. discipline referrals. participation in extracurricular activities or parent involvement in school.

1	2	3	4	5

4. Continue to improve the District's fiscal condition.

1	2	3	4	5

5. Develop and implement a capital improvement plan.

1	2	3	4	5

6. Improve and expand all forms of communication to increase student, parent, staff and community satisfaction.

1	2	3	4	5

Evaluators' Comments:

OVERALL RATING

	Average Score	Multiplier	Total
Section I		2.5	
Section II		4.5	
Section III		3.0	
Grand Total			
Final Rating (Grand Total/10)			

<u>Signatures</u>

Board President	Superintendent
Director	Director
Director	Director
Director	Director

SECTION IV: JOB TARGETS

1. Implement processes for the administrative team to systematically address the improvement of student achievement and graduation rate.

1	2	3	4	5

2. Implement processes for the administrative team to carry out the objectives outlined to mobilize personnel to accomplish the district's mission.

1	2	3	4	5

3. Continue the process to obtain recommendations from the equity audit committee and recommend strategies to the Board of Directors to address the committee's finding.

1	2	3	4	5

4. Implement the Strategic Plan to continue the improvement of the district's finances.

1	2	3	4	5

5. Continue to build upon the processes to address the facility needs of the district through the Quality of Education Task Force and through the school site committees. Publish a comprehensive long-range facility plan by May 1997.

1	2	3	4	5

APPENDIX H

3-YEAR, 3-PHASE PLAN

HAWKEYE COMMUNITY SCHOOLS
360 DEGREE FEEDBACK
3-YEAR, 3-PHASE PLAN
(Facsimile of the original proposal)

Introduction

At the request of Superintendent, [name], and the 360 degree coordinator for the district, [name], a series of exploratory meetings with [name] and School Improvement Projects Planning Office personnel were held to determine the desirability of a joint venture. The district sought consultation and training help as well as materials development for survey instruments to provide team-evaluation for central office administrators, principals, and teachers. Using existing job descriptions and performance evaluation instruments, feedback instruments are to be created by [name] personnel with input from the district's Administrative Evaluation Committee and appropriate employee groups.

Although it is proposed that a consulting team headed by [name] will assist the Hawkeye Community Schools in the development of the evaluation system. this project is seen as a joint effort in which the district provides on-site coordination for the development of all activities, with writing support provided bybthe consulting team. The [name] consultants will be responsible for the delivery of research data, gathering demographic data, computer analysis of field test data, development of protocols, introductory training of evaluators and evaluatees, orientation of the administrative staff and Board, and such other duties as may be mutually agreed upon by both parties.

The following plan has been developed on the premise that high-level performance by all professional groups is absolutely essential if the district's goals for the 21st century are to be achieved.

Phases

Three phases within a 30-month timeline are envisioned. This is to be a topdown approach with the superintendent, central office administrators, and principals setting an example for support staff and teachers. The district is fortunate in having a well-defined set of job descriptions and performance appraisal instruments from a previous project with [name] University. These materials are to be abstracted for feedback items to be shared with co-workers and clients.

Administrative Evaluation Committee

To facilitate the creation and refinement of district-level strategies for performance appraisal, adding members to the Administrative Evaluation Committee will create a Stakeholders' Committee. The Stakeholders' Committee will be task-specific centering on superintendent evaluation at the beginning and then moving on to central office administration and principals.

The Stakeholders' Committee must represent all those who have a stake in excellence and equity for the students served by the district. They will work across the entire array of components for 360 degree feedback and performance improvement. The stakeholders do not decide these issues; they decide to recommend solutions, activities, and strategies to the Board. The overall charge

to this group will include the creation of valid, reliable, and legally discriminating feedback from co-workers and clients.

This effort is to serve the district's strategic planning goal, "...to further utilize the district's resources to accomplish its stated measure." A subordinate action plan calls for "improved assessment of personnel performance."

Project Phases

The first phase centers on awareness sessions for the Administrative Evaluation Committee and a wider audience comprised of members of central administration, teachers, selected parents, and community members.

Phase I began with an orientation meeting provided by Professor [name] and Research Assistant [name] on Wednesday, February 11, 1998. Superintendent feedback and feedback to a group of self-selected central office administrators will be accomplished in the spring of 1998. Analysis and report forms will be created which will, subsequently, be used for all participating administrators.

Phase II (Fall, 1998/Spring 1999) will consist of developing and implementing team evaluations for all central office administrators and participating elementary and secondary principals. The maximum number of office participants could be eleven central office administrators and thirty-one principals. Phase III (August 1999 through May 2000) will see the 360 degree feedback system fully operational. Teachers who self-select after receiving feedback from students as a part of site-based improvement activities during phase I, may be included in the orientation and training of Phase III.

Key activities of Phase III include:

November: Insevice all new central office administrators, new building administrators, and all teachers.

January / February: Facilitate feedback process with the superintendent, all central office administrators, principals, and self-selected teachers.

March / April: Meet with Board Members regarding the superintendent's feedback for all central office administrators. Meet with appropriate central office administrators regarding feedback for building administrators. Meet with appropriate building administrators regarding feedback for self-selected teachers.

Schedule of Events

Phase I

# of Days	Location	Dates	Topic / Activity
1	District	Feb. '98	Orientation for Central Office and Building Admin.
2	Campus	Feb. '98	Develop 3-Phase Proposal
1	Campus	March '98	Draft Feedback Instrument for Superintendent
2	District	Mar/Apr '98	Facilitate Feedback Input
2	District	May '98	Meet with Board and Superintendent
1	District	May/Aug '98	Progress Report and Planning
3	Campus	May/Aug '98	Data Analysis

Phase II

# of Days	Location	Dates	Topic / Activity
3	District	Sept/Oct '98	Inservice District

3	Campus	Fall '98	Prepare Materials
4	District	Jan/Feb '99	Facilitate Feedback
5	Campus	Jan/Feb '99	Prepare Reports
2	District	Mar/Apr '99	Feedback Results
1	District	May '99	Planning

Phase III

3	Campus	May/Aug '99	Prepare Materials
2	District	Sept/Oct '99	Training Cadre
1	District	Jan/Feb '00	Feedback Process
2	Campus	Feb/Mar '00	Prepare Reports
2	District	Mar/Apr '00	Facilitate Reports
1	District	May '00	Final Report to Board

Project Outcomes

The district will obtain the following outcomes from this project:

1. Valid, reliable, and legally discriminating performance evaluation information. Employees will know that their evaluations are truthful, fair, and the have the power to sort out superior performance from average to subpar.

2. Accurate information will be generated for promotion, tenure, transfer, and termination decisions.

3. Accountability will be improved. Development of the new system will follow the strategic goals of the district.

4. Decision-making skills will be enhanced for board members, administrators, and staff.

5. A more accurate data base will be provided for planning, compensation, and staff development.

6. The personnel evaluation system will meet the requirements of Iowa State Law.

APPENDIX I

FEEDBACK TO SUPERINTENDENT

SURVEY

**COMMUNITY
SCHOOLS
A LEARNING COMMUNITY**

April 17, 1998

Dear Respondent:

                   seeks your help with reviewing his job performance. The
         Community Schools' Performance Evaluation System calls for an annual
review of all administrators. A component of this evaluation process includes seeking
feedback from a variety of school and community groups regarding the job performance
of the superintendent. The enclosed feedback survey is intended to solicit input from
constituents on various criteria indicative of exemplary leadership. This process of
evaluation and feedback is designed to enhance communication and to enable continuous
improvement and effectiveness of the superintendency.

Enclosed is a 31-item feedback survey, a scanform, and return envelope. Use a number
two pencil to fill in the numbered circle which best represents your perception of how
well each criterion is being met. The lowest level of performance is a score of 1 and the
highest is a score of 4. If you feel that you have no basis for making a judgment, (do not
know) leave that number unmarked. No mark will register zero (0). We invite you to add
your written comments on the backside of the feedback survey. Please return the survey
and scanform in the enclosed envelope to   at the Educational Service
Center no later than April 30, 1998.

We greatly appreciate your help in this important undertaking, which had as its ultimate
goal the improvement of teaching and learning in   Community Schools.

Thank you.

enclosures:
Survey
Answer Sheet
Return Envelope

Community School District
Feedback to Superintendent
Educational Service Center

Rating Scale

No mark = Do not know/not applicable; 1 = Not at all; 2 = To some extent; 3 = To a great extent; 4 = Always

Please indicate your position or group by marking the special code "K" on the answer sheet with the number below:

1. Central Office
2. Principal
3. Parent/Community Member
4. Secondary Teacher
5. Middle School Teacher
6. Elementary Teacher
7. Student Leaders

GENERAL PERFORMANCE CHARACTERISTICS

1. Demonstrates positive leadership when directing, motivating, and coordinating the activities of others. 1 2 3 4

2. Works effectively with associate superintendents, central administrators, community members, and the Board of Education to meet goals. 1 2 3 4

3. Provides adequate opportunities for staff development and for employee self-assessment. 1 2 3 4

4. Determines when change is needed and effectively manages change through communication and problem solving. 1 2 3 4

5. Sets standards to improve the district and involves the community and employees. 1 2 3 4

6. Develops goals, prioritizes demands, manages resources to achieve objectives, and links plans with the district philosophy. 1 2 3 4

7. Communicates clearly to all audiences. 1 2 3 4

8. Demonstrates sensitivity to the diversity of the population within the schools and community, and promotes a positive view of diversity. 1 2 3 4

9. Creates a feeling of unity and enthusiasm among those in contact with the Superintendent. 1 2 3 4

10. Shows a willingness to try new approaches or methods. 1 2 3 4

11. Has the ability to see and articulate a "bigger" picture. 1 2 3 4

Feedback continued

12. Maintains high standards of ethics, honesty, and integrity in all
    personal and professional matters.   1 2 3 4

13. Keeps current on educational issues and on sound initiatives.   1 2 3 4

SPECIFIC PERFORMANCE FACTORS

14. Meets regularly with and orients members of the administrative team.   2 3 4

15. Monitors student achievement and makes recommendations for
    improvement.   1 2 3 4

16. Utilizes a team effort to organize a planned program of curriculum
    development, evaluation, assessment, and improvements.   1 2 3 4

WORKING WITH THE BOARD OF EDUCATION

17. Demonstrates ability to be the Board's executive officer through
    communication and well-defined recommendations.   1 2 3 4

18. Offers professional advice on all matters requiring Board action,
    placing before the Board facts and quality information needed
    to make informed decisions.   1 2 3 4

19. Keeps the Board informed on problems, solutions, and general
    operations of the school system.   1 2 3 4

20. Attempts to create and maintain a harmonious and trustworthy working
    relationship with the Board.   1 2 3 4

21. Makes recommendations to the Board for expansion, new construction,
    remodeling, etc., in building and equipment of the district.   1 2 3 4

22. Advises and makes recommendations to the Board on personnel matters
    involving contract negotiations and contract management, specifically
    on such matters that affect the budget.   1 2 3 4

DEVELOPING AND MANAGING STAFF PERSONNEL AND OPERATIONS

23. Makes decisions with counsel and advice of appropriate staff and accepts
    responsibility for decisions   1 2 3 4

24. Effectively plans and manages financial operations of the district   1 2 3 4

25. Assigns administrative functions which demonstrate his ability
    to manage with an administrative team philosophy   1 2 3 4

26. Maintains open, effective communication lines with all staff and makes
    periodic on-site visits   1 2 3 4

Feedback continued

WORKING WITH THE COMMUNITY

27. Establishes and maintains a community relations program through communication with both the general public and parents.   1 2 3 4

28. Establishes open communication with the news media and maintains appropriate visibility.   1 2 3 4

29. Presents a positive image of the schools by participation in community life and activities. Participates in professional organizations.   1 2 3 4

30. Encourages open communication with students. staff. and parents through an established process. Solicits parent and community input and commitment to district goals. policies. and programs.   1 2 3 4

31. Strives to build effective relationships between business. municipalities and the school district.   1 2 3 4

COMMENTS:

49/98

APPENDIX J

SUPERINTENDENT JOB

DESCRIPTION

COMMUNITY SCHOOL DISTRICT
JOB DESCRIPTION

JOB TITLE: SUPERINTENDENT OF SCHOOLS
CLASSIFICATION: Administrator
IMMEDIATE SUPERVISOR: Board of Directors
(November, 1996)

I.   Job Summary

The Superintendent shall be the Chief Executive Officer of the   Community
School District and shall be responsible for the efficient operation of the District in all its
service divisions. The Superintendent coordinates the total operation of the District per
Board policies, administrative guidelines, and regulations of governing agencies.
Services as executive officer and advisory to the Board of Directors.

II.   Qualifications

A.   Skills, Knowledge, and Abilities
1. Knowledge of state and federal laws and rules governing public school administration.
2. Effective oral and written communication skills.
3. Knowledge and skill in effective supervision/evaluation.
4. Ability to handle adversity in an objective manner.
5. Knowledge of budgeting procedures and management.
6. Knowledge of K-12 curriculum structure.
7. Ability to plan and effectively direct and coordinate service area responsibilities for accomplishing district-wide goals.
8. Knowledge of good research procedures, ability to interpret data and make application to district's needs.
9. Ability to anticipate problems and take preventative action.
10. Skill in delegating responsibility to maximize expertise and the team concept in managing district human resources.
11. Knowledge of community agency interactions and the role education serves as part of a total community.
12. Knowledge of processes to address cultural diversity and associated issues related to student performance and instructional methodoligy.
13. Knowledge of site and facility development, both short and long-range.

B.   Education
1. Masters plus 30 graduate hours minimum in administration.
2. Additional graduate work in administration highly desired.
3. Ph.D. preferred.

C. Certification
   1. Iowa Superintendent's certification required.
   2. Iowa evaluator license.

D. Experience
   1. A minimum of four years successful teaching experience required.
   2. A minimum of five years successful administrative experience required:
      experience of comparable scope of responsibility highly desired.

E. Job Boundaries
   1. District-wide

F. Personal Contacts
   1. Board of Directors
   2. District personnel
   3. Community groups/citizens
   4. Professional associations and agencies
   5. Local, state and national education agencies and regulating bodies
   6. Media

IV. Supervision of Others

A. Associate Superintendents, Executive Director(s), and Directors
B. Principals (as determined in collaboration with Associate Superintendents)
C. Administrative Assistant

V. Responsibilities

A. Serves as executive officer and advisor to the Board of Directors.
B. Attends all meetings of the Board of Directors except when the Superintendent's own appointment, performance, contract, or salary are to be considered. The Superintendent may be requested to attend his/her personnel-related session(s) at the discretion of the Board.
C. Coordinates the preparation of Board agendas and exhibits.
D. Coordinates and checks for accuracy and completeness, all written reports to the Board.
E. Provides leadership and direction for the total operation of the district.
F. Keeps the Board advised on all relevant matters.
G. Evaluates those supervised, reviews evaluations of all members of the administrative team, and makes recommendations to the Board regarding status/conditions of employment for the ensuing year.
H. Maintains an open line of communication with students, parents, citizen groups, the business community and the media.
I. Visits buildings, observes on-going programs and activities as needed to evaluate the day-to-day operations in the district.

J.   Recommends for appointment, election, employment, assignment, transfer, or dismissal all employees of the district.

K.   Directs the preparation of the annual budget for adoption by the Board. Administers the budget as enacted, acting at all times in accordance with legal requirements and Board policy.

L.   Provides leadership for processes to create and maintain long-range financial planning.

M.   Provides financial status reports to the Board of Directs as required by Board policy and by the Code of Iowa.

N.   Is responsible for the instructional program and curriculum development, including course content, selection of curriculum materials, and instructional methods.

O.   Develops rules and regulations as may be necessary to carry out Board policies in a fair, consistent, and effective manner.

P.   Executes all federal and state laws relative to school district operations.

Q.   Maintains all personnel, student, and business records as required by law.

R.   Represents the schools before the public and maintain, through cooperative leadership within and outside the schools, a public relations program designed to keep the public informed as to the activities, needs, and successes of the District.

S.   Communicates with staff regarding relevant Board actions. All communications to the Board shall be through the Superintendent.

T.   Administers activities relating to requests for funds from outside agencies at the local, state and federal levels.

U.   Evaluates and reports on student assessment information, special programs, and new initiatives within the District.

V.   Administers efforts of building administrators and communication between personnel at the Education Service Center and school staff.

W.   Implements system-wide programs in human relations, multi-cultural, and gender fair education.

X.   Administers the processes to implement the use of technology, including the use of computers, and cable TV.

Y.   Recommends the revision or establishment of student attendance boundaries for all schools. Maintains the District's student transfer program and approves the special transfer of students from one attendance center to another consistent with Board policy.

Z.   Administers the processes to develop long-range facility improvement and/or maintenance plans, utilizing staff and public input.

AA.   Coordinates the development of annual goals for the District, supervises coordinates the development of action plans for the goals, and implements processes to address the action plan. Presents progress reports to the Board as deemed appropriate or as requested.

BB.   Maintains professional growth through graduate work, professional organizations, seminars, conferences, and or related professional literature.

CC.   Serves on committees established by the Board of Education as required.

DD. Provides for parent/citizen involvement through district-wide committee processes as deemed appropriate.

EE. Adheres to high ethical standards and demonstrates an attitude of professionalism when acting as an agent of the District.

VI. Physical Requirements

A. Mobility as needed to visit all buildings and classrooms in the district.
B. Must possess and be able to drive a car to provide transportation suitable to accomplish responsibilities.
C. Must be relatively free from hearing and speech impairments.

VII. Working Conditions

A. Office located in the Education Service Center.
B. Frequent evening and weekend work necessary.

VIII. Comments

Must have initiative, be a self-starter, a good organizer, one who models learning and leading, and one who can effectively accomplish tasks through the group process.

IX. Terms of Employment

Maximum three year contract, twelve months per year per Board policy and State law.

APPENDIX K

DISTRICT GOALS

AND OBJECTIVES

COMMUNITY SCHOOL DISTRICT

DISTRICT GOALS AND OBJECTIVES

The following goals and objectives have been identified for 1997-98 to continue the momentum of progress for the district. Goals should impact all staff members in some manner. The 1996-97 goals. objectives and action plan accomplished the general purpose of establishing a necessary structure to move toward measurable excellence. A separate action plan provides detail for each objective. its timeline for completion. the person or persons responsible. and its evaluation or expected outcome.

The following goals and objectives are intended to move the district and staff from structural efforts to measurable results.

1. **Goal: Improve Student Achievement, Graduation and Retention Rates.**

   Objective 1.1 Put into practice the standards. benchmarks. and assessments and implement procedures for retention, promotion or acceleration accordingly.

   Objective 1.2 Establish clear. data based. measurable student achievement targets at each school and mobilize staff to reach those targets.

   Objective 1.3 Implement the efficacy concept as the foundation for curriculum development. standards and benchmarks. staff development. assessment. and planning associated with school improvement.

   Objective 1.4 Implement the necessary curricular activities for a Phi Delta Kappa curriculum audit.

2. **Goal: Mobilize Staff to Accomplish the District's Mission.**

   Objective 2.1 Focus site council and staff efforts. using credible data on student achievement and the realization of the school vision: emphasize measurable targets for school improvement.

   Objective 2.2 Monitor individual school progress on the accomplishment of district goals. the school improvement plan. and the attainment of established achievement targets: recognize distinguished performance.

   Objective 2.3 Continue to link administrator job targets and subsequent evaluations to individual's plans and district goals. and his or her school improvement plan.

   Objective 2.4 Implement effective classroom strategies and establish teacher performance targets accordingly. Evaluate for implementation and recognize. or seek recognition. appropriately.

   Objective 2.5 Identify staff needing a plan of support. based upon clear and understandable data and criteria. and obtain resources accordingly.

   Objective 2.6 Develop and implement a special needs model at each school consistent with the approved district model.

   Objective 2.7 Effectively utilize early dismissals to implement K-8 standards and benchmarks. develop and implement a special needs model. improve student achievement. address preventive discipline strategies. develop criterion referenced assessments at the high school level. and implement the items as listed on each school improvement plan.

3. **Goal. Eliminate ethnicity, gender and socioeconomic status as predictors of a student's academic achievement, graduation rate, testing data, discipline referrals, participation in extracurricular activities or parent involvement in school.**

> Objective 3.1 Implement recommendations from the Equity Audit Task Force.

> Objective 3.2 Implement the recommendations outlined in the "Resolution Agreement" with the Office of Civil Rights.

> Objective 3.3 Implement strategies to quantifiably lower discipline incidents and the number of referrals and to improve the student intake process following discipline measures.

4. **Goal: Continue to Improve the District's Fiscal Condition.**

> Objective 4.1 Apply for the Association of School Business Officials certificate of excellence in accounting practices and plan to apply for the Government Finance Officer's certificate as soon as possible.

> Objective 4.2 Carry out the finance plan to place the district in a debt-free and financially solvent position.

> Objective 4.3 Implement grant application, implementation and accounting processes to ensure that all programs are meeting expectations and that financial management and reporting are sound.

5. **Goal: Develop and Implement a Capital Improvement Plan.**

> Objective 5.1 Present and publish the Quality of Education Task Force recommendations, utilize appropriate community input processes, and place final recommendations before the Board and public for action.

> Objective 5.2 Implement recommendations from the Quality of Education Task Force.

> Objective 5.3 Continue to utilize Physical Plant and Equipment funds as outlined in the Board resolution.

6. **Goal: Improve and Expand All Forms of Communication to Increase Student, Parent, Staff and Community Satisfaction.**

> Objective 6.1 Implement the recommendations from the district's Communication Enhancement Committee.

> Objective 6.2 Methods to improve communication with parents, from a client oriented viewpoint, will be addressed by all site councils.

Approved by the Board of Directors on August 11, 1997.

IMAGE EVALUATION
TEST TARGET (QA-3)

150mm

6"
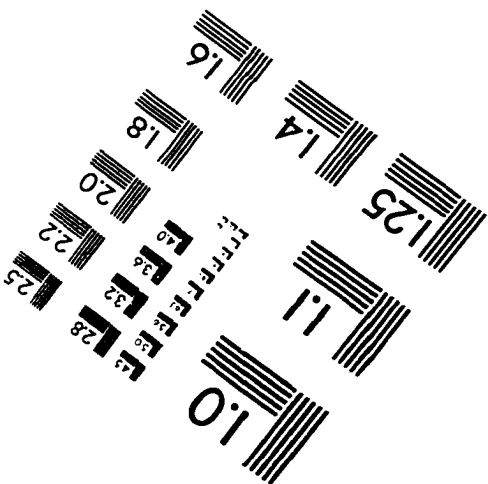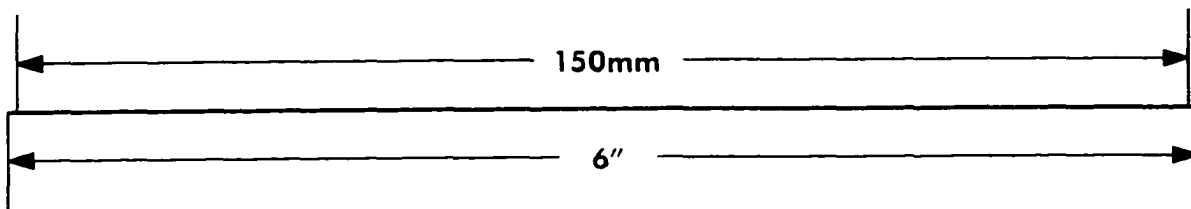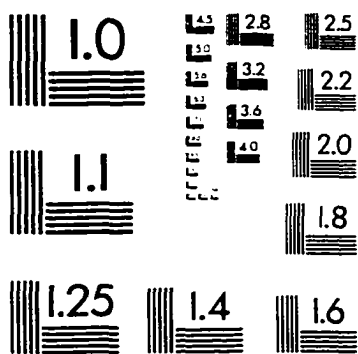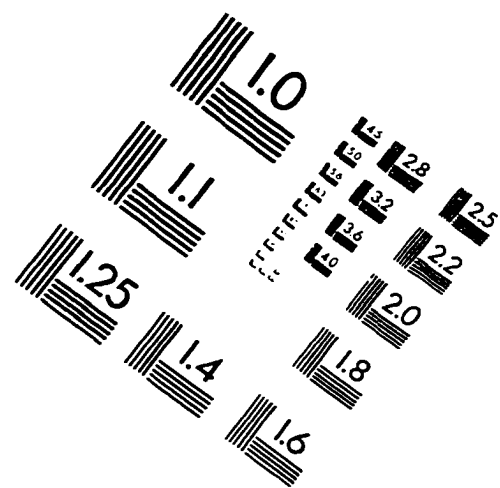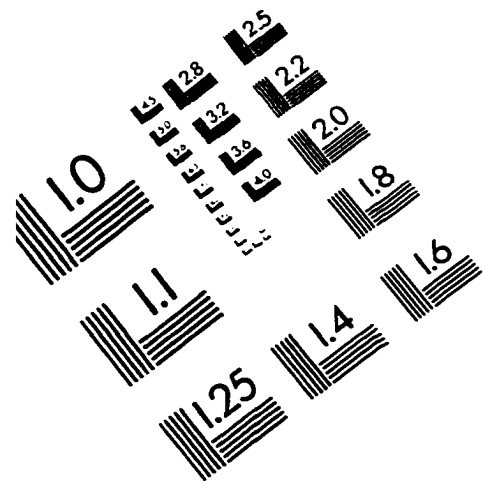
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