

Portland State University

**PDXScholar**

---

Dissertations and Theses

Dissertations and Theses

---

1991

# Resolving the Evaluator/Nurturer Role Conflict of the Elementary School Principal

Judith Elizabeth Drummond Taccogna  
*Portland State University*

Follow this and additional works at: [https://pdxscholar.library.pdx.edu/open\\_access\\_etds](https://pdxscholar.library.pdx.edu/open_access_etds)

**Let us know how access to this document benefits you.**

---

## Recommended Citation

Taccogna, Judith Elizabeth Drummond, "Resolving the Evaluator/Nurturer Role Conflict of the Elementary School Principal" (1991). *Dissertations and Theses*. Paper 1264.  
<https://doi.org/10.15760/etd.1263>

This Dissertation is brought to you for free and open access. It has been accepted for inclusion in Dissertations and Theses by an authorized administrator of PDXScholar. Please contact us if we can make this document more accessible: [pdxscholar@pdx.edu](mailto:pdxscholar@pdx.edu).

RESOLVING THE EVALUATOR/NURTURER ROLE CONFLICT  
OF THE ELEMENTARY SCHOOL PRINCIPAL

by

JUDITH ELIZABETH DRUMMOND TACCOGNA


A dissertation presented in partial fulfillment of the  
requirements for the degree of

DOCTOR OF EDUCATION  
in  
EDUCATIONAL LEADERSHIP:  
ADMINISTRATION AND SUPERVISION

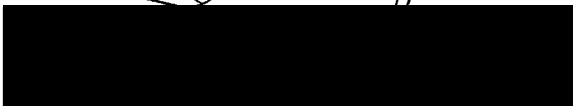
Portland State University  
1991

TO THE OFFICE OF GRADUATE STUDIES:

The members of the Committee approve the dissertation of  
Judith Elizabeth Drummond Taccogna presented June 26, 1991.

  
Joan Strouse, Chair

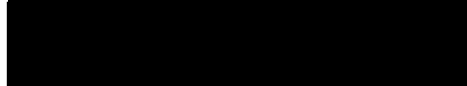
  
John Heflin


  
John Lind

  
Mark Carlton

  
Jack C. Finley

APPROVED:

  
Robert B. Everhart, Dean, School of Education

  
C. William Savery, Interim Vice Provost for Graduate  
Studies and Research

AN ABSTRACT OF THE DISSERTATION OF Judith Elizabeth Drummond  
Taccogna for the Doctor of Education in Educational  
Leadership: Administration and Supervision presented June 26,  
1991.

Title:      Resolving the Evaluator/Nurturer Role Conflict of  
              the Elementary School Principal

APPROVED BY THE MEMBERS OF THE DISSERTATION COMMITTEE:

[REDACTED]

Joan Strouse

[REDACTED]

John Heflin

[REDACTED]

John Lind

[REDACTED]

Mark Carlton

[REDACTED]

Jack C. Finley

This qualitative study explores how elementary school  
principals resolve the role conflict between judging the  
performance of teachers (summative evaluation) and providing



nurturing growth activities (formative evaluation or supervision).

Related research questions were these: (1) How does the principal spend time in summative versus formative evaluation? (2) What factors create role conflict for the principal? (3) What elements help the principal approach congruence in dealing with both responsibilities?

The Delphi technique, a method for structuring a group communication process, was used to collect data from 12 Oregon elementary principals, recommended by district administrators as having expertise in the area of supervision and evaluation. The process included four rounds of questions regarding how they perceived and handled their summative and formative evaluation responsibilities.

Data analysis occurred after each round as well as after all rounds were complete. Analysis of narrative items was done by comparing key elements from written responses. Similar responses were synthesized into consensus statements and presented again to respondents for validation or adjustment in the next round of questioning. Analysis of non-narrative responses was done by using a non-statistical database, disaggregating on several factors, including gender, years of experience as a principal, and school size.

Although most principals reported little or no role conflict, women principals felt more conflict than men, particularly those who had less than five years of experience

in the principalship and who had had other administrative experience in education before becoming a principal. The degree of trust between principal and teacher was ranked first among ten factors identified as affecting role conflict. Strong consensus indicated that four strategies were most effective in addressing both roles: (1) interacting frequently with teachers, (2) building trust relationships, (3) emphasizing the formative, and (4) observing teachers work. The area identified as most important in precluding or lowering role conflict was the use of strong communication skills.

The findings have implications for elementary principals, districts, and universities. The insights into the respondents' management of both roles will assist principals and districts in addressing the dual responsibilities. The results will help districts as well as university training programs provide more appropriate pre- and inservice education for principals.

## DEDICATION

To the memory of MOTHER ... who was the first teacher I knew, both by her mothering nature and by her profession ... who knew much more "academic stuff" than she usually shared ... but who seems to have communicated well the value of learning to me, even while I was yet a little person.

To DAD ... who always said I should be sure to know how to do something practical in life ... who shared my excitement on each new plateau as I learned to do those practical (and rewarding!) things ... who cannot now comprehend the meaning of this step in the process ... but whose enthusiasm for my education and my success was always high, and would be so again if he could know!

To MARY ... who entered my life as I left college the first time ... who has shown unmatched emotional support and love for all the years since ... who has shared the joys and frustrations of this project on a regular basis ... and who can, thankfully and deservedly, now enjoy the celebration with me!

## ACKNOWLEDGEMENTS

I am fortunate to have had the help and encouragement of many people! I would like to acknowledge here the specific contributions of a number of those supportive individuals.

For most of my years at Portland State, Jack Lind was my advisor, a mentor who not only inspired me to enter the program in the beginning, but who through his professional enthusiasm encouraged me to continue at more discouraging points. Joan Strouse, however, provided the spark and motivation to meet the final deadline, when she assumed leadership of my committee upon Jack's retirement. Her friendly, open, enthusiastic approach made the process interesting and the end seem attainable! I thank John Heflin, Jack Finley, and Mark Carlton for their hours of reading and their suggestions as well. Special appreciation is reserved for Joel Arick, whose positive words were the only thing which kept me in the program at a critical point.

Many colleagues in the Beaverton School District have expressed their support in both words and action: Steve Lynch, Executive Director of Elementary Schools, who endured years of writing the same professional growth goal for me (to finish this project!) and nine weeks of my being on leave this past year; Jim Hager, who gave me practical suggestions from his superintendent's point of view; Mary Callan and the

Professional Development Committee, who made a leave of absence possible; Bob Simonsen and Doug Smith, who were willing to substitute for me; the staff at McKinley, who punted much in my absence; and Mike Smith, who mentored me into this principalship in the first place!

Two colleagues deserve special credit for participating in the data collection process. Molly Ramberg performed the time-consuming tasks of responding to all surveys herself to help me refine them and of reading and reflecting upon all incoming data with me. Her insights added clarity both to the survey instruments as well as to interpretations of the results. It's now Molly Ramberg, "D"! Betty Flad, who previewed all surveys, was also an inspiration simply because of who she is as a person and as a professional: she made me know it was possible!

Without support on personal fronts, things professional and academic would have little meaning. So I thank my circle of friends for their patience, encouragement and lack of critical comment as they watched me study at odd times and in vacation places. The Bronze Bunch, in particular, deserves credit for eating "catered" food without complaint!

And above all these other good friends, I thank Bob Roark for his quiet presence, for seeing the beginning as well as the end of the experience, and for keeping me human in the process ... by helping me remember to relax and smell the roses along the way!

## TABLE OF CONTENTS

	PAGE
ACKNOWLEDGEMENTS . . . . .	iii
LIST OF TABLES . . . . .	x
CHAPTER	
I INTRODUCTION . . . . .	1
Statement of the Problem . . . . .	1
Summative Evaluation Responsibilities	
Formative Evaluation Responsibilities	
Role Theory and Role Conflict	
Purpose of the Study . . . . .	8
General Research Questions to Guide the Study . . . . .	9
The Research Methodology . . . . .	10
Method of Analysis	
Subjects	
The Research Process	
Rationale for Use of the Delphi Technique	
Assumptions . . . . .	14
Limitations . . . . .	15
Significance of the Study . . . . .	17
Definition of Terms . . . . .	22
Organization of the Document . . . . .	27
II REVIEW OF THE LITERATURE . . . . .	29
Introduction . . . . .	29
Research Questions	

The Context of Supervision and Evaluation	31
The Historical Development of Supervision and Evaluation Definitions of Supervision and Evaluation	
Role Theory . . . . .	45
Conceptual Overview of Role Theory The Concept of Role Role Conflict Role Conflict Resolution	
The Roles of the Principal . . . . .	58
The Principal as Evaluator The Principal as Supervisor Role Conflict for the Principal Methods of Role Conflict Resolution Used by Principals Trends in Current Practices	
Summary of the Literature . . . . .	94
Historical Development of Supervision and Evaluation Role Theory, Role Conflict, and Role Conflict Resolution The Role of the Principal and Role Conflict Role Conflict Resolution for the Principal Trends in Current Practices	
III METHODOLOGY. . . . .	106
Method of Research . . . . .	107
History Features of the Delphi Technique The Nature of Consensus	
Subjects . . . . .	116
Subjects Selection Process	
Research Instrumentation . . . . .	128
The Four Rounds Validity Considerations	

	Reliability Considerations	
	Data Collection Procedures . . . . .	132
	Data Analysis Procedures . . . . .	133
	Inter-rater Reliability	
	Non-Narrative Responses	
	Narrative Responses	
	Outlier Responses	
	Summary of the Methodology . . . . .	135
IV	Presentation and Analysis of Data . . . . .	138
	Introduction . . . . .	138
	Description of the Respondents . . . . .	139
	General District Demographics	
	School Demographics	
	Personal Demographics	
	District Factors Related to	
	Evaluation	
	Summary of Demographics	
	Round #1 . . . . .	151
	General Scenario A	
	Scenario B	
	Scenario C	
	Scenario D	
	Self-Reports Compared with Narrative	
	Response Items	
	Summary of Round #1 Data	
	Round #2 . . . . .	170
	Degree of Consensus on General	
	Scenario A	
	Degree of Consensus on Scenarios	
	B, C, and D	
	New Round #2 Questions	
	Summary of Round #2 Data	
	Round #3 . . . . .	190
	Distinctions between Summative and	
	Formative Approaches	
	Handling both Summative and	
	Formative Roles in General	
	Barriers to Success	



	Factors Influencing Role Conflict	
	Other Influences Affecting Levels of Role Conflict	
	Priority Practices	
	Trends Predicted for the Field of Supervision and Evaluation	
	Summary of Round #3 Data	
Round #4 . . . . .		213
	Priority Practices	
	Trends Predicted for the Field of Supervision and Evaluation	
	Summary of Round #4 Data	
Summary of Findings . . . . .		217
	Generalities about the Demographics	
	The Existence of Role Conflict	
	Factors Affecting the Level of Role Conflict	
	Trends Predicted for the Field of Supervision and Evaluation	
V DISCUSSION, CONCLUSIONS, AND RECOMMENDATIONS .		222
Introduction . . . . .		222
Review of Research Questions . . . . .		223
	Broad Research Questions	
	Specific Secondary Questions	
Discussion of Results . . . . .		227
	Role Conflict and Role Clarity	
	Women and Role Conflict	
	Barriers to Performing both Roles Effectively	
	Trends Predicted for the Field of Supervision and Evaluation	
	Use of the Delphi Technique	
Conclusions . . . . .		239
Limitations . . . . .		244
Implications and Recommendations . . . . .		245
	For Principals	
	For Districts	

For Administrative Training  
Institutions

Future Research . . . . .	253
Formative and Summative Evaluation as One or Two Systems Teachers' Perceptions of Administrative Practices The Variables Affecting Role Conflict	
Epilogue . . . . .	255
REFERENCES . . . . .	257
APPENDICES	
A REQUEST FOR NOMINATION FROM SUPERINTENDENT . .	267
B DISTRICT RESPONSE CARD . . . . .	269
C ACKNOWLEDGEMENT TO DISTRICT RESPONDENT . . . .	271
D SUBJECT NOTIFICATION LETTER . . . . .	273
E PROJECT OVERVIEW FOR POTENTIAL SUBJECTS . . .	275
F SUBJECT RESPONSE CARD . . . . .	278
G FINAL SUBJECT CONFIRMATION LETTER . . . . .	280
H ROUND #1 SURVEY . . . . .	282
I ROUND #2 SURVEY . . . . .	291
J ROUND #3 SURVEY . . . . .	304
K ROUND #4 SURVEY . . . . .	319

## LIST OF TABLES

TABLE	PAGE
I     Levels of Role Conflict Felt, by Gender . . .	153
II    Principals' Perceptions of District Emphases and Self-Reports of Personal Emphases Compared with Practices Reported In Narrative Responses . . . . .	166
III   Approaches to Accomplishing Both Summative and Formative Evaluation Responsibilities . . . . .	173
IV    Expectations for the Principal in Summative and in Formative Evaluation . . . . .	185
V     Evaluation Activities by Mode . . . . .	192
VI    Consensus on Role Expectations by Others and by Self for Summative and Formative Responsibilities . . . . .	200
VII   Degree of Involvement in Direct Approaches .	202
VIII   Degree of Involvement in Direct Approaches Compared with Level of Role Conflict, Gender, and Years of Experience . . . . .	204
IX    Priority Practices Recommended for the Repertoires of Elementary Principals . .	206
X     Trends Predicted for the Field of Supervision and Evaluation . . . . .	208

## CHAPTER I

### INTRODUCTION

Two primary needs in any organization are appraisal of the performance of employees and development of their skills. The structures necessary to meet those two sets of needs often overlap, creating unclear expectations on the part of managers as well as employees. Learning new or refining old skills involves individuals taking risks; unless the environment provides some degree of safety, those risks will not be taken by employees and the application of training will be less effective. However, at the same time that the employer strives to encourage growth, the manager must evaluate employees to determine their basic competencies on the job, provide for their improvement in order to meet standards, and deal with dismissal issues with marginal employees (Dubinsky & Hartley, 1986; Edwards, 1990). Such evaluations often introduce high degrees of anxiety in the employee, in turn affecting the safety of their environment for growth and creativity.

### STATEMENT OF THE PROBLEM

One of the continuing challenges for the elementary school administrator is to be both critic of and supporter

for teachers in the building. In most elementary schools, the principal is the primary site administrator and must perform the role of evaluator (critic/judge) as well as that of supervisor (supporter/coach). The principal deals on the one hand with summative (judgmental/assessment) and on the other with formative (growth) aspects of evaluation. Although both aspects are a part of the broad concept of evaluation, the tasks characteristic of each responsibility, as well as the expectations for each in the mind of the administrator and the teacher, are somewhat different. Yet each process can make valid and necessary contributions to the effectiveness and growth of both the organization and the individual.

#### Summative Evaluation Responsibilities

The basic purpose of a district's *summative* (assessment) personnel evaluation system is to ensure accountability for the school district by providing a way to verify the competencies of employees and their compliance with district standards (Worthen and Sanders, 1987). Summative evaluation is used yearly in some form for all teachers. From a "personnel office" viewpoint, the summative evaluation role of the principal deals with collecting data related to the demonstrated skills and practices of teachers in order for personnel decisions to be made, including hiring, firing, and granting tenure. Because evidence gathered in this process is subject to public and legal review, it usually is

relatively standardized and tries to be objective, although current literature supports movement toward more subjective and "artistic" styles of evaluation (Eisner, 1985). A major focus of this type of evaluation is to ensure that incompetent teachers do not continue in the system. In this context, the principal is often seen in a threatening and judgmental context.

From a "human resource development" perspective, the principal's summative evaluation role is embedded in the process of encouraging growth in individuals. It might be seen as an end-point summary of how the teacher has performed. Within this context, the principal's role can be seen as less threatening because s/he is seen also as assisting the teacher to succeed in that summative situation.

#### Formative Evaluation Responsibilities

On the other hand, the formative evaluation system's goal is to enhance the transfer of teacher learning to applications in the classroom, resulting ultimately in increased achievement for students. Frequently referred to as the "supervision" aspect of the principal's role, it is an expectation that all teachers receive some type of formative evaluation or supervisory support each year. Created to support the professional development of teachers, formative evaluation systems are designed to "promote excellence by helping already competent teachers attain new levels of professional excellence" (Stiggins, 1986, p. 53). Within

this framework, the principal seeks to be a supportive nurturer of increased capabilities by providing resources for growth and helpful, nonjudgmental feedback on strengths and weaknesses. That feedback might come from a variety of sources: peers, students, parents, self-analysis, or supervisors. Also related to this supervision role are the principal's responsibilities in the area of staff development, i.e., the support provided for teachers' growth through district inservice programs, school-based workshops to address unique school needs or goals, and the incorporation of university classes into school and/or individual teachers' plans for professional development.

#### Role Theory and Role Conflict

By the 1950s, the concepts of role and role conflict were being discussed in social science literature. "Role conflict" was defined by Talcott Parsons (1951) as the exposure of the individual to "conflicting sets of legitimized role expectations such that complete fulfillment of both is realistically impossible" (p. 280). The fact that each of two differing sets of expectations may be legitimate (recognized as reasonable for the position) and institutionalized within an organization creates a potential conflict situation. In addition, those legitimate expectations of the two roles may reflect different values; when both sets of values are internalized by the role incumbent, role conflict is probable.

Therefore, the differences in demands of the various legitimate roles of an individual are often adjusted by the role incumbent according to priority scales within his/her own thinking in order to manage both sets of expectations (Parsons, in Biddle and Thomas, 1966). If the actor prioritizes supervision as his/her major role, for example, the approach to evaluation will be colored by that perception. Further, if the actor chooses as a primary focus the role which is accepted as most legitimate in the societal or organizational context, the individual is likely to experience less role conflict.

However, at points of role conflict, the individual in any role has "limited possibilities of transcending the conflict by redefining the situation" (Parsons, in Biddle and Thomas, 1966, p. 275). The role incumbent may choose one of these alternatives in order to deal with the dissonance:

- (1) an action consistent with one of the expectations or "prescriptions";
- (2) an action consistent with the other of the expectations or "prescriptions";
- (3) a compromise involving modifications to each expectation; or
- (4) avoidance of the situation.

With any of the choices, sanctions from external sources can be applied as well. Those are "rewards or punishments dependent upon how an individual behaves" (Gross, Mason, &



McEachern in Biddle & Thomas, 1966, p. 288), such as recognition by a superior (a positive sanction) or a verbal reprimand (a negative sanction). The possible effects of those sanctions are weighed by the role incumbent as the range of actions are contemplated and will affect the final choice of behavior.

Role conflict is evident in many settings: the son or daughter versus the friend role in a peer group; the teacher versus the wife role in the family (Claesson and Brice, 1989); the professional versus the businessman role of the pharmacist (Quinney, 1964); the military versus the non-military professionals in medical research (McEwen, 1956). Role conflict may appear wherever multiple roles exist: (1) when one individual holds two or more social positions or performs more than one role (such as father, husband, and wage earner); (2) when other individuals or groups hold differing or incompatible sets of role expectations for an individual; or (3) when a person's own values or expectations for a role are different than those of another person or group (Blumberg, 1980; Gross, Mason, and McEachern, 1958; Zurocher in Claesson and Brice, 1989).

In a variety of fields, several individuals believe that a role conflict is inherent in combining the accountability or assessment (summative) and the growth (formative) objectives in the job of a single individual. Those include researchers in education (Blumberg, 1980; Erez and

Goldstein, 1981; Nolan, 1989; Stiggins, 1986) as well as in business (Edwards, 1990; Kahn, Wolfe, Quinn, Snoeck & Rosenthal, 1964). Role conflict in general is recognized in other areas as well: medicine (Quinney, 1964), the military (McEwen, 1956), and industry (Martin, 1956). Such role conflict can create ambiguity and discord which, in turn, can cloud issues, promote indecisiveness, and result in inconsistent behaviors which may increase interpersonal problems and reduce productivity. Educator Arthur Costa and his colleagues (1988) state that "clear guidelines and agreements are needed so that inconsistencies do not undermine trust and, therefore, the capability for the district to function as a learning environment" (p.147).

Some educational theorists, in fact, believe the roles should be performed by two separate individuals for optimum results (Manatt, in Brandt, 1987; Popham, 1988; Stiggins, 1986). Stiggins and Bridgeford (1985) identified the two most commonly mentioned barriers to the use of teacher evaluation information for teacher growth purposes as being lack of administrator time and "the adversarial context of evaluation" (p. 91-94). Development of a stronger link between evaluation and supervision was among the final recommendations made by the administrators in that study.

Some theorists feel the responsibilities of each can be accomplished by the same person, providing supportive structures, perceptions, and definitions of evaluation and

supervision exist (Argyris, in Bolman and Deal, 1987; Hunter, 1988). These acknowledge the potential for role conflict but believe "evaluation is not intrinsically contrary to ... supervision" (Sergiovanni and Starratt, 1988, p. 381) and that the key element in approaching congruence between summative (assessment) and formative (supervision) evaluation is the human relations skill of the administrator (McGreal, 1988, p. 18).

#### PURPOSE OF THE STUDY

The purpose of this research is to explore how an elementary principal, when he or she is the only administrator in the school, can resolve the role conflict which may exist between judging the value of the performance of teachers (summative evaluation) and providing a nurturing climate and supportive professional development activities which foster their growth (formative evaluation or supervision). The study is designed to bring together the opinions of a number of principals who have been recommended for participation because they demonstrate expertise in the areas of evaluation and/or supervision in the opinion of their superintendent or another central office administrator. The final document will include a picture of current effective practices of those "experts" and their consensus on the optimal approaches to use in a variety of situations in which the summative/formative role conflict might exist. It will also reflect

their suggestions for improved practices.

#### GENERAL RESEARCH QUESTIONS TO GUIDE THE STUDY

This study will address a number of questions related to the evaluation and supervision processes; the principal's roles in each; and the role conflict described above. These questions will include the following:

1. How do teachers' perceptions of the evaluation process (Deakin, 1986; Halstead, 1988; Hobson, 1989; Lunsford, 1988; Stewart, 1987) and of the supervision process affect the expectations for or conflicts in the roles of the principal?
2. How does the principal spend his or her time in summative evaluation versus supervision of the professional development (formative evaluation) of teachers (Lunsford, 1988)?
3. What are the key elements which help the principal approach congruence in dealing with both summative and formative evaluation (Deakin, 1986; Gallina, 1986)?
4. Does the purpose of a district's evaluation system affect the degree of role conflict in its elementary principals?
5. How does the need for a degree of role differentiation in order to serve dual purposes of summative and formative evaluation affect how the principal operates (Lunsford, 1988)? And how does this differentiation play out

versus the integration needed between summative and formative systems?

6. How can a formal evaluation system be made more effective in improving the teaching capabilities of teachers rather than stopping at the level of ascertaining whether standards of basic competency are being met?

### THE RESEARCH METHODOLOGY

#### Method of Analysis

The method of analysis will be the Delphi technique, which is a way of structuring a group communication process among "experts" and which has these advantages over a face-to-face meeting:

1. It reduces the possibility of psychological dominance by strong individual(s);
2. it reduces "semantic noise", the parts of group discussions which deal with individual or group interests rather than the topic or problem solving;
3. it reduces group pressure which might cause distortion in individual judgments;
4. it allows participants to interact at their own convenience; and
5. it is less costly than bringing experts together from widely varying geographic locations.

### Subjects

The subjects of the study will be 12 elementary school administrators practicing in Oregon in mid-sized (325-475 students) suburban schools. They will be selected from a list of candidates recommended as "experts" by superintendents, personnel directors, or staff development administrators in their districts; an attempt will be made to select an equal number of males and females. The recommendation as "expert" will be based on the central office administrator's personal judgment, given this statement in the letter which will be sent to the superintendent to request nominations: "The individual must be recognized by you or another central office administrator as having particularly strong skills in the areas of evaluation and/or supervision."

### The Research Process

This research process will involve a dialogue following a format in which participants will be asked to respond confidentially by mail to four rounds of questions on the issue of evaluation. The process will allow participants to express their individual ideas as well as to react to the group responses of other participants. The identities of participants will be kept confidential.

In addition to a statement of the issues, the first survey questionnaire will include background questions and scenarios describing supervision/evaluation problems which a principal might face. Thereafter, the process will involve

successive rounds of questions related to the problems. A general summary of group responses will be mailed with each successive round of questions, allowing subjects to take the group data into account as they respond in the succeeding rounds. The final responses should represent a consensus of the group, in this case reflecting the collective "best practices" and foreshadowing effective directions in which the profession may move in resolving the evaluator/nurturer role conflict in the elementary principal.

For the purposes of this study, "consensus" will be considered as the point at which all participants can accept the summarizing statement(s) which this researcher feels reflects the respondents' feelings on a question. While such consensus is desired, it is recognized that complete agreement may not be possible, in which case the final document will reflect outlier positions.

#### Rationale for Use of the Delphi Technique

The Delphi technique was chosen over other research methods for reason of both research effectiveness and practicality. Two of the strengths of the approach are its reduction of the possibility of one strong personality dominating the group, and the reduction of group pressure in moving toward consensus. In a study of the effectiveness of the Delphi for formulating group judgments, Dalkey (1969, in Morrison, Renfro, and Boucher, 1984) found that when comparing face-to-face discussion versus Delphi, the latter

was more accurate in obtaining the group judgment.

Providing a way to deal with ambiguity is a feature of futures research, the area of research in which the Delphi technique was formulated (Morrison, et al., 1984). The process of the Delphi therefore is built to address issues in which a great deal of ambiguity is present. In this case it is felt that the process will increase principals' knowledge of the complexity of the issue and broaden the range of options available to them in dealing with the ambiguity involved in the complex relationships between principals and teachers.

In addition, the Delphi technique provides a way to look at resolution of conflict without bias from preexisting theory; it is a reflection of what works in practice. This examination of practice for ideas is an approach which has become more predominant in the 1980s versus the traditional methods of inquiry.

The primary advantage of using the Delphi technique in this particular study over single-survey research is the consensus building capabilities of the successive rounds of the technique. Whereas survey research typically requests information at one point in time without the respondents' having knowledge of the opinions of other participants, the Delphi allows respondents to react to the views of others, to refine or clarify the group opinions, and to inject new data for future reaction by the participants. The surveys in the



series evolve as responses are collected.

An additional practical consideration is the convenience of using this survey method. Involving principals from a variety of districts throughout Oregon would mean considerable time out of their schedules in order to bring them to a common location on four different occasions, a factor which could have affected the willingness of respondents to participate in the project. Requesting their repeated responses by mail, however, allowed them to participate in spite of their own sets of demanding professional responsibilities.

#### ASSUMPTIONS

The study will be conducted based on the following assumptions, which the researcher believes to be factual but cannot verify:

1. The respondents will be open and honest in sharing their opinions and practices;
2. the collection of data will be sufficient to allow the project to proceed and make the results useful;
3. the surveys (questionnaires) will be adequate to elicit responses to the questions;
4. the researcher has the ability to synthesize responses in a way which will facilitate consensus formation;
5. the timing of each round of questions will not negatively affect the responses requested;
6. the following elements will sustain the active

participation of respondents throughout the three rounds of questions:

- a. a superintendent, personnel director, or staff development administrator in their district recommended them for participation because of their recognized expertise in the areas of evaluation and supervision;
- b. ideas and dialogue regarding resolution of the role conflict are of value to the respondents; and
- c. the feedback component built into each round of the research model will be valuable both in providing information to respondents and in reengaging them for the following round of questions.

7. the participants' behavior is context-bound within different schools and districts, and meaning is derived from their individual surroundings; therefore perceptions and approaches of participants may vary to the extent that consensus is not possible on some points;

8. the superintendents will demonstrate responsibility in recommending participants for the study who do, in fact, have expertise in the areas of evaluation and supervision;

9. the principals in the study want their staff members to grow and develop.

#### LIMITATIONS

The following limitations represent those factors beyond the control of the researcher which may place restrictions

upon the conclusions and their applications:

1. The sample of 12 elementary principals represents a very few of the total number of elementary principals in Oregon;

2. the ability to generalize the results to principals of all elementary schools is limited because the sample includes only those principals who administer middle-sized schools (325-475 students);

3. the ability to generalize results of the study for the use of all elementary principals is limited because this research includes only elementary principals who have recognized expertise in the areas of evaluation and supervision;

4. the respondents may not fully explain themselves in the narrative portions of the survey, causing important data to be omitted from consideration during the consensus process;

5. the lack of standard role definitions for principals may create widely varying perceptions of roles and expectations in the minds of respondents;

6. the districts in which the respondents are employed may have divergent evaluation and supervision systems which create varying expectations for the principals, making each principal's perceptions of his role(s) somewhat different than the perceptions of other principals;

7. the respondents may be reporting their "espoused theory" (Argyris and Schon in Sergiovanni and Starratt, 1988,

p. 363) rather than their actual "theory in use"; since teacher perceptions are not included in this study, there is no way to tell how closely the principal's self-report parallels his or her actual behaviors in the school;

8. the state of Oregon is a small, northwestern state with a largely Caucasian rural population; with the exception of the four largest districts (which range from 53,130 to 17,750 students), school districts in Oregon range from 11,694 students to 1 student; therefore, the ability to generalize the results of this study is limited.

#### SIGNIFICANCE OF THE STUDY

School districts value maintaining competent employees. To do so involves both evaluating to be sure staff members meet standards or expectations as well as providing appropriate and effective supervision of their work in order to help them grow. The building principal is charged with implementing both programs. Although the magnitude of that task is acknowledged, there are few practical suggestions offered to help principals resolve the role conflict which performing these two major tasks may present. Yet according to Owens (1987), all sources of role conflict "inhibit optimum performance by the role incumbent. On the other hand, reduction of role conflict will increase potential for optimum performance" (p. 63). The extent to which the elementary principal can manage this role conflict will then

affect not only the operation of the school, but the growth of the individual teacher. The results of this study should provide principals with a studied consensus about what already works for practicing principals and about what additional practices would enhance resolution of the role conflict.

More broadly, this study should assist staff as well as line administrators in their efforts to clarify the issues involved in their evaluation and professional development supervision roles and activities and should help them develop more effective practices in addressing the issues in their relationships with supervisees (e.g., curriculum directors supervising and evaluating teachers on special assignments). It should also provide information for districts as they plan for staff development programs which support evaluation and supervision roles and the principal's responsibilities in each area.

This study should also extend, clarify, and verify elements of findings in previous research studies. Contrary to those who feel a role conflict is inherent in the combination of supervisor and evaluator, two research studies found that little role conflict existed. Deakin (1986) reported that principals saw little role conflict, while Lunsford (1988) found that the implementation of a new evaluation system did not adversely affect the comfortable relationships between supervising administrators and teachers. This

current study should provide additional data about the nature and the degree of the role conflict experienced by principals dealing with given scenarios.

In a survey of 300 elementary principals in New Jersey, Michael Gallina (1986) found that although role conflict was high among urban principals, it was lower among principals who were more involved in organizational communications, decision-making, and goal-setting within their schools. He also found that principals who dealt with larger numbers of teachers felt more role conflict but that increased experience as principals served to lower that conflict. Although the sample of the current study is small, the results may bear out his findings (1) by defining the interactive/communication processes principals use in helping and in evaluating teachers, and (2) by comparing the degree of role conflict felt with demographics information regarding length of experience and school size.

A number of research studies have addressed teacher and administrator perceptions of the evaluation process. In a study by Maxine Stewart (1987), teachers and principals showed a "significant difference" in perception about the effectiveness of the administrator in helping teachers to improve their skills, with principals tending to overrate themselves on the amount of assistance they give teachers. David Halstead (1988) found that in comparison with high school teachers, primary grade teachers had a greater degree

of confidence that the evaluation process was, in fact, being used to improve instruction. This present study will help identify ways in which principals use the evaluation system to promote improvement in instruction, while at the same time lowering teachers' anxiety that summative evaluation aspects may break down the trust and collegiality seen as important in making the principal effective (Hobson, 1989; Lunsford, 1988).

Blumberg (1980) suggests that the "interpersonal competence" of the administrator makes a difference in his or her ability to influence teachers. In her research study, Beverly Hobson (1989) found that two evaluator attributes rated the highest by elementary teachers were (1) the working relationship the evaluator had with teachers and (2) his or her interpersonal manner. This researcher will be asking respondents about that working relationship with teachers and the strategies they use in shaping the behaviors and attitudes of other people. The results should define those specific interpersonal strategies which contribute to the management of the role conflict between formative and summative evaluation processes.

Nationally, there is an increase in teacher empowerment awareness, site-based management, staff involvement in the decision-making processes in schools, and administrator-teacher partnerships. These changes involve principals and their staff members in new forms of interaction, the

productivity of which should be enhanced by the principal's ability to manage the possible role conflicts of the dual evaluation roles before potential conflicts decrease the communication which administrator and staff members are attempting to build in other arenas. In addition, David Conley (1989) believes that the "change in the roles and expectations that participants have regarding evaluation can open new possibilities for the process to serve as a vehicle for growth and improvement" (p. 1). He further believes that "by carefully considering roles and responsibilities, it is possible to provide greater guidance and clearer expectations to evaluatee, evaluator, and central administrative staff ... which can help contribute to appreciation of ... a partnership based on trust and mutual respect" (p. 8).

In addition to increased national focus on teacher empowerment, there has been a nationwide trend by communities to hold their school districts more accountable for the quality of education being presented, particularly since the publication of A Nation at Risk (1983). That increased pressure for accountability can easily focus more attention on the summative evaluation side of the issue unless sensitive administrators can put the issue into appropriate context for their communities and staff members. At the same time, research on effective schools says that continuous improvement of teachers and collegiality are now norms in education (Little, 1981). That improvement can be



facilitated through formative evaluation systems (supervision). This study should help clarify the issues involved for administrators which, in turn, should help them avoid indecisiveness, inconsistencies, avoidance, and miscommunications which raise the anxiety levels of school and community and lower productivity within the school.

#### DEFINITION OF TERMS

For purposes of this study, the following terms will be used in accordance with the definitions in this section:

1. Consensus - Consensus will be defined in qualitative terms as the position in thinking at which all participants can accept the stated summarization of group opinion (versus quantitative terms such as the mode of the distribution of ratings or the interquartile range). Biddle and Thomas (1966) describe consensus simply as "the degree of agreement of individuals on a given topic" (p. 33). This researcher recognizes that absolute consensus is rare but that as Gross, Mason & McEachern (1958) stated, "social data frequently, but not invariably, reveal some kind of central tendency or 'strain toward consistency'" (p.74). Through the several rounds of questions and feedback to participants in this study, this researcher will be striving to refine the opinions to a common position which may represent the core of agreement on any point. It will be understood that each participant may have some variance in opinion. Obvious

outlier positions will be represented as such, with explanations from the participant as to why he/she cannot move from his/her position toward the consensus reached by all others.

2. Elementary school - For purposes of this study, an elementary school is a public school which includes any of the following configurations of grade levels: K-5 (kindergarten through grade five), K-6 (kindergarten through grade six), 1-5 (grades one through five), and/or 1-6 (grades one through six).

3. Expert - According to Helmer (1960), an expert is any individual who has a "refined sensitivity" to the relevance of a given body of information to a particular situation or issue, and who, by intuitively applying what s/he knows, can "produce trustworthy personal probabilities regarding hypotheses in his area of expertise" (p. 21). In this study, an "expert" is the principal who, in the opinion of his/her superintendent or another central office administrator, has such intuitive abilities and demonstrates expertise in the area of supervision and evaluation.

4. Formative evaluation - Formative evaluation is often called "supervision." It is designed to promote excellence by increasing the professional capabilities of staff members (Stiggins, 1986) resulting, in turn, in increased student achievement. It is ongoing, descriptive, and non-judgmental (Manatt, in Stanley and Popham, 1988, p.

89). The standards of excellence are not definable like competency standards but vary with the context and the individual. A broader range of data and feedback is permitted.

5. Nurturer - This term applies to the individual in a school who interacts with teachers in such a way as to be supportive as they attempt to assimilate new skills and to grow professionally; the nurturer might be thought of as a coach who provides suggestions directed toward the teacher's refinement of practices, doing so in a way which allows the teacher the freedom to take risks and to fail in the process or working toward success, without jeopardizing his/her overall standing in terms of employment security.

6. Principal - The principal of an elementary school is the on-site administrator who is in charge of all aspects of student welfare and progress, the teaching and support staff, and the instructional program.

7. Role - According to Biddle and Thomas (1966), the concept of role involves a complex set of relationships between role incumbents and behaviors. Generally, the definition of "role" must include three elements: social location, behaviors, and expectations. "How an individual *actually performs* in a given position, as distinct from how he is supposed to perform, we call his "*role*" (Davis, in Gross, Mason, McEachern, 1958, p. 15). Gross, Mason, McEachern (1958) further define a role as a set of expectations or

"evaluative standards applied to an incumbent of a particular position" (p. 60). It may include legitimate or illegitimate expectations, as perceived by the role incumbent. A legitimate expectation is one "which the incumbent of a position feels others have a right to hold" for that position; it is also known as a "perceived obligation". Conversely, an illegitimate expectation is one which the incumbent does not feel others have a right to hold; it is also known as a "perceived pressure" (Biddle and Thomas, 1966, p. 288).

8. Role conflict - Role conflict is the incompatibility between or among multiple roles within a single person or position; it is the "actor's exposure to conflicting obligations stemming from...incongruent expectations within" his position (Gross, Mason, and McEachern, 1958, p. 5). Parsons (in Gross, Mason, and McEachern, 1958) defines role conflict as the "exposure of the actor to conflicting sets of legitimized role expectations such that complete fulfillment of both is realistically impossible" (p. 280). Biddle and Thomas (1966) describe it as a form of "dissensus" or disagreement among individuals (p. 33). They contend that dissensus has two forms: "unpolarized", in which every possible disagreement exists and all options are equally weighted as solutions; and "polarized", in which there are only a few points or positions of disagreement. The latter version is usually called "conflict" rather than dissensus.

9. Role Congruency - Role congruency is the "situation in which the actor perceives that the same or highly similar expectations are held for him" by various groups of other people (Gross, Mason, and McEachern in Biddle and Thomas, 1966, p. 288), e.g., the superintendent who thinks parents, the school board, and teachers all think he should handle a discipline situation in a particular way.

10. Summative evaluation - Summative evaluation is the comparative and judgmental accountability aspect of the personnel evaluation process in which the principal assesses the demonstrated behaviors of teachers to ensure that they meet explicitly stated minimum competencies and/or district standards. It must include legally defensible observable data and must protect the due process rights of the individual. A primary purpose of summative (assessment) evaluation is to eliminate incompetent people from the system.

11. Supervision - General supervision includes the attention given by the administrator to organizational factors such as climate, supportive relationships, educational leadership, and the responsibilities of supervision of instruction in general (versus, for example, "clinical" supervision, which refers to specific face-to-face encounters in the classroom regarding teaching).

## ORGANIZATION OF THE DOCUMENT

This dissertation is divided into five chapters. Chapter I has provided an introduction to the issue of the role conflict which presents itself for the elementary principal and an overview of the research study proposed. Chapter II provides a complete review of the literature in the areas of evaluation and supervision as well as some discussion of the literature in the field of role theory. Chapter III describes the historical development, range of uses, and general processes of the Delphi technique. It also defines the specifics of the selection of subjects and the modifications of the Delphi technique to conform to the needs of this research.

Chapter IV provides information about each of the four rounds of questions to which participants will respond and data related to this researcher's analysis of each round of responses. It also reflects the feedback given to respondents after each round of questioning, illustrating both the form and content of the consensus process in which they will be participating. Final consensus statements (which also will be returned to participants) and analysis of those by participant subgroup will also appear there.

Chapter V includes a summary of the final consensus of participant opinion along with final analyses of the process. It also reflects the directions in which practice should move, in the opinion of participants, in order to reduce the

role conflict and increase the elementary principal's effectiveness. Recommendations for the improvement of practice are made to various potential audiences, including elementary principals, superintendents, staff development personnel, personnel directors, and university education department personnel. Other recommendations are made for areas needing further research.

## CHAPTER II

### REVIEW OF THE LITERATURE

#### INTRODUCTION

This chapter will present an overview of the supervision and evaluation literature in both education and non-education settings. It will also examine the major concepts of role, role conflict, and role conflict resolution theory as they pertain to the research questions.

The roles of the principal in the areas of supervision and evaluation will be defined by reflecting a wide variety of the viewpoints of educational theorists as well as the range of practices being utilized in schools to address the principal's responsibilities. The chapter will also specify the areas in which role conflict may arise or, in the opinion of some, is inherent for the school principal. Those descriptions will include discussions of other variables which may affect the degree of role conflict existing or felt and will present both theoretical and actual models for managing the role conflict issues encountered.

#### Research Questions

The primary research question being considered during this researcher's reading of the literature was how the



elementary principal, when he or she is the only administrator in the school, can resolve role conflict which may exist between summative evaluation responsibilities (assessing the value of the performance of teachers) and formative evaluation or supervision responsibilities (providing a nurturing climate and supportive professional development activities which foster the growth of teachers).

With reference to this primary research question, Chapter I presented several broad, general questions relating to supervision and evaluation roles and district evaluation systems. Several more specific, secondary questions will also be addressed:

1. What are the factors which may create role conflicts in general?
2. What are the factors specific to the educational setting which may create role conflict for the principal between his supervision and evaluation responsibilities?
3. What are the skills needed by the principal which would enhance performance of both roles (supervision and evaluation) and would lower any role conflict between them?
4. What other factors contribute to lessening this role conflict for principals?

## THE CONTEXT OF SUPERVISION AND EVALUATION

### The Historical Development of Supervision and Evaluation

Variations in the nature of supervision and evaluation have somewhat paralleled societal changes during the past two hundred years. In the mid-1800s, the common school era saw a society under the influence of a strongly Protestant morality and the linear "line-and-staff" approaches of a military point of view. In that period supervision and evaluation carried the strong flavor of "inspection" and accountability (Tyack and Hansot, 1982).

With the rise of industrialization, urbanization, and immigration in the late 1800s and early 1900s emerged a more regulatory state designed to manage greater numbers of people. When child labor and compulsory attendance laws boosted the number of high school students to new heights, superintendents found they could no longer handle all of the roles they had previously assumed. A new level of building administrator was created to bear some of those tasks, including supervision and evaluation. Program evaluation and the testing of student achievement also became more widely used (Worthen and Sanders, 1987).

The concepts of efficiency and scientific management, very much in vogue in the industrial sector, were a part of the entire "scientific management movement" of the early 1900s and had a great influence upon the definition of educational supervision and evaluation responsibilities in

that period. Control, accountability, and efficiency were valued highly; a boss-subordinate hierarchy was the norm; and teachers were heavily supervised. Until 1920, the focus of supervision remained "inspection of the schools" to ensure quality. Although that approach was broader than the framework which limits supervision to the overseeing of staff members, it is narrower, from another standpoint, in that it carried a more judgmental character (Tyack and Hansot, 1982).

In the 1930s, supervisors were expected to know broader educational research and make applications of it in order to help teachers form objectives, create curriculum, and be more efficient. Research was beginning to be looked upon not as fixed information but as data to use to refine observation and thinking (Tyack and Hansot, 1982).

In the period that followed, the field of supervision grew and assumed new functions and roles in a random way; some of those new roles included improvement of instruction and construction of new courses of study. In addition, post-war supervision was done along a more technocratic model with more efficiency an important goal, making the field seem more like a machine in operation. The field of program evaluation began to focus more on the outcomes of school (e.g., Bloom's taxonomy of educational objectives) and instruction, a trend which foreshadowed the use of discrete standards in teacher evaluation (Campbell, Fleming, Newell, and Bennison, 1987).

However, the Depression brought much debate over democ-

racy and the incorporation of democratic methods into a variety of settings. In that context, "democratic supervision" developed, emphasizing "the dignity of the individual teacher" (Mosher and Purpel, 1972, p. 16). Supervisors were to help teachers apply scientific methods only when they were in line with democratic values. Concerned mainly with freeing and maintaining the talent of the teacher, supervisors stressed warmth, friendliness and leadership to avoid threat, insecurity and authoritarianism. Viewing leadership as a shared responsibility, there was a greater degree of full staff involvement in educational planning (Sergiovanni, 1982).

In the democratic approach, supervision was seen as having three aspects: supervision as (1) inspection, (2) teacher development, and (3) curriculum development. Inspection responsibilities included assessing teachers to maintain standards and to make personnel decisions toward keeping up the quality of education for the public it served. Proponents, however, also maintained that supervision should more often emphasize assisting the teacher. The supervisor's concern for teacher development acknowledged the belief that after concern for the welfare of children, the teacher is the key to learning and can improve with support. In the curriculum development area, supervisors addressed content and materials but also felt that addressing the needs of teachers as people was an important element to effecting

lasting changes in the curriculum (Mosher and Purpel, 1972).

In 1930, Kyte defined the goal of supervision as the process which promotes "the maximum development of the teacher into the most professionally efficient person she is capable of becoming" (Mosher and Purpel, 1972, p. 17). His definition includes elements of both of the supervision themes which were pervasive in the period from 1920-1950: democratic supervision ("development of the teacher") on the one hand, and scientific supervision ("efficient person") on the other. They each represented different viewpoints, both in terms of means and ends. While democratic supervision focused on nurturing the individual, scientific supervision emphasized that teaching was a "science"; that teaching could be scientifically controlled; and that supervisors were expected to find the best methods for the teacher, who was then expected to produce the best product possible. In the framework of scientific supervision, importance was placed on the hierarchy of the organization and on evaluation as a means of ensuring efficiency and productivity.

A further derivative of the democratic administration movement of the 1930s, the "human relations management" was coming into its own as well about mid-century. Sergiovanni (1975) describes this style of administration as one which worked for the satisfaction of the worker, promoting harmony, meeting social needs, and arranging pleasant working conditions. The "whole person", including his feelings, was

important to the employer, not just the skills the employee possessed. In supervision, the approach was often very laissez-faire, which included employees being asked to write their own evaluations. Teachers were nurtured by administrators, perhaps, according to Sergiovanni, so that they would be more pliable for them!

In reaction to the human relations management era and its lack of emphasis on the teacher in the classroom, a neo-scientific management movement began in the 1960s, with renewed interest in control, accountability, and efficiency. As in prior movements, there was evidence of a certain lack of trust in a teachers' abilities and in their willingness to be interested in school and in improvement. The increase in the number of government sponsored programs (e.g., ESEA with its Title I component) involved many more educators in evaluation of the effects of programs in order to justify continuation of funding. This increased awareness of and expertise in evaluation seemed to carry over into personnel evaluation, as evidenced by the incorporation of teacher competencies and performance objectives into evaluation systems. Technical and rational control mechanisms were often used by supervisors in lieu of personal, face-to-face supervision. Externally imposed authority and impersonal features of the movement often created lack of acceptance from teachers. The popularity of cost-benefit analyses emphasized the detached, task-oriented approach of the era.

McGregor's delineations of Theory X represented a conceptualization of the thinking in that era about the nature of work and motivation (McGregor, in Sergiovanni, 1975). The assumptions of that theory include these: (1) people dislike work and will avoid it where possible; (2) one must persuade, reward, and punish in order to get good work from people; and (3) people need to be directed and want security. Supervision under Theory X involves one of two approaches: either a "hard" one, using strong leadership to exercise tight controls in order to manipulate outcomes; or a "soft" one, attempting to influence people to be compliant through superficial or paternalistic means.

On the other hand, McGregor's Theory Y (in Sergiovanni, 1975) assumes that (1) people will work toward objectives when they are committed to them and will respond to self-control or self-direction opportunities; (2) people have a capacity to use their imagination and creativity to solve problems; (3) people are capable of accepting help and will seek it where necessary; and (4) work is natural, so people will approach it enthusiastically. Based on Theory Y philosophy, Sergiovanni (1975) designed a model for "human resources supervision", which involves a developmental approach, building mutual trust, interpersonal respect, and commitment to shared objectives.

Also in the 1970s, a specialized approach to supervision was developed which built upon the elements of Theory Y.

"Clinical supervision" proponents felt that the "clinic is the real world" (Garman, in Sergiovanni, 1982). They used the cycle of supervision first promoted by Morris Cogan (1973), which included establishing a relationship, planning with the teacher, observing, analyzing, conferring with the teacher, and renewing the planning process for future interactions. The strengths of clinical supervision included the fact that it was based on a positive relationship with the teacher, that it involved active interaction with the teacher, that it focused on growth of the teacher, and that the supervisor was trained to provide valuable feedback for the teacher. Clinical supervision incorporated the concepts of collegiality and collaboration, which were becoming the by-words of supervision in the 1970s and 1980s.

Extending supervision strategies which are collegial and collaborative, the latter decade brought focus to "artistic" supervision (Eisner, in Sergiovanni, 1982). The premises of this approach to working with teachers includes the belief that the whole of the teaching act is more than the sum of its parts, i.e., that the presence of satisfactory marks for each discrete teacher competency on the teacher evaluation form does not in itself indicate that quality teaching is occurring. Whereas scientific supervision tended to isolate the acts and behaviors in the classroom, artistic supervision is concerned with the process and with nuances of meaning as well; it looks at the gestalt of all that is happening in the



teacher-student interaction. It pays attention to the expressive character of events, not just the literal. A very perceptual approach (Coombs, 1962), it promotes "educational connoisseurship" in the supervisor in that it supports the supervisor's sharing of "educational criticism" (Sergiovanni, 1982, p. 61-62) with the classroom teacher. Such criticism refers not to a negative appraisal but rather involves the ability of the supervisor to express what he observes in the classroom in the language of fine arts "criticism," using metaphor to capture more of the character and mood of the setting and enabling the teacher to understand subtle but powerful aspects of the situation to which he is too close to monitor. Artistic supervision also expands the ways of looking at teacher behaviors to include artifact collection and development of portfolios.

#### Definitions of Supervision and Evaluation

The concepts of supervision and of evaluation seem to have been intertwined throughout the history of the field. Literature related to supervision almost always includes reference to evaluation processes, and vice versa. Two additional descriptors are also frequently used to describe particular aspects of evaluation: those are "summative evaluation" and "formative evaluation". As indicated in Chapter I, the term "summative evaluation" is used to describe the more formal "evaluation" which each teacher receives on a yearly basis, whereas "formative evaluation" is

often used as a synonym for ongoing "supervision".

The distinctions between these two terms relate to three characteristics: (1) the purpose of the evaluation, (2) the portion of the content covered by it, and (3) the level of generalization. The purpose of summative evaluation is to measure in a more general way the longer range outcomes upon which the evaluatee has worked over a period of time. In this case, a judgment is made *after* the period of learning or implementation as to the effectiveness of the instruction or the learning. On the other hand, formative evaluation focuses only on a part of the outcomes or on a specific behavior which would be prerequisite to accomplishing the total long-range task.

In his work in curriculum improvement, Michael Scriven was the first to use the term "formative" (Bloom, Hastings, and Madaus, 1971). He believed that "formative evaluation involves the collection of appropriate evidence *during* the construction and trying out of a new curriculum in such a way that revisions of the curriculum can be based on this evidence". He said its main purpose is to "determine the degree of mastery of a given learning task and to pinpoint the part of the task not mastered" (in Bloom, Hastings, and Madaus, 1971, p. 117). Bloom and his colleagues (1971) contended that "since formative evaluation takes place during the formation stage, every effort should be made to use it to improve the process" at hand (p. 117). They also

acknowledged that the concept was applicable in instruction and student learning as well as in the original context of curriculum development.

Summative evaluation. Applying these ideas to the field of educational personnel supervision and evaluation is a simple next step. From that frame of reference, "summative evaluation," then, purports to make judgments upon the broad abilities of a teacher as demonstrated across the range of a year in the classroom. It involves evaluation of the totality of the complex set of behaviors which make up effective teaching and speaks to whether broader outcomes for the year have, in fact, been attained over the course of the year. Conducted at the end of a long period of time, it contains judgments about the quality of instruction. The purpose of the evaluation is "to collect information in order to make administrative decisions, such as salary increases, promotions, or dismissals" (Lewis, 1982, p. 9). The audience for the results includes both the teacher and external agencies such as the district personnel office and the state department of education.

Formative evaluation. In contrast, "formative evaluation" seeks to ascertain the level of mastery of specific teaching skills and strategies at a variety of points *during* the school year, while the teacher is refining those skills based on the information obtained through the formative process of interacting with his or her supervisor. Occurring

frequently, it provides immediate feedback to use in improving instruction; it allows and encourages mid-course corrections! The responsibility of the supervisor includes developing the kinds of information which will be beneficial to the teacher, finding the best ways to communicate those, and looking for ways to reduce the negative effects which may come with many forms of evaluation (e.g. by having the teacher make the judgments about the data collected). The purpose of formative evaluation is to gather information "in order to improve individual performance" (Lewis, 1982, p. 9). The audience is limited to the teacher and the supervisor.

While summative evaluation is usually referred to simply as "evaluation", formative evaluation is most usually associated with "supervision." In practice, however, the lines between the two are often blurred, with formative evaluations playing a part in summative evaluations, and the results of summative evaluations being used for both summative and formative purposes because of the ongoing and cyclical nature of learning (Worthen and Sanders, 1987). According to Scriven (1988), "sometimes, the best summative process will spin off useful formative insights. But recommendations for improvement in teaching typically require more detailed diagnostic evaluation and a different kind of knowledge than personnel decisions" (p. 112-113).

Although he acknowledges that educational supervision does not always function in the classical sense, Sergiovanni

(1982) provides the classic definition of supervision: "a formal organizational act" performed "to support and enhance an organization's work system and to ensure productivity, quality, and achievement of organizational goals." He feels it is the "critical link between organizational goals and production" (p.93). In 1988, Sergiovanni and Starratt go on to explain that although "clinical supervision" is designed to be helpful to the teacher by focusing on actual teaching behaviors, evaluation is involved because "informal judgments are part of clinical supervision" (p. 357).

Other perspectives on definitions. In the literature, theorists offer a variety of additional perspectives to these definitions of summative and formative evaluation. Some see the summative evaluation process as the overarching concept. For example, Mosher and Purpel (1972) believe that evaluation "can help teachers learn by clarifying and discussing what in the teaching is ineffectual and requires improvement" (71). David Conley (personal communication, November 19, 1989) sees the broad evaluation area as "a human relations process with multiple methods and outcomes". In their Rand report, Wise, Darling-Hammond, and McLaughlin (1984) speak of teacher evaluation as "one of the most powerful ways to impact instruction" and as "an improvement strategy" (p. 23). Respondents in that study repeatedly pinpointed two results of teacher evaluation: first, that there was improvement in teacher-administrator communication (e.g., getting help,

improving climate, increased teamwork); and second, that there was increased teacher awareness of goals of instruction and classroom practices.

Others view formative evaluation (supervision) as the broad arena, with summative evaluation as only one aspect of supervision. For example, Ben Harris (in Glickman, 1981) identified 10 tasks of supervision: developing curriculum, organizing for instruction, providing staff, providing facilities, providing materials, arranging for inservice education, orienting staff members, relating special pupil services, developing public relations, and evaluating instruction (p. 6). Sergiovanni and Starratt (1988) believe that the coexistence of "summative and formative evaluation of teacher performance...is not intrinsically contrary"... "in fact, the summative and formative stages of the larger supervision process can complement each other (p.356).

But many theorists feel that all of the purposes of both forms of evaluation cannot be accommodated within the same system. Wise and Darling-Hammond (1984) see evaluation serving four purposes: "individual staff development, school improvement, individual personnel decisions, and school status decisions. The first two purposes involve improvement; the second two, accountability." They contend that "different processes and methods may better suit individual objectives" (p. v).

Fenton (1989) lists five purposes of evaluation: (1)

identifying and eliminating poor teachers; (2) improving the quality of instruction; (3) providing fair and satisfying treatment to all participants; (4) reflecting and encouraging diversity and personal development; and (5) encouraging cognitive and professional development of teachers. He believes one system cannot meet needs in all of these areas; he would address the last four purposes in the "standard system, and create a separate procedure for the person who is a candidate for possible dismissal" (p. 1). The standard system which he envisions would be an evaluation process "identified as the context which would bring together the teacher and supervisor in a cooperative relationship" (p.2).

That agrees with Manatt's perception that "performance evaluation alone does nothing. Linking performance appraisals to sound learning theory and skilled supervision succeeds" (in Stanley and Popham, 1988, p. 10). A panel of educators in Fenton's work (1989) also concluded that the "process of evaluation was less important than the development of a supportive relationship where a teacher and supervisor are working together to improve performance" (p. 2). Whereas summative evaluation was designed to make judgments about personnel, the goal of supervision (formative evaluation) is to "help teachers learn how to increase their own capacity to achieve professed learning goals for their students" (Glickman, 1981, p. 3). Like many others, Blumberg (1980) also believes the goals of supervision are to improve

instruction and to enhance the personal and professional growth of teachers.

Such theorists believe that two separate but related structures must be provided to effectively address all the purposes and needs. The existence of either system alone would not provide or maintain effectiveness of instruction or the quality of the education within the district. Educators differ in the beliefs as to whether supervision and evaluation can or should be handled by the same individual. The differences in those beliefs determine the nature of the supervision and the evaluation systems within districts as well as the manner in which individual principals handle them within schools. Districts have, therefore, adopted a variety of formats into which they incorporate practices of both summative and formative approaches.

#### ROLE THEORY

Before those formats are described, however, it is important to look at the contributions of the field of role theory in order to see how roles and role conflict affect the functioning of the school principal and his or her manner of approaching supervision and evaluation responsibilities.



### Conceptual Overview of Role Theory

Because role theory attempts to explain "complex, real-life behavior as it is displayed in genuine ongoing social situations" (Biddle and Thomas, 1966, p. 17), it provides a way to look at work situations by analyzing role expectations for behaviors in particular settings (Little, 1981). Among other aspects, theorists look at the phenomena of socialization, interdependence, social position, conformity, and specialization of performance. Researchers feel that much of an individual's behavior is determined by external influences in the past or present, including the "prescriptive framework of demands and rules, the behavior of others as it facilitates or hinders and rewards or punishes the person, the positions of which the person is a member, and the individual's own understanding of, and reactions to, these factors." (p. 17).

The field of role theory has roots in the late 1800s and early 1900s in the works of both American and European theorists such as Dewey, Binet, Sumner, Moreno, and Piaget. The concepts about which they wrote were similar to those involved with "role", although they did not use that term technically.

The emergence of writings identifying role as a technical concept occurred in the 1930s. Three theorists made major contributions at that point and helped establish the idea of role as a term and a concept in the social

sciences:

1. George Herbert Mead studied "reflexive" behavior involved in social interaction and the phenomenon of "intelligent social control" ("maintaining order in a continuously changing social organization"). He called this behavior "role taking". (Biddle and Thomas, 1966, p.7).

2. Jacob Moreno began the use of role playing in psychodrama and sociodrama, first using the terms "role" and "role playing" in 1934. He defined three types of roles: (a) "psychosomatic, such as the sleeper, the eater, the walker"; (b) "psychodramatic roles as a mother, a teacher, a Negro", and (c) "social roles, the mother, the teacher, and the Negro" (Biddle and Thomas, 1966, p. 7). Moreno felt roles were generated in a two-step process: role perception and then role enactment. He clarified the concept of role-playing as a "way of learning to perform roles more adequately" in contrast to role-taking as "an attitude frozen in the behavior of the person" (Moreno, in Biddle and Thomas, 1966, p. 7).

3. Ralph Linton contributed the distinction between "status" and "role." To him, "status" refers to the rights and duties of a position whereas "role" refers to the "dynamic aspect of a status" (Biddle and Thomas, 1966, p. 7). When an individual "puts the rights and duties which constitute a status into effect, he is performing a role.... Every individual has a series of roles deriving from the

various patterns in which he participates and at the same time a "role" in general, which represents the sum total of these roles and determines what he does for his society and what he can expect from it" (Linton, in Biddle and Thomas, 1966, p. 7). Modern writers in the 1960s concurred with Linton's stance that role and position are closely related. His ideas reflected a link between individual and social behavior, i.e., that individual behavior could be interpreted as role performance.

Based on the work of these three theorists, more systematic studies of role were initiated and a specific language began to be developed. The use of the term "role" was first used in the mid-1940s in journal articles. In subsequent years the term was linked as an adjective with other related concepts, further refining the specificity of the thinking about roles: e.g., role performance, role behavior, role conflict, role conflict resolution, and intraposition and interposition role conflict.

By the mid-1960s, the proliferation of related terms had crystallized to about one dozen frequently used words (e.g., self expectation, norm, performance, position, role, status, conformity, consensus, role conflict) which carried both common language and technical definitions, some of which were not consistent with each other. This frequent inconsistency meant the language of role theory was not yet "denotatively specific" (Biddle and Thomas, 1966, p. 13). Although this

set of terms existed, the era still did not produce a singular, clearly defined concept of role.

As a body of knowledge, the field of role includes many studies in a variety of arenas -- occupational groups (including school administrators), deviant groups (such as juvenile delinquents), the handicapped, and the family, to name a few. Beginning in the mid-1940s, these studies were more empirical than those of the prior decade. The late-1940s produced the first empirical study of role conflict (Stouffer, 1949); by the mid-1960s, there were over 100 such studies. Many relied heavily on respondents' verbal reports versus behaviors observed by the researcher, with the questionnaire being the most popular form of query. The processes of role playing, learning, socialization, role conflict, and role resolution have also been contexts for the study of roles. However, to the mid-1960s, few reviews of the literature existed.

### The Concept of Role

The concept of role is only one of many in role theory. But it is the central idea to know in order to understand the language of the field. Getzels and Guba (1957) called role the "most important subunit of the institution...the structural elements defining the behavior of the role incumbents" (p.426).

There are several types of role definitions : (1)  
the "shoulds" of the "normative culture patterns" (Gross,

Mason, and McEachern, 1958, p 12), which include the attitudes, values and behaviors defined by society as being part of a status, (2) the individual's selection of behaviors he feels appropriate in terms of the demands of his group; and (3) the actual behaviors or the manner in which the person carries out the requirements of his position (Davis, in Gross, Mason, and McEachern, 1958). Roles represent positions within the institution and are defined through statements of role expectations, the rights and duties of a particular position. They define what should be done in varying circumstances by the person in that position.

Those expectations vary in several ways. They can describe a need to or a need not to do something, and they can differ in intensity (i.e., you absolutely must, you should, or you may). In addition, they can be "legitimate" (one which the role incumbent feels others has a right to hold) or "illegitimate" (one which the incumbent feels others do not have the right to hold) (Biddle and Thomas, 1966). Stouffer (1949) believed expectations should be considered as ranges on a continuum rather than specific points, that there would be a variety of behaviors which would be expected and acceptable in a particular situation, and that that would be a factor in how one handled a role. Expectations can also be thought of in terms of functions, detailed behaviors, or ends in themselves (versus means). The way in which a group thinks of expectations can make a

difference to whether there is consensus on a role definition, an element of role theory which may play a part in the present study (Gross, Mason, McEachern, 1958).

In a study of pharmacology, Quinney (1964) reflects that most of the literature to that date "assumed or demonstrated that occupations are characterized by patterned expectations internalized by the incumbents" (p.180). Jackson Toby (1952) states that "social roles are the institutionally proper way for an individual to satisfy his needs and wants" but are also "*demands* upon the individual" to comply with particular norms (p. 323). These demands arise within each of the groups to which the individual belongs (e.g., family, occupation, social class). According to Banton (in Gast, 1984), the term role is used to "designate the sum total of the cultural patterns associated with a particular status. It includes the attitudes, values, and behaviors ascribed by society to any and all persons occupying the status" (p. 26).

Roles are also interdependent, getting their full meaning from other roles which are related to the one being defined (Getzels and Guba, 1957). They also derive meaning from the complex set of relationships between incumbents and behaviors (Biddle and Thomas, 1966). To illustrate those relationships, Biddle and Thomas developed a person-behavior matrix which shows the interactions of people and roles. The grid can be used as a structure into which variations of behaviors and incumbents can be plugged, in order to explore

the nature of particular roles by looking at the interacting variables.

### Role Conflict

At times, however, the relationship of one role to another can result in the existence of role conflict. In early literature, Seeman (in Gross, Mason, and McEachern, 1957) defines role conflict as "the exposure of the individual in a given position to incompatible behavioral expectations" (p. 245). Biddle and Thomas (1966) describe it as a form of "dissensus", a state in which there is disagreement on aspects of the role(s) being analyzed. Jackson Toby (1952) identifies role conflict as appearing in the "situations where the claims of the two groups are institutionally defined as legitimate, but where there exists no institutionalized formula for making the demands compatible" (p.326).

Such conflict occurs whenever multiple roles exist. Much of the literature describes those situations in the following categories of circumstances (Zurcher, in Claesson and Brice, 1989; Gross, Mason, and McEachern, 1958; Blumberg, 1980):

1. when one individual holds two or more social positions or performs more than one role (such as mother, wife, and professional); an example of this situation is found when there are conflicting criteria for the two roles occupied by the same person (McEwen, 1956). McEwen described

such conflict in the case of individuals working at a military research center where expectations for and relationships among military researchers and directing officers were somewhat different than for civilian co-researchers. In the scientific arena, men related to each other as professional colleagues because research activities were organized in terms of professional competence; in the military domain, they needed to related to each other according to military protocol. Among the military personnel, an enlisted man could be expected to relate to others as an equal in discussing scientific research but could later be required to carry the officer's groceries into the compound;

2. when other individuals or groups hold differing or incompatible sets of role expectations for an individual; an example in education would be the college dean who expects professors to do research while the department head wants teaching to be emphasized; and

3. when a person's own values or expectations for a role are different than those of another person or group; examples of this type occur in the family when the husband has different expectations than his wife for how he will behave as a father.

Related to pure "role" conflicts are two other conflict situations identified by Getzels and Guba (1957) which they list as major types and which may have bearing on the conflicts within the school principal's position. One of



those is "personality" conflict, which occurs as a result of "opposing needs and dispositions within the personality of the role incumbent" (Getzels and Guba, 1957, p. 432). The individual is off-balance with the institution either because he cannot relate to a given role or continuously misinterprets the expectations placed on him. This sort of conflict may be due to personality disorders.

The other situation involves "role-personality" conflicts, which are a result of "discrepancies between the pattern of expectations attaching to a given role and the pattern of need-dispositions characteristic of the incumbent of the role" (Getzels and Guba, 1957, p. 431). An example of such conflict from the military is a person with the rank of "private" who had need for ascendancy. If the private chooses to fulfill his own need before that of the institution, he may come in conflict with the system; if he chooses to comply with the requirements of being a private, he may personally be frustrated by not having his own needs met.

One result of role conflict is lowered productivity, strain, and frustration in that "it creates a situation incompatible with a harmonious integration of personality with the interaction system" (Biddle and Thomas, 1966, p. 276). It creates a "low level of job satisfaction, a high degree of job related tension, and a behavioral response of leaving the field or distorting reality" (Erez and Goldstein, 1981). Role conflicts can also be useful in that they

highlight societal situations in which change may be needed (Toby, 1952).

Role strain and role ambiguity are two concepts which are also discussed in literature about role conflict. Role strain refers to eventual need for the incumbent in a situation performing multiple roles to "honor some roles at the expense of other roles due to time limitations" (Sieber, in Claesson and Brice, 1989, p. 3). It also involves role overload, the situation in which the incumbent is attempting to meet the expectations of multiple roles.

Role ambiguity tends to occur in "boundary crossing positions" (Erez and Goldstein, 1981) where the incumbent in a role must deal with outside factors over which he has limited control. An example in education is the school principal who must handle relationships with the neighborhood residents, community agencies, and government groups but who has little control over each outside domain.

### Role Conflict Resolution

According to a variety of theorists (Biddle and Thomas, 1966; Gross, Mason, and McEachern, 1958), an individual in a situation involving role conflict has basically four choices:

1. taking an action consistent with one of the role expectations;
2. taking an action consistent with the other of the role expectations;
3. devising a compromise involving modifications to

each expectation; or

4. avoiding the situation.

A major study by Gross, Mason, and McEachern (1958) looked at 105 school superintendents, 75 of whom felt a role conflict in their hiring practices between (a) following their personal and professional inclination to consider a candidate's professional merit only and (b) feeling pressure to consider recommendations from non-professional sources (e.g., school boards, committees). The researchers found that 85% of the superintendents resolved the conflict by going for professional merit, 10% by accepting non-professional recommendations, and 5% by finding a compromise between the two, valuing one approach as the primary one, followed by use of the second approach as a tie-breaker. In this case, no one avoided the situation entirely.

Quinn, Snoek, and Rosenthal (in Biddle and Thomas, 1966) added two other coping responses. One involved the use of defense mechanisms which "distort the reality of a conflictual or ambiguous situation in order to relieve the anxiety of the undistorted experience" (p. 279); this choice, however, caused the individual's behavior to become less adaptive. Along with Toby (1952), they also identify the formation of affective or physiological symptoms (e.g., illness) as a possibility. Toby (1952) also lists six other possible but less effective options: (1) repudiate the role in one group; (2) play one group off against the other; (3)

stall until pressures diminish; (4) redefine one or both roles; (5) meet the expectations of each group only when in contact with that group; and (6) "escape from the field" entirely (p. 327).

In order to make a choice, the role incumbent must consider several aspects of the situation. A study by Gross, Mason, and McEachern (in Biddle and Thomas, 1966) confirms that it is possible to predict, in fact, how people will respond to a role conflict situation. They found that responses depend upon (1) whether expectations are seen as legitimate, (2) the sanctions possible, and (3) the role incumbent's predisposition toward valuing that legitimacy factor or the avoidance of painful sanctions more. First the role incumbent must determine whether the expectations of the roles are legitimate or illegitimate. Then one must consider the sanction(s) which may be imposed upon the choice one makes, or "the reward or punishment dependent upon how an individual behaves" (Gross, Mason, and McEachern, in Biddle and Thomas, 1966, p. 288).

How the role incumbent perceives the sanction, as well as its relative importance, also play a part in his process of choice. According to Biddle and Thomas (1966), some individuals will give priority to sanctions which might be imposed if they did not comply with role expectations, while others will emphasize the legitimacy aspects of the choice. The authors identify those who choose to consider the

sanctions more strongly than the legitimacy considerations as having an "expedient orientation" and describe those who choose the legitimacy aspects as having a "moral orientation". In some cases each orientation leads to the same behavior; in others, each leads to different ones, in which case role conflict is the result. The person with a "moral-expedient orientation" takes both orientations into account and "behaves in accordance with the perceived 'net balance'" (pp. 287-288).

#### THE ROLES OF THE PRINCIPAL

To understand the degree of conflict between the summative and formative evaluation roles of the elementary school principal, one must first understand the expectations of the roles (Quinn, Snoek, and Rosenthal, in Biddle and Thomas, 1966). At times that has seemed to be a large task in that there is much ambiguity about what is included in each role and how they relate to each other (Gwynn, in Mosher and Purple, 1972).

##### The Principal as Evaluator

As indicated in earlier sections of this study, the main purpose of the summative (assessment) evaluation component is to collect data related to accountability in order to make administrative decisions such as salary placement, hiring, or dismissal. The Oregon Revised Statutes § 342.850 state the purpose of teacher evaluation "is to allow the teacher and

the district to determine the teacher's development and growth in the teaching profession and to evaluate the performance of the teaching responsibilities (p. 662). Beckham (1981) defines the role as the "appraisal function in judging teaching performance" which is used "to make decisions about teacher-effectiveness, which may then be utilized as criteria for staffing decisions" (p. 2). He goes on to point out that evaluation data is increasingly linked with educational quality assessments of districts and programs. Teacher evaluation is viewed as "the major tool of accountability by many state legislatures" (Lewis, 1982, p. 8).

However, that function is only one of several usually listed in definitions of evaluation responsibilities. For example, Costa (in Costa, Garmston, and Lambert, 1988) lists four purposes for teacher evaluation: (1) improving teachers' performance; (2) providing data for personnel decisions; (3) improving organizational performance; and (4) informing organizational decisions. The principal as evaluator plays a role in providing relevant information in each of these areas, even though the growth aspects of the first item are more typically addressed through formative supervision processes.

Conley (personal communication, November 19, 1989) lists the following as "evaluation issues": (1) evaluation, (2) supervision ("helping and directing"), (3) staff development

(generating improvement or more effective teaching), (4) restructuring (promoting change, adaptation, and improvement), and (5) school improvement (on-going school-wide improvement). Again, although the principal works in all of these areas, only one issue deals with the summative (assessment) evaluation responsibilities being addressed in this section. For purposes of this research project, those include behaviors related to the formal assessment of the performance of staff members, based on state laws and district policies, both of which spell out precise purposes and procedures and ensure due process to the teacher.

#### The Principal as Supervisor

However, as indicated above, many definitions of "evaluation" (Oregon Revised States § 342.850; Conley, 1989; Mosher and Purple, 1972) as well as district programs (Beaverton School District, 1987; Glatthorn and Holler, 1987; Jones, 1989; Wise, Darling-Hammond, and McLaughlin, 1984) include categories which deal with formative processes directed toward the growth and development of teachers. The improvement of instruction is the primary purpose of supervision (Glickman, 1981; Mosher and Purple, 1972; Sergiovanni, 1982).

The blurring of the lines between the role of a principal as summative evaluator (assessor) and as a formative evaluator (supervisor) are evident not only in these definitions but also in the descriptions of what the principal must be able to do on a daily basis. Not only must

the administrator be able to assess the teacher's strengths and weaknesses but he or she must also be able to provide the "skilled service" (Sergiovanni, 1982, p. 151) which helps move teachers toward improvement. This conceptual approach relates summative to formative processes by viewing summative evaluation abilities as part of the set of skills needed by an effective supervisor. To Sergiovanni (1982) these skills include knowing how to conduct five different modes of inquiry:

1. discovery - the inductive search for appropriate teaching behaviors;
2. verification - the deductive ability to identify specific features of a lesson and support interpretations with data;
3. explanation - the ability (both inductive and deductive) to explain the phenomena through the use of inference;
4. interpretation - the ability to perceive meaning in the events being considered; and
5. evaluation - the ability to make judgments about events in terms of the effectiveness of particular actions.

Each of the five skills has a different purpose, methodology, and result. Knowing what to use when is a critical additional skill in itself.

In an attempt to differentiate the two roles more clearly, Wise and Darling-Hammond (1984) talk about the



summative and formative aspects of evaluation as reflections of two concepts of school organizations: the bureaucratic versus the professional. In the bureaucratic sense, teachers and administrators are part of a system which is standardized in its organization, with "lines of accountability" focusing teachers on "uniform administrative requirements" (p. 29). In the professional sense, teachers work as more autonomous decision-makers in a "loosely coupled system" (Weick, 1976, p. 1) which recognizes multiple approaches to teaching, treats teachers differently according to their individual development, and evaluates in a way which involves teachers more directly in setting and attaining goals.

Glickman's (1981) "developmental supervision" supports this individualization of treatment of teachers, encouraging the matching of supervisory style with the level of adult development of the teacher. "If supervision of staff is viewed as an attempt to change teacher behavior in order to improve student learning, then *supervision is primarily an educative task*. Therefore, what is known about human learning and adult and teacher development becomes critical when deciding which supervisory orientation and which supervisory behaviors to use with a particular teacher" (p.62). The supervisor needs to develop several styles in order to address varying teacher needs.

Glickman describes three approaches or orientations to supervision: directive, collaborative and non-directive. The

continuum of supervisory behaviors moves from most to least restrictive and has some parallels to the concept of evaluation and supervision being on a continuum, moving from most to least judgmental. In the directive mode, emphasis in supervisory behaviors is on presenting, directing, demonstrating, standardizing, and reinforcing a particular assignment for the teacher to accomplish. In the collaborative mode, emphasis is on presenting clarifying, listening, problem-solving, and negotiating to create contracts between supervisor and teacher. In the non-directive mode, emphasis is on listening, encouraging, clarifying, presenting, and problem solving in order for the teacher to create his own plan for growth.

Part of the supervisor's task is to create the kind of school environment in which growth is the norm and risk-taking is possible (Duke, 1986; Little, 1981). Sergiovanni (1975) felt the supervisor needs to expand the areas in which teachers use self-direction and self-control, allowing participation in important as well as routine decisions regarding the school and instructional practices. McPherson and Lorenz (in Weber, 1987a) believe the supervisor must "act as a facilitator, a resource person worthy of trust and respect"... "who listens, accepts, understands, and helps the adult learner reach his goals" (p. 27).

A complicating factor in the principal's performance of supervisory responsibilities is teacher perceptions of the

role. The level of role consensus, or amount of agreement on the expectations for a position (Gross, Mason, and McEachern, 1958) between teachers and principals, is often not high in the case of the school principal's evaluation and supervision duties. Further, the organizational structure or culture in a district often promotes attitudes which demonstrate lack of trust in supervisors, perceptions of lack of purpose in their work, and the concept of supervisor as bureaucrat who is interested primarily in preserving organizational norms (Blumberg, 1980). Eisner (in Sergiovanni, 1982) believes that the term "supervision itself alienated teacher and administrator by putting them on different levels with a 'super vision' by one" (p. 55).

In a study by Blumberg (1980) of teacher perceptions of supervisors, he had teachers create "fantasy houses" which supervisors owned. The attributes which teachers ascribed to the houses of supervisors indicated they felt their supervisors were cold, distant, status-oriented, rigid, formal, defensive, and protective of resources. On the other hand, when asked to create "future" houses for supervisors, teachers ascribed attributes which indicated they would want accessibility, comfort, openness, warmth, and availability of resources (p.31-41).

Several researchers have studied teachers' perceptions of evaluation and/or supervision processes (Halstead, 1988; Hobson, 1989; Lunsford, 1988; Steward, 1987). Some found

that teachers viewed their evaluator as non-threatening and trustworthy, seeing the supervisor as helpful and knowledgeable about teaching; in such cases teachers would go to him or her for help (Hobson, 1989; Lunsford, 1988). However, others found evaluation and supervision systems did not promote trust, making teachers reluctant to admit needs and approach the supervisor for assistance (Stewart, 1987). Teachers and administrators also differed in their perceptions of the amount of feedback or other help given, with teachers feeling less existed than administrators felt they had provided (Halstead, 1988; Vandeventer, 1983).

With these confounding influences in mind, then, the principal as supervisor needs to develop skills in understanding these perceptions and in building the kinds of relationships with teacher which correct misperceptions in order to be most effective in promoting teacher growth.

#### Role Conflict for the Principal

The concurrent participation by the administrator in these two roles (summative evaluation and formative evaluation, or supervision) often presents some difficulties for the principal who is the only administrator at the school site and who has no one else to whom to delegate aspects of roles which may be perceived as conflicting. Weber (1987b) asks, "How can teacher development strategies coexist with accountability strategies?" (p. 1). Scriven (in Stanley and Popham, 1988) says that "the counselor/judge conflict has

spawned many responses but no solutions.... After all, the practice of having supervisors make summative recommendations on their supervisees, as well as helping them improve, is widespread in the helping professions" (p. 115). Although he acknowledges that needing to deal with multiple roles is common, "it leads to poor performance in many situations and should be avoided if possible" (p. 115).

Since maintaining optimum effectiveness is assumed to be a goal of the school principal, it is important that the administrator have the ability to recognize and deal with whatever degree of conflict is perceived in the coexistence of the two roles. As indicated earlier, several theorists believe the two roles are embedded within the same cycle of processes; supporters of those theories would tend to see less conflict (Mosher and Purpel, 1972; Sergiovanni and Starratt, 1988; Scriven, 1988; Worthen and Sanders, 1987), partly because of the way they conceptually organize the roles in relation to each other. When viewed as a "process component of a variety of roles" (e.g., of summative evaluation, of formative supervision), supervision may seem less in conflict with evaluation than it does when seen as the "label to categorize a group of specialized school roles whose primary function is to be directly involved in the improvement of teaching and learning" (Sergiovanni and Starratt, 1988, p. 16).

Others, however, feel a role conflict is inherent

(Acheson, 1989; Acheson and Gall, 1980; Stiggins, 1986; Weber, 1987b), a prevalent position which Blumberg (1980) confirms when he reflects that "extensive research and the frequent testimonials of both supervisors and teachers suggest that the two expectations are largely incompatible" (p. 170). A key question which indicates there is a level of concern for the issue "how can I make an evaluative judgment on teachers' performance without destroying the trust and collegial relationship by which I exercise my ... style of supervision?" (Sergiovanni and Starratt, 1988, p. 280).

Blumberg (1980) believes there are "severe points of conflict between the two functions" (p.163). Wise and Darling-Hammond, 1984) say "there are obvious problems inherent in assigning the teacher evaluation function solely to principals. Principals have little time for evaluation and a wide span of control; and they often experience "role conflict" as they try to balance their duties as school leaders, supervisors, and builders of esprit de corps" (p. 30). Cogan (1973) clarifies that "the evaluation made by the supervisor while he is fulfilling his teaching function is very different from that made while he is fulfilling his evaluating function: it is evaluation as feedback and guide, in contrast with evaluation as judgmental assessment" (p. 64). He wonders, however, whether the teacher can separate the two.

Stiggins (1986) believes the differences in purposes in

the summative and formative evaluation systems (the former addressing accountability, the latter growth) is the root of the conflict for the principal. He and his colleague Bridgeford (1985) did a study to identify the "barriers precluding use of teacher evaluation results for teacher growth and development" (p.91). The problems in the systems which administrators perceived were these: (1) lack of teacher trust of the evaluation process; (2) lack of administrator time; (3) the "adversarial context of evaluation" (p.94); and (4) deficiencies in the principal's level of skills as an evaluator. The two barriers which were mentioned most were lack of time and the adversarial context.

In a study of 65 principals in Israel, Erez and Goldstein (1981) looked at the level of role stress in the elementary school principal; they felt this role stress was a product of ambiguity in the role definitions and of role conflict. They found that the principal's activities which were more in the administrative or operational domain had fewer elements of stress while those that dealt with instructional leadership had greater stress. They concluded that role stress, in fact, contributed to the principal's neglecting instructional leadership responsibilities in favor of operational activities because those did not present as high a level of ambiguity and conflict.

At the same time that these educators and their research have indicated that a role conflict does exist, others

theorists and practitioners do not feel conflict is inherent. In programs which blend the two sets of roles, focus is on clearly identifying the responsibilities of each and providing the kind of school climate which allows teachers and administrators to work together (Armstrong, in Blumberg, 1980; Glatthorn and Holler, 1987; Glickman, 1981; Jones, 1989). Mosher and Purpel (1972) contend that "evaluation can help teachers learn by clarifying and discussing what in the teaching is ineffectual and requires improvement" (p. 71).

Conley (1987) identifies these eight critical attributes which ensure that an evaluation system can account both for evaluation of growth and improvement as well as for accountability and personnel decisions:

1. mutual trust in the validity of the system (that the methods used really do reflect the teacher's performance);
2. everyone involved understanding the workings of the system;
3. evaluatees believe criteria are clear and consistent;
4. evaluators are well-trained;
5. levels of evaluation are used, each with a different goal;
6. a distinction between formative and summative evaluation exists, with a possible "data curtain" (p.63) to maintain trust at the formative level;
7. a variety of evaluation methods are used; and
8. evaluation is a district priority with adequate time



and training provided for both building and central office administrators.

Three recent doctoral studies also found that evaluation systems did not appear to interfere with the positive relationships between teachers and administrators, either as perceived by the teachers (Hobson, 1989; Lunsford, 1988) or by the administrators (Deakin, 1986). In some cases, teachers felt evaluation did not interfere but principals perceived that it caused a deterioration in relationships (Lysiak, 1985).

Inherent or not, the degree of role conflict perceived may vary considerably among principals, however, depending upon a number of elements: (1) organizational factors; (2) demographics of the district and the administrator; (3) the level of administrative skills; and (4) personal factors of the administrator.

Organizational factors. One of the greatest organizational factors is the district's culture -- what the entire system is intending to promote through its evaluation process and the role expectations associated with it (Blumberg, 1980; Stouffer, 1949). Whether the district's primary orientation is toward summative or formative evaluation would have a bearing on results (Erez and Goldstein, 1981). Evaluation programs tend to have the effect of rituals (Bolman and Deal, 1987; Conley, 1989; Sergiovanni, 1975), initiating newcomers to the values and expectations of the culture as well as

demonstrating to the community an image of competence in teachers and rigor in monitoring district processes. How well that variable has been communicated to both employees and community will have a bearing on the importance assigned to the process as well as to the manner in which administrators perceive their roles within the process. Incomplete communication of the components of the evaluation system may leave administrators operating under erroneous assumptions and communicating incorrect expectations to one another as well as to teachers.

For example, an evaluation system which includes components which reflect the research which supports the needs for teachers to be actively involved in the process needs to convey effectively the reasons for and the extent of that involvement so that teachers perceive the degree of trust and acknowledge the professionalism which is embedded in the system. Otherwise a carefully constructed, research-based plan may never promote the growth it was designed to encourage because teachers perceive that it only addresses summative or basic competency issues.

Another of the primary aspects of the organization which influences the degree of role conflict is the school climate, the prevailing environmental tone of the staff interactions. If the administrator can create a climate of growth in which reflection on practices is a norm (Conley, 1989), teachers will be able to address accountability issues along with

growth plans. George and Bishop (in Sergiovanni and Starratt, 1988) found that the organizational structure of the school itself made a difference to this climate: professionally versus bureaucratically oriented schools were more likely to have teachers who viewed their school's climate as more trusting and open.

Other organizational influences include such items as (1) the range of acceptable variations in role behavior (Stouffer, 1949); (2) the prevalence of the belief that the two roles cannot be addressed in the same system; and (3) the degree participation by principals in organizational communications, decision-making, and goal setting (Gallina, 1986). In his doctoral research project, Gallina (1986) found that elementary principals who experience higher level participation in communications, decision-making, and goal setting within the organization felt less role conflict.

Demographic factors. Although Gallina's study focused generally on role conflict for the elementary principal rather than specifically upon the evaluation/supervision role conflict, he also found three other demographic features which influenced the level of role conflict perceived by the administrator: the urban/rural context of the district, staff size, and gender of the principal. He found that urban principals experienced greater role conflict, as did principals who supervised more people. In relation to gender, he found that as years of experience as a principal

increase for female principals, their perception of role conflicts decrease. In addition, he also found that level of self-esteem is a significant predictor of the level of role conflict in women principals.

Gender differences were also studied by others. Smith and Andrews (1989) connect the behaviors of instructional leader closely to increases in academic performance for children. They contend that a principal demonstrates such leadership by interacting with teachers as (1) a resource provider, (2) an instructional resource, (3) a communicator, and (4) a visible presence. In a study of instructional leadership using that definition and looking at how principals use their time, Andrews and Hallett (in Andrews and Basom, 1990) found that the factor which contributed to the largest difference in how principals spent their time was their gender; females spent 38.4 percent of their time in instructional leadership and males spent 21.8 percent. In addition, a later study by Smith and Andrews (in Andrews and Basom, 1990) found that "women were more likely to be seen by their staff as instructional leaders than their male counterparts" (p. 39). They found females tended to communicate more often and more positively with all audiences with whom they worked (e.g., teachers, students, parents).

Gross and Trask (1976) also found some gender differences in their study of elementary principals. In relation to evaluation, women seemed to place more emphasis

on the technical skills of teachers and the degree to which teachers fulfilled organizational responsibilities. In addition, the women principals felt they were stronger than men in the performance of their responsibilities in supervision of instruction; they also gained more satisfaction from that role than did their male counterparts.

Level of administrative skills. The degree of role conflict is also affected by the administrative skills of the principal. By far the largest body of related literature in the field supports the fact that the skills involved with being an evaluator and a supervisor are a critical attribute. Many theorists treat the area generally (Bennis, 1989; Blumberg and Jonas, 1987; McGreal, 1988; Mosher and Purpel, 1972; Sergiovanni and Starratt, 1988; Weber, 1987b). Mosher and Purpel (1972) propose a list of skills needed by an effective supervisor, a list which includes items seen frequently in the writing of other educators. It may serve to introduce the range of competencies they consider to be important:

1. Sensitivity - the "professional alertness" (p. 72) or perceptiveness to what is happening, the ability to sense and define problems and to provide insights;

2. Analytical skills - the ability to analyze and define behaviors and communicate the analysis meaningfully;

3. Communication skills - the ability to express ideas in forms which are meaningful to teachers and in ways which

acknowledge the teacher's views;

4. Curriculum and teaching expertise - knowledge of learning, children, and teaching techniques as well as of curriculum and its "rationale, sequence, techniques and materials" (p. 73);

5. Interpersonal skills - ability to relate to people and use a large repertoire of behaviors and techniques in a variety of situations;

6. Social responsibility - an involvement of the self in the "fundamental questions about man, nature and society" (p. 74) along with a vision of education and its relationship to that society.

The specific administrative skill area most frequently mentioned is that of having effective interpersonal or human relations skills. "When we consider problems associated with supervision in the schools, the crucial issues are those that pertain to the quality of the interaction and relationships that develop between supervisor and teacher" (Blumberg, 1980, p.62). Many cite the ability to build trust as being of prime importance in addressing the supervision and evaluation roles. Warren Bennis lists (1989) trust (versus control) as one of the key elements characteristic of a leader (versus a manager). More specific to the evaluation issue, Acheson (1985) points out the concern held by many that the "psychology of evaluation may interfere with the evaluation system being beneficial because it is hard for the teacher to

develop trust" (p. 6).

McGreal (1988) identifies trust as the first of two main determiners of effective evaluation, the other being the quality and quantity of supervisory skills related to evaluation. He feels credibility and trust can be developed through behaviors demonstrated during the evaluation process. In their article about the teacher's control over supervision, Blumberg and Jonas (1987) describe clearly the part that trust plays in the administrator's ability to gain legitimate as well as interpersonal access to a teacher's classroom in order to make a difference in instruction, rather than merely to go through evaluation formalities. In this case, the teacher's trust in the administrator as a person, as well as in his skills as an evaluator, was a key to the teacher's permitting the principal to provide meaningful supervision. As Weber (1987a) verifies, teachers must be able to trust the principal in three ways: they must believe that the observation means no harm, that the criteria and process of evaluation are open and predictable, and that observations will give information to improve instructional skills.

"What seems to be at issue for most supervisors, in one fashion or another, are the problems that surround the establishment of productive working relationships with the teacher" (Blumberg, 1980, p. 2). That task is particularly hard if and when teachers are predisposed to perceive

supervision as a threat. In a study by Heishberger and Young (in Blumberg, 1980), researchers found that although 82 percent of the teachers believed that evaluation and supervision was necessary, 70 percent of them said that the supervisor was often perceived as a threat. To counter that preconception, Blumberg (1980) proposes that supervisors work as "interpersonal interventionists" (p. 189), with improvement of instruction as well as growth for the teacher and the supervisor as goals.

McGreal (1988) feels the key element in approaching congruency between evaluation and supervision is the human relations skills of the administrator in building trust and credibility based upon supervisory skill and upon the administrator's behaviors during the evaluation process. He feels the principal needs to set a tone which promotes the feelings of "joint responsibility and cooperation" since they "do not naturally exist" in a system which also places administrator and teacher in adversarial roles at times (p.18).

Greenfield (in Blumberg, 1980) talks about the administrator's need for "interpersonal competence", the skills which enable a person to interact with others in ways which mold the thinking of another person in the way the influencer wishes that person to go. Moment and Zeleznik (1963) define such interpersonal competence as the "capacity of an individual" (1) to work within a broad range of the



spectrum of behavior (task-oriented and social-integrative behaviors); (2) with a minimum strain on the person's defensive system; and (3) with the optimal use of energy available to the person" (p. 158). Such competence would play a part in productivity as well as in the degree of acceptance of the administrator's feedback by the teacher, and is an area which is key to the teacher's perception of the effectiveness of supervision and evaluation (Acheson and Gall, 1987; Duke and Stiggins, 1986; McGreal, 1988). The degree of interpersonal competence possessed by the principal also affects the level of collaboration which the principal is able to promote; such competence provides a greater ability to see the evaluation process as one of working together, a perspective which is more productive of change in the teacher (Garawski, 1980; Katz and Kahn, in Blumberg, 1980).

The concept and use of power may influence role conflict as well. That power occurs at two levels: (1) the power structure within the district, and (2) the personal use and understanding of power on the part of the administrator. The power structure within a given district represents not only the relationships between administrator and staff member but also the relationship between the teacher advocacy group or bargaining unit and the school board, the school board and the administrative staff, and the community and the board or district. The higher the level of ambiguity present in the

organization and in the roles within it, the higher the anxiety in general, an environment in which the differences in the evaluator and supervisor roles may be accentuated to satisfy the accountability needs of school patrons.

At the same time, the individual administrator's understanding of and ability to use the different sources of power will make a difference in how teachers perceive his or her intentions, as well as in how persuasive he or she can be in effecting change in teachers. The differences in the concepts of authority and power in themselves have some relevance to the role of the evaluator, which may involve more of a "power" stance, versus that of the supervisor, which may function best using "authority" (Sergiovanni and Starratt, 1988, p. 67). If a teacher feels that an administrator has used raw power to accomplish the end results, the teacher may be less apt to be cooperative or to change than if the principal had related to the teacher in ways which built credibility and trust, allowing the teacher to vest authority in the leader (Bolman and Deal, 1987).

Along this same line, French and Raven (in Sergiovanni and Starratt, 1988; in Blumberg, 1980) describe five bases for power: reward power, coercive power, expert power, referent power, and legitimate power. "Authority" is granted by the followers of a leader, based on legal mandates as well as upon the leader's expertise and personal qualities. When the administrator can skillfully combine the use of these

types of power, his or her effectiveness is enhanced.

Personal factors. Another major category of variable which may influence the degree of role conflict perceived is that of administrator style, partly because that style also influences how teachers view the evaluation process and the degree of authority the principal is able to use. Rodney Muth (in Lewis, 1982) says "how well teachers accept the evaluation process depends to a large extent on how they view the motives of their administrators" (p. 59). He contends that administrators get more cooperation if their style is to influence rather than coerce. Bolman and Deal (1987) describe four perceptual approaches to leadership which involve leadership styles: the structural frame, the human resources frame, the political frame, and the symbolic frame. Each has different implications for the climate of the organization and the degree of collaboration between management and workers. Although a school principal would benefit from possessing skills in each perceptual frame of reference, the administrator who approaches the staff from a human resources frame might tend to exhibit behaviors which supported the kind of communication necessary to lower or preclude role conflict between evaluation and supervision functions of the position.

Glickman (1981) also believes in versatility in style, saying that the most productive type of supervision will vary depending upon the developmental stage of each teacher.

Having the supervisory skills to be directive, collaborative, or non-directive and applying them appropriately to given teachers enhances the growth of the teacher as well as the clarity and effectiveness of communication between the administrator and the teacher. With a similar philosophy, Sergiovanni and Starratt (1988) describe "cooperative professional development", a term used by Allan Glatthorn to refer to supervision which uses different techniques appropriate to different teaching situations. They believe the collaborative and contingency elements of these are important for effective supervision.

The personality structure of the principal may also have an effect upon the degree of role conflict perceived. Lipham (in Getzels, 1963) hypothesized that people who have a personality structure characterized by certain needs and dispositions will feel less strain in fulfilling administrative roles. Conversely, people with needs which are in conflict with the expectations of the role will feel more strain and be less effective in the role. For example, a school principal with a personal need for submission or abasement may experience difficulty with some aspects of a leadership role. He found, in fact, that more effective principals "tended to score significantly higher in activity drive, social ability, emotional control, mobility drive, etc. than did the less effective principals. The less effective principals tended to score high on such needs as

abasement, which are in conflict with the expectations for the principal role" (p. 314).

#### Methods of Role Conflict Resolution Used by Principals

To resolve conflict, people use a variety of coping mechanisms or strategies. An initial need is to diagnose the conflict accurately, however, in order to choose the most effective strategy. In the case of the elementary principal, choice of that strategy will depend upon (1) the skills of the administrator, (2) the need for power, friendship, or security, (3) willingness to take risks, and (4) the way in which the situation was diagnosed (Blumberg, 1980). That set of choices is consistent with those in the general field of role conflict resolution, in which the individual's own needs disposition is considered as having an effect upon his or her choices (Getzels and Guba, 1957).

In an educational context, Greenfield (in Blumberg, 1980) acknowledges the principal's dilemma, being assigned evaluation responsibilities but also serving "as a resource and friendly counsel to help resolve instructional problems" (p.217). He suggests that there are four ways to handle the conflict: (1) avoid it; (2) arrange the conflicting demands in a manageable time sequence; (3) compromise among the competing demands; or (4) get frustrated, possibly to the point of being incapacitated by the conflicting pressures.

The range of approaches existing today in education reflects this variety of options principals have for

situations in which they perceive that role conflict exists. Although there is a sizeable group of theorists who contend that a blending of the summative and formative evaluation processes is not only achievable but preferable, others feel that most of the literature indicates that the same system cannot accommodate the goals of both endeavors. Both approaches represent rearrangements or compromises in the set of conflicting demands.

The Separatists. Those who support this belief feel supervision has often lost its effectiveness due to the "invasion" feeling on the part of teachers, who have a lack of willingness to expose their work to public scrutiny and do not trust the supervisor's intentions (Mosher and Purpel, 1971). Nolan (1989) agrees that unless the role of the supervisor is visibly segregated from that of the evaluator, the teacher will never be able to take the kind of risks needed to grow professionally. To help make that division, Ben Harris (in Mosher and Purpel, 1971) defines the three essential characteristics of a supervisor to be: (1) someone who does not have operational duties as well; (2) someone who has responsibility for supervision in several places in the organization; and (3) someone who has major responsibilities within one or more "task areas of supervision" and only incidental responsibilities in others (p. 23).

Stiggins (1986) also contends that the two systems must be separated in order to realize the full potential of each.

He compares evaluation and supervision systems in the following areas: purposes, impact of evaluation on school quality and the individual teacher, evaluation mechanisms within each system, and the advantages and disadvantages of each. He found that, although both systems had clear purposes and advantages, more widespread effects could be achieved through the supervision rather than evaluation process because of the changes effected in teachers and the immediate impacts upon students.

A variety of other theorists have designed programs which serve to separate the evaluation and supervision roles from each other. One approach receiving much comment is that of peer coaching, including the related processes of peer supervision and peer sharing (Blumberg, 1980; McGee, 1977; Ruck, 1986; Wise and Darling-Hammond, 1984). Blumberg (1980) describes such processes as a "structured means of making what informally takes place among teachers relative to their helping each other into a more formal and systematic process through which a wider range of expertise can be brought to bear" (p. 205-206).

In business, multi-rater systems have been devised to address the role conflict which places a manager in the position of being both a judge as well as a coach for his or her employees (Edwards, 1990). A system call the Team Evaluation and Management System has many safeguards which protect the performance measures in spite of the fact that

several raters judge the performance of a given employee.

Similar staffing systems have been developed in education in which one or more peers or other supervisor provides on-going feedback to teachers, none of which is accessible to the person who actually does the formal evaluation of the teacher (Glatthorn and Holler, 1987; Wise and Darling-Hammond, 1984). Glickman (1987) also suggests establishing separate roles for supervisors in staff positions (versus the line positions administrators occupy). Popham (in Stanley and Popham, 1988) created the Judgment-Based Teacher Evaluation J-BTE System. In schools where there is only one administrator, he suggests either that the principal address formative process and let a central office team handle the summative evaluation, or that teachers handle all formative work while the principal handles the summative process. In either case, information gathered by the formative person is not to be shared with the individual doing the summative evaluating.

The Mergers. While they acknowledge that the possibility of conflict in role exists, many other theorists and practitioners envision the two roles working compatibly together within the same system. In some of these blended systems, in fact, a great deal of role congruency is seen, in that the principal perceives that the same or very similar expectations are held for him (Gross, Mason, McEachern, in Biddle and Thomas, 1966) in both the supervision and



evaluation roles. In many systems, the two roles are understood to be embedded within each other and/or on a continuum where supervision is a precursor to evaluation.

The continuum which Glickman (1981) proposes in his concept of developmental supervision may have some parallels to the continuum between supervisory and evaluatory activities, his "non-directive" being at the extreme end of supervision, his "collaborative" being across the mid-range, and his "directive" being on the end at which staff members need to be confronted in more direct manners regarding changes needed in their teaching strategies. Although the parallel is not exact, the comparison illustrates the need for a variety of strategies and increasingly more direct approaches which match the developmental needs of teachers across the supervision-evaluation continuum.

Resolution, according to Weber (1987a), involves "approaching evaluation as essentially a developmental activity for every teacher and providing special attention to the accountability standards as they affect marginal teachers" (p. 56). He emphasizes that that requires "strategic commitment" from both the district and school personnel as well as training to develop appropriate levels of expertise in evaluators who know how to "collaborate in setting goals and getting at new teaching challenges" (p. 58).

David Conley (1988) envisions levels of evaluation which

range on a similar continuum from the incompetent, who requires remediation and documentation, to the master teacher, who needs validation and growth. He suggests incorporating into the system both performance standards (describing the baseline behaviors acceptable) and performance expectations (suggesting the ceiling) toward which growth could be encouraged and planned. His model is based on the following philosophy:

To achieve the true potential for growth from evaluation, it is important to link it with professional development activities for three reasons: One, evaluation is here to stay. In fact, it has been mandated in ever greater detail by many states during the past ten years. Two, the time and energy devoted to evaluation is considerable, in part due to these laws. Since we're going to do it anyway, shouldn't we approach it in a way that will ultimately lead to improved teacher performance, rather than focusing on "catching" the one to three percent who are incompetent? And, three, resources devoted to staff development, peer coaching, and collegial activities will be difficult to sustain without evidence that they also lead to improved performance. Developing a linkage between professional growth and evaluation ultimately helps validate both processes (p. 3).

Implementing such merged programs involves clear definitions of roles and recognition by both teachers and administrators that the goal is growth rather than dismissal and that evaluation assessment is not an end in itself but is a path toward improvement.

Another growth-oriented model which combines formative and summative processes is the Cognitive Development format developed by Costa, Garmston, and Lambert (in Stanley and Popham, 1988). The supervisor is seen there as a coach who

uses a reflective process to encourage improvement; the goal is to help the teacher become able to diagnose, modify, and improve his or her own performance. They believe teaching is thinking and cite research evidence that teachers who think at higher levels also perform instructional tasks at higher levels. The evaluation of that teaching should be upon the degree to which a person is good at using problem-solving strategies which enhance teaching effectiveness. Although their definition of evaluation does include the gathering of information in order to make personnel decisions, that element is only one of nineteen other subtitles which focus on increasing individual and organizational decision-making and on enhancing individual and organizational effectiveness.

Hunter (1988) and LeBrun (1986) also feel that evaluation can be a catalyst for improvement. "Fortunately, the dichotomy is reconcilable. It exists because we allow it to exist" (LeBrun, 1986, p.57). He sees an emphasis on the effectiveness of teaching versus the efficiency of the evaluation process as one key, and a focus on an increase in the effective performance of the entire organization as another. Those dual emphases make team effort toward improvement the norm, encouraging collegueship to occur both among teacher-peers and between administrator and teachers. The role of assisting a teacher who is performing below standards would become the responsibility of the entire staff.

Specific Models: Three specific programs operating in districts illustrate some of the elements of this philosophy of merging formative and summative evaluation processes. In Deer Valley, Arizona, the district has established a formative/summative evaluation process which embeds ongoing formative, informal observations and interactions with teachers from September to March into the formal summative evaluations, which occur during the last three months of the school year. All administrators, including the superintendent, are trained in an extensive, three-year inservice program in the skills necessary to observe personnel, interact with them productively, build rapport and provide feedback which promotes thinking and problem-solving. The trust level needed to involve all levels of employees in the program reportedly took five years to build but resulted in building administrators feeling free, for example, to ask the assistant superintendent to come into the classroom of a marginal teacher, not to assess the classroom teacher, but to assist the principal in working with the teacher (Jones, 1989).

The evaluation system in Calvert County, Maryland, ties rating teachers with helping them improve. Feeling their prior system failed because it "did not clearly delineate the roles and responsibilities of principals and supervisors" (Glatthorn and Holler, 1987, p. 56), they first trained administrators and supervisors about the research in the field of evaluation, the assumptions on which they were

operating, and the components of these three related functions: (1) rating (the making of assessments of performance); (2) giving feedback (the sharing of on-going information about performance); and (3) facilitating professional development (helping people grow). Both a standard and intensive rating level exists, with professional development at each. The ratings occur during only one observation per year, which is specifically targeted for this purpose and includes conferences before and after the observation. Other observations are less long and more informal, emphasizing feedback and facilitating development. For people on the standard level, administrators are concerned most with promoting professional development and not in making summative ratings. The response of the teachers is "by having a well-defined model there is more trust between teacher and supervisor. Making the rating observation a legitimate part of the model frees teachers to invite supervisors to observe new or informal activities without concern about the risk involved" (p. 58).

In the School Management Institute Program, the purpose is "not to resolve that conflict" but to "understand the problems they [teachers and supervisors] will confront together" (Blumberg, 1980, p. 174). The evaluation process is first of all put into the larger context of organizational goals and objectives. Then the teacher's responsibility is to initiate job goals. After the supervisor reacts to those

with the teacher, both agree on a set of conditions to which the teacher agrees to be bound, including the nature of data to be collected. The evaluation of the data is done by the supervisor and followup activities are planned jointly by supervisor and teacher. The program acknowledges the need for training for evaluator/supervisors in their abilities to deal both with people and the change process.

### Trends in Current Practices

Three trends in current practices are particularly notable in the literature: (1) the conceptualization of supervision as being a part of evaluation and vice-versa; (2) the emphasis on collaboration between administrators and teachers; and (3) the emphasis upon the incorporation of a variety of strategies into one's repertoire, including those representing a more artistic approach.

The first trend reflects the fact that even in models advocating the separation of supervision from evaluation functions, there seems to be an increasing acknowledgement that evaluating does play a role in supervision and that supervising is a part of evaluation. Little (1981) explains that in order for a "norm of continuous improvement" to exist, the processes of analysis, evaluation, and experimentation must simply be considered in non-threatening ways as tools of the profession (p. 9). Where that occurs, teachers can accept the evaluation piece as a vehicle for positive change. As noted in an earlier section, Harris (in Glickman,

1981) lists evaluation among 10 tasks of supervision. And Fenton and his colleagues (1989) identified the evaluation process as the "context which would bring together the teacher and supervisor in a cooperative relationship" (p. 5).

That cooperative or collaborative process, the second trend, seems to be a recurrent theme in much literature about supervision and evaluation, most frequently in the context of discussion of the importance of the administrator's skills in human relations. It is the principal who must initiate collaboration by setting a tone which promotes a feeling of joint responsibility and mutual involvement (Garawski, 1980; McGreal, 1988). Garawski goes on to identify nine guidelines for administrators to use as benchmarks indicating movement toward collaboration: that their interaction with teachers is a shared process, formative, mutually implemented, reflective about educational philosophy, supportive, growth-oriented, clearly communicated, cognizant of small changes, and led by an administrator well-trained in supervising and evaluating skills. Glatthorn's (in Conley, 1989) model of differentiated supervision uses evaluation and supervision to create an environment of collegiality, allowing teachers considerable choice about how they are supervised and involving them in the process with their colleagues.

Sergiovanni and Starratt (1988) contend that the evaluator must be more than an expert who says what is right or wrong, but must have experience and insight in order to be

a partner in a process of inquiry with a teacher. The supervisor has functional authority in the situation because she or he is able to collect data and help interpret the meaning of it with the teacher. The authors describe supervision as a "design for working with teachers within which a number of technologies, perspectives and approaches can be used" (p. 358) and support the development of the supervisor's skills in looking at the more "artistic" side of teaching.

Eisner (in Sergiovanni, 1982) describes this artistic approach as one which incorporates attention to the "muted or expressive character" of events rather than the literal level only. The importance of the administrator's communication skills is evident in this approach, as she or he must use language to convey subtle nuances of meaning perceived in observations of or interactions with the teacher. Eisner speaks of the supervisor's needing to look at a teacher's work and process with the same critical (but not negative) eye through which a connoisseur of the arts looks at a painting -- as an art critic who explains the "whys", uses metaphor to convey character and mood, and enables people to understand aspects of the situation they otherwise would miss. Process is as important as product, and the rapport with the teacher involves the administrator's ability to promote trust.



## SUMMARY OF THE LITERATURE

Although the fields of business and medicine also address the issue, the majority of the literature dealing with the potential of role conflict in executing supervisor and evaluator responsibilities has been produced within the field of education. Although specific references to role conflict have entered the literature relatively recently (in the 1960s), the bodies of literature related to role theory in general and to educational supervision and evaluation have existed longer. Education literature reflects the fact that the historical development of the field of evaluation of educational personnel has generally paralleled changes in society, which, in turn, have influenced concepts of schooling and the monitoring of instructional behaviors.

### Historical Development of Supervision and Evaluation

A review of the timeline of the past 150 years provides a summary of the development of practices in formative (supervision) and summative (assessment) evaluation. The strong Protestant ethics of the mid-1800s and the "line and staff" organizational thinking, similar to the military, combined to shape educational supervision and evaluation into a system emphasizing inspection and accountability.

In the late-1800s, the rise of industrialization, urbanization and immigration generated a more regulatory state, in order to manage more people efficiently.

Compulsory attendance laws were enacted, increasing the numbers of students in high schools. The scope of the testing and evaluation of students grew in response to the needs for accountability. As superintendents realized they could not accomplished all of the expectations being added to their roles, they developed a new level of building administrator who could assume some of those tasks, including the supervision and evaluation of staff.

As the era of the "scientific management" movement grew in the early 1900s, industrial and business organizations developed strong boss-subordinate structures. Control, accountability, and efficiency were stressed. In education, teacher supervision became intense and judgmental in order to meet accountability needs. The concept of "supervision" included not only overseeing of staff members but of the curriculum and program as well.

From the 1930s to the 1950s, efficiency remained an important goal in business and industry as well as in education. Consistent with that, the style of educational supervision followed a more technocratic model, often isolating behaviors and teaching acts in the classroom to focus on their improvement; the roles of the educational supervisor grew in random ways, including instructional improvement as well as the creation of new courses of study. The period of "scientific supervision" held supervisors accountable for knowing more educational research and

applying it to the improvement of teaching. The goals of supervision included having a clear curriculum, precise objectives, and efficiency. Supervisors were expected to find the best methods for teachers and get them to use those. Program evaluation began to focus on student outcomes (e.g. Bloom's taxonomy of educational objectives) to support both accountability and efficiency simultaneously.

In the same period, society was debating the nature of democracy and seeking to apply democratic principles in many settings. "Democratic supervision" reflected those attitudes, emphasizing the dignity and nurturing the development of the individual teacher. Although one aspect of that style of supervision still focused on the inspection or summative evaluation of teachers, an increasing emphasis was placed on teacher development.

In the 1950s, human relations management became prominent in industry; it stressed creating job satisfaction for the worker, meeting the worker's social needs, providing pleasant working conditions, and valuing the whole person rather than skills alone. In education, that movement translated to a more laissez-faire form of supervision, with less emphasis on analysis of classroom behaviors and more on the teacher as a person.

Shortly after the 1950s, however, the neo-scientific movement emerged, in reaction to those more relaxed approaches. A certain lack of trust of the teacher's

abilities or willingness to be interested in school or in improvement became more dominant. Therefore supervisors applied more technological or rational control methods such as check lists and rating sheets, which depersonalized evaluation and which were not accepted well by teachers. The mid-1900s also saw a rise in the number of governmental programs implemented, all of which included evaluation components needing to be handled by school administrators. In turn, that increased awareness and expertise in evaluation of educational programs spilled over into personnel evaluation, where teacher competencies were precisely defined and performance objectives were spelled out in personnel evaluation programs. In the 1960s, the use and definitions of the terms "formative" and "summative" began to appear in literature related to educational program evaluation.

The 1970s brought a resurgence of emphasis on Theory Y attitudes (McGregor, in Bolman and Deal, 1987): people were eager to work, could be creative and solve problems, would ask for and accept help, and would work for objectives when they were committed to them. "Human resources supervision" (Sergiovanni, 1982) focused on the development of teachers, building trust relationships between teachers and principals, and making commitments to shared values. "Clinical supervision" (Sergiovanni and Starratt, 1988) became popular, emphasizing collegiality and collaboration toward the improvement of instruction. "Artistic" supervision (Eisner,

in Sergiovanni, 1982) supported the notion that teaching was more than the sum of its parts and that supervisors must also be able to see and articulate the more subtle aspects of a teacher's interaction with students.

The 1980s highlighted a mixture of expectations: an increase in pressure for accountability, as evidenced by the publication of A Nation at Risk; an increase in public expectations for districts to be accountable both financially and legally, as evidenced by the rise in financial support difficulties and legal involvements of districts; as well as a continuation of the focus on a human resources frame of reference, as evidenced by the emphasis on the growth and development of teachers.

Approaches to supervision and evaluation still reflect that mixture of expectations. Some theorists feel the formative (supervision) and the summative (assessment) components of evaluation must be closely linked to have meaning. For example, Glatthorn and Holler, (1987), Sergiovanni and Starratt (1988), Scriven (1988), and Worthen and Sanders (1987) feel they are compatible. Among these theorists who feel the two systems must work together, some believe that the formative (supervision) system is the overarching concept, with summative (assessment) evaluation being only a small part of the total (Harris, in Glickman, 1981; Sergiovanni and Starratt, 1988). On the other hand, others believe that the summative system is the umbrella,

with formative processes providing the instructional part of the growth of the teacher (Conley, 1987; Mosher and Purpel, 1972).

However, still other theorists believe formative and summative evaluation processes must be more separated, feeling the same methods cannot serve the differing purposes of each system (Acheson, 1989; Blumberg, 1980; Fenton, 1989; Glickman, 1981; Manatt, 1988; Stiggins, 1986). Nevertheless, even within this group, some acknowledge that the process of evaluation is not as important as building supportive relationships with teachers and working together toward growth (Fenton, 1989).

#### Role Theory, Role Conflict, and Role Conflict Resolution

Role theory attempts to explain behaviors as they occur in real-life situations and to analyze expectations which exist for the variety of roles each individual has. Although role theory began in the 1800s, the term "role" did not become widely used until the 1940s. At that same time the first studies were conducted related to the concept of role conflict.

Roles represent positions within an institution and are defined through statements of expectations, including the rights and responsibilities of a particular position. A role is the sum total of the culturally influenced attitudes, values, and behaviors ascribed to anyone in a particular position. They are also interdependent and get meaning from

each other. This aspect of role theory may have bearing on how a role incumbent handles two or more roles with somewhat conflicting expectations.

One important aspect of the role concept is that the expectations of a role can be thought of as on a continuum, rather than as static definitions, allowing a variety of behaviors to be expected and acceptable in a given situation. The existence of such flexibility may affect how someone performs the sum total of his/her role, particularly if roles within a position are conflicting.

Another key concept is that a role is a set of patterns of expectations which the role occupant internalizes. The role(s) meet both the role incumbent's own needs as well as those of the surrounding society.

Role conflict exists when multiple roles within a position present incompatible behavioral expectations. It involves the existence of two or more sets of legitimate but conflicting expectations, which have not been made compatible by any institutionalized process. It can also be affected by (personality) conflict, wherein the disposition or needs of the role incumbent are at conflict within the individual; and "role-personality" conflict, wherein the disposition or needs of the individual are not compatible with those of the institution. Either type of conflict may affect the role performance of an elementary principal. The idea that two sets of conflicting but legitimate expectations can be made

compatible through an institutionalization process also has implications for reduction of a role conflict for principals.

Because role conflict produces frustration, strain, and lowered productivity, reduction or elimination of such conflict is important to an organization. Theoretically, the individual experiencing role conflict has four basic choices: (1) take action consistent with one role expectation; (2) take action consistent with the other expectation; (3) create a compromise approach; or (4) avoid the situation. As the choice is made, the role occupant must also measure the severity of possible sanctions resulting from the choice; particular sanctions may make one or more choices less attractive as options.

#### The Role of the Principal and Role Conflict

The principal is charged with administering both the summative and formative aspects of evaluation. While the primary purpose of summative (assessment) evaluation is to collect data supporting accountability decisions such as placement, hiring, or dismissal, the main goal of formative (supervision) evaluation is to promote the growth and development of teachers. One way to look at the differences in the two roles is to relate each to two concepts of school organization: in the bureaucratic sense, lines of accountability and standard administrative requirements are important; in the professional sense, the parts of the system are more loosely related, looking at teachers as people,



addressing growth needs more individually, differentiating supervisory styles, and evaluating in a way which involves teachers in the system. Yet both systems must coexist.

A further complication is the fact that the perceptions of administrators and teachers are not always the same regarding how they view the supervision and evaluation processes. That situation has implications for the importance of the principal having the level of human relation skills which enables him/her to correct misperceptions and promote a growth climate. Clear identification of roles and maintenance of a school climate fostering collaboration are factors suggested by many as important in blending the two systems successfully.

Theorists believe the degree of role conflict for a principal depends on four factors: (1) organizational factors (the district culture, the school climate, expectations, communication systems, and organizational structures); (2) demographics (community context, staff size, and gender of the principal); (3) the level of administrative skills (evaluation skills, supervisory skills, human relations skills, and use of power); and (4) personal attributes of the administrator (administrative/ leadership style, supervisory flexibility, interpersonal competence, and personality structure).

### Role Conflict Resolution for the Principal

The first step in resolving conflict is to identify its nature clearly. The next step involves the principal's choice of general approach to the conflict (i.e., whether he or she makes a choice consistent with the expectations in one or the other role, or creates a compromise approach, or avoids the situation entirely). The third step involves choice of the most appropriate strategy; that step is influenced by the principal's administrative skill level, possible personal needs (for power, friendship, or security), degree of willingness to take risks, and the diagnosis of the conflict situation.

The strategies employed include those which keep formative (supervision) and summative (assessment) evaluation roles separate and those which merge them in some way. For the separatists, definition of both roles is important, as is the visible separation of the two domains. That is sometimes accomplished through the use of peer coaching arrangements which assist with formative (supervision) issues, allowing the principal to handle summative (assessment) evaluation. Another approach is for the principal to address formative (supervision) evaluation and place summative (assessment) evaluation in the hand of central office personnel (Popham, 1988).

Those who would merge the two evaluation systems believe they can work compatibly together. Several theorists feel

role congruency does, in fact, exist between the two in that the same or similar expectations are held for both roles (Gross, Mason, and McEachern, 1958; Biddle and Thomas, 1966). Others conceive of both as on a continuum, with increasingly more direct approaches being used toward the summative end of the spectrum (Glickman, 1981). Still others see them relating to each other on varying levels of evaluation (Conley, 1988), approaching evaluation as a whole as a developmental activity, with special attention being paid to standards only for marginal teachers (Weber, 1987). A reflexive form of evaluation involves the teacher actively in analyzing performance in the Cognitive Development approach of Costa, Garms-ton, and Lambert (in Stanley and Popham, 1988). LeBrun (1986) believes a team effort toward making improvement the norm helps blend the two roles effectively. Three specific school district programs which merge formative and summative roles are described in the chapter as well.

#### Trends in Current Practices

Throughout the literature, three trends seemed most prevalent. First was the concept that formative (supervision) activities relate to summative (assessment) evaluation, and vice-versa. Acceptance of both as vehicles for positive change was considered important and supported research in adult learning which says such acceptance must exist in order to maintain a "norm of continuous improvement" (Little, 1981).

Secondly, there was an emphasis on collaboration. Garawski specified nine benchmarks of collaboration which he felt would help establish a growth-oriented climate. Glatt-horn's (in Conley, 1989) model of differentiated supervision moves toward such a climate of collegiality, as does Sergio-vanni and Starratt's (1988) vision of the supervisor as a partner in inquiry and Eisner's (in Sergiovanni, 1982) encouragement of the communication of the more artistic aspects of the teaching act.

Thirdly, the possession and use of a variety of formative and summative evaluation strategies not only enabled the individualization of evaluation to the unique needs of each teacher but built the environment of collegiality and collaboration which is recognized as supportive of growth and change.

### CHAPTER III

#### METHODOLOGY

Although the exact nature of the connection with the ancient Grecian shrine of Apollo's oracle at Delphi is not clear to this researcher, the use of the Delphi namesake is deliberate in referring to the research methodology being used in this study. In that both are known to be capable of revealing hidden knowledge and giving wise opinions, they bear some relationship to one another.

This research project is primarily a qualitative study involving the use of the Delphi technique, a research strategy which has been employed in the past in both qualitative and quantitative endeavors. Through its use, this researcher feels that the collective knowledge and wisdom of a small group of Oregon elementary principals can be crystallized into consensus opinions about the existence and resolution of role conflict between the summative and formative evaluation responsibilities of an administrator. Those conclusions should be descriptive of current thinking and practices in evaluation and supervision and will possibly indicate directions and needs for the future.

## METHOD OF RESEARCH

The Delphi technique is a method for "structuring a group communication process so that the process is effective in allowing a group of individuals as a whole, to deal with a complex problem" (Linstone and Turoff, 1975, p. 3). It is particularly useful in situations in which exact analytical solutions are not possible or appropriate or when a solution requires input from a number of people who cannot meet effectively in a face-to-face setting (Dodge and Clark, 1977). A derivative of futures research, it is often used to gather "insights, experience, and judgments of knowledgeable people" (Morrison, Renfro, and Boucher, 1984, p. 3) to forecast future events, trends, or policy issues (Putnam and Bruininks, 1986). Using a panel of "experts" who provide responses to the researcher in a series of rounds of questions, the technique was being used by the early 1980s by at least 100 major corporations (Morgan and Griffin, 1981).

### History

The first use of the technique was under classified circumstances in a project conducted in the 1950s by the Rand Corporation for the military. Olaf Helmer, senior mathematician at Rand, and his colleagues (Helmer and Rescher, 1960) developed the procedure in order to obtain and refine expert opinions about defense problems of the mid-1950s and to predict the dates at which future military events would

occur, specifically to estimate the probable effects of a massive atomic bombing attack on the United States.

When the technique was declassified in the 1960s, Gordon and Helmer described the methodology (Dalkey, 1969) and initiated its use for a variety of purposes in the United States as well in Europe and the Far East (Linstone and Turoff, 1975). Although during the 1960s it was used primarily by technological development forecasters, it soon began to be applied in public health, public transportation, and educational studies.

There is evidence in the literature that the Delphi technique was used in education to an increasing degree during the next two decades; an ERIC search by Todd and Reece (1989) indicated over 100 studies used it during the 1980s. With the exception of a survey at a National Conference of Professors of Educational Administration which sought forecasts about the future of education (Weaver, 1971), most educational studies were somewhat different in their focus from the original "predicting" element. Instead respondents were asked to state what they would "like to see happen" rather than "what is likely to happen" (Morgan and Griffin, 1981; Weaver, 1971).

In that form, the technique was employed in studies covering a wide range of topics and seeking a variety of responses. In one of the earliest uses for educational purposes, the Kettering project wanted opinions from

educational experts about preferred goals for possible federal funding. Cyphert and Gant (1970) wished to obtain preference statements about teacher education. LaPlante and Jewett (1973) assessed the content validity of the purposes of a physical education program by using Delphi. Hammerman and Voelker (1987) developed ten objectives for environmental education. Other topics have included outcome standards for secondary marketing education (Stone, 1984); policy issues for the management of computers in the classroom (White and Rampy, 1983); unanswered questions in health education (Frazer, 1983); skills and knowledge areas for a graduate introductory course in educational research methodology (Todd and Reece, 1989); and perceived needs in reading education in a school district (Morgan and Griffin, 1981).

Adaptations of the Delphi model have resulted in several other applications including collaborative goal-setting activities (the "Delphi Dialog Technique") in determining school improvement growth targets (Snyder, Krieger, and McCormick, 1983) and committee meeting procedures (Erickson, 1983).

#### Features of the Delphi Technique

The major objectives of a Delphi study are (1) to develop a range of responses to an issue, (2) to develop rankings of responses, and (3) to come to a degree of consensus on responses (Hostrop, in Vincent and Brooks, 1982). The procedure begins with a statement of the issue or



problem and thereafter involves successive rounds of questions related to that problem. At the beginning of each round of questions after the first, feedback about responses of other participants as a group is provided, allowing subjects to take the group data into account as they respond in the succeeding round. In most cases, the final results represent a consensus of opinion on the issue. Where consensus is not possible, descriptions of outlier positions describe the reasons for the lack of agreement. As a basic premise of the process, assurances are given to participants at the beginning of the study that individual opinions are reflected in successive rounds as well as in the final product, even if they differ from the consensus. If the rounds of feedback and questions are not evolved from these contributions, a critical aspect of the Delphi is lost, and the study simply becomes a series of linked questionnaires or a tabulation of opinions (Nash, 1978; Travers, 1978).

Morrison, Renfro, and Boucher (1984) contend that if the following four procedural rules governing a good Delphi research project are followed, that the opinions derived will be "closer to the 'true' answer than forecasts derived by other judgmental approaches" (p. 48).

- (1) "No participant is told the identity of any other participant.

- (2) "No single opinion, forecast, or other key input is attributed to the individual who provided it or to anyone

else.

(3) "The results from the initial round of forecasting must be collated and summarized by an intermediary (the experimenter), who feeds these data back to all participants and invites each to rethink his or her original answers in light of the responses from the group as a whole.

(4) "The process of eliciting judgments and estimates should be continued until either of two things happens: The consensus within the group is close enough for practical purposes, or the reasons why such a consensus cannot be achieved have been documented" (pp.47-48).

Participants in a Delphi study are considered "experts" in their field, according to varying field-specific definitions of what an expert is (see page 118). Weatherman and Swenson (in Vincent and Brooks, 1982) contend that the "technique relies on the strength of informed intuitive judgment on topics for which reliable objective evidence cannot be obtained, using a panel or persons nominated for their acknowledged competence in the field" (p. 25).

There are two basic types of Delphi: the "conventional Delphi" and the "real-time Delphi" (Linstone and Turoff, 1975). The conventional format, used in this study, is a paper-and-pencil version involving questionnaires and a monitor or team of monitors which synthesizes responses, giving respondents at least one chance to re-evaluate their answers in light of group responses. The real-time Delphi is

a computer communications version which electronically compiles groups results and provides feedback almost instantly to respondents; a limitation of this real-time type, however, is the fact that the characteristics of questioning cannot be adjusted as a result of group responses because the computer must be programmed ahead of time for the entire process.

Strengths. As a way of structuring communication among "experts", the Delphi technique has these advantages over a face-to-face meeting:

(1) It reduces the possibility of psychological dominance by strong individuals by maintaining the anonymity of participants. The identities of participants are kept confidential throughout the study and the results, which helps reduce the effect of dominant individuals who may tend to pull opinion toward their points of view in face-to-face discussions. It also allows each participant to be heard on each point, making the intensity and the nature of the uncertainties of the issue, and the areas of agreement and disagreement easier to see.

At least two studies have been conducted to verify that results obtained through the Delphi strategy were, in fact, more accurate than those obtainable through face-to-face discussions. Both a study using a statistical aggregation of opinion (Rand, in Dalkey, 1969) and one using face-to-face discussion (Campbell, in Dalkey, 1969) showed that the groups

using the Delphi strategy were more accurate in making forecasts. The face-to-face discussions caused group agreements to degrade over time.

(2) It reduces "semantic noise", the parts of group discussions which deal with individual or group interests or tangential issues rather than the topic or problem-solving.

(3) It reduces group pressure which might cause distortion in individual judgments. Feedback is controlled to a greater extent than it would be in other face-to-face circumstances as well (Dalkey, 1969). A summary of results written by the researcher is communicated to respondents, thereby removing (a) the possibly influential effects of non-verbal or psychological messages by other participants attempting to influence the direction of decision-making, and (b) prior knowledge of whether or not a one's position agrees or disagrees with the majority of the group.

(4) It allows participants to interact at their own convenience. Busy schedules in the lives of "experts" might preclude time or ability to gather at a common location and time, particularly when geographic distances between experts are sizeable. Delphi is a fast way to tap the resources of a group of knowledgeable people and provides an easier way to participate than attending a conference or writing a paper would (Dalkey, 1969). At the same time, because the feedback is interesting to respondents, it can be highly motivating for them to continue their participation throughout all the

rounds of the study.

(5) It is less costly than bringing experts together from widely varying geographic locations.

Limitations. The technique also carries some weaknesses:

(1) There are no models of design, analysis or reporting of results, leaving researchers on their own to be diligent in both their data collection and data analyses. Much of what is known about the process "consists of rules of thumb based on the experience of individual practitioners" (Morrison, et al, 1984, p. 50).

(2) Good questions are hard to devise in order to elicit meaningful information in appropriate quantities. The volume of information explodes from round to round, making terse questioning essential in managing the data.

(3) Panel fatigue is a factor, in that respondents must answer not one, but several sets of questions. Dodge and Clark (1977) report ranges in loss of participants from 38% to 68% over four rounds.

(4) Little is known about how and why the consensus-building process in Delphi works; no extensive research has been done on the methodology. Olaf Helmer, one of its founders, still believes it "lacks a completely sound theoretical basis" (in Morrison, et al, 1984, p. 50). Convergence of opinion may be happening less because of the process of consensus-building than through the panelists

having the opportunity to reread the questions and understand them better the second time around and/or that the respondents allow themselves to be biased by the group responses and simply drift toward agreement.

(5) There is a lack of a clear definition of "expert".

(6) The process could produce a pooling of opinions which do not necessarily represent the best or "expert" thinking in the field.

#### The Nature of Consensus

Quite a range of definitions exists for the term "consensus". The extent of the range is due in part to the varying ways of determining consensus from the data at hand. On the quantitative end of the spectrum, consensus could be expressed as the mode of the distribution of ratings, the interquartile range, or "a statistically significant decrease in standard deviations scores" from round to round, with the mean scores and standard deviations being figured for each item on the survey (Vincent and Brooks, 1982, p. 27). Riley, Riley, and Toby (1952) describe consensus as "the extent to which a particular opinion permeates all the members of a collectivity" (p. 99). On the other end of the scale, the qualitative approach to consensus includes definitions such as "the degree of agreement of individuals on a given topic" (Biddle and Thomas, 1966, p. 33), with no reference to what constitutes agreement or how it is determined.

As stated in Chapter I of this study, the operational

definition of consensus being used in this project is the position in thinking at which all participants can agree with the stated opinion.

## SUBJECTS

### Subjects

The original Delphi format created for the military by the Rand Corporation used a very small panel of experts (approximately 12) who were paid for their participation (Dodge and Clark, 1977). Later educational Delphis used much larger panels (several hundred) participants to help compensate for the drop-out rates incurred. More recent studies have attempted to be more careful about the selection of participants in order to include those with the degree of commitment which would ensure retention of participants throughout the study.

The study by this researcher included 12 elementary school principals judged to be "experts" in the areas of evaluation and/or supervision. They worked in schools which ranged in size from 325 to 475 students. Since the student enrollment in a school determines the size of the staff, and because the number of individuals a single principal needed to supervise and evaluate may make a difference to work load and level of role conflict, this researcher limited the effect of the school size variable by selecting a particular range within which schools must fall, so that roles and

responsibilities of principals in the study might be more nearly alike.

The particular student range (325-475) was chosen by determining a mid-sized student population within a large suburban district in Oregon which included 27 elementary schools. The personal observations of this researcher led her to the conclusions that principals of schools smaller than the range handled their evaluation responsibilities somewhat differently than principals of schools larger than the range, especially in the area of formative (supervision) activities. To eliminate some of that divergence, the smaller and larger schools were not included in this study. Larger schools also tended to have other administrative support staff, which would automatically eliminate them from the project.

Although an original goal was equal representation by gender, five participants were male and seven were female. They received no monetary compensation for their participation, but both they and their recommending superintendents will receive written reviews of the findings. Steps have been taken as described below to ensure that their level of commitment to the project is high enough to maintain their participation throughout the successive rounds of questioning.



### Selection Process

The process of selecting respondents included limiting the districts involved to the largest in the state of Oregon, requesting recommendations of "experts" from superintendents, and narrowing the range of recommended candidates to those in schools of appropriate sizes and to those willing to commit themselves to the project.

Definition of "Expert". A major criterion for subject selection is that each is an "expert" in the field under study (Dalkey, 1969; Cyphert and Gant, 1970). Therefore the first step in this current research is to define "expert" for the field of educational supervision and evaluation. Helmer (1960) makes a case for the importance of considering input from people with expertise in a given field. He feels that the background information such experts possess provides data which cannot be obtained by other means. For example, in predicting whether the United States would recognize Communist China by 1964, "it is hard to point to any relevant statistical evidence, yet there exists a mass of relatively undigested but highly relevant background information" (p. 20). Even though it is not explicit, that information holds "indirect evidence provided by underlying regularities" of society such as traditions, customary practices, attitudes, institutional rules, groups aspirations, and climates of opinion (p. 21, 20). Nash (1987) concurs: he feels because "experts" are rational and knowledgeable, they will be able

to create "successful predictions" based on their "large stores of mostly inarticulated background knowledge" (p. 8). An expert, therefore, would be someone who has a "refined sensitivity to its [the information's] relevance, through the intuitive application of which he is often able to produce trustworthy personal probabilities regarding hypotheses in his area of expertise" (Helmer, 1960, p. 21).

For the purposes of this research, then, an "expert" will be a principal recognized by a superintendent, assistant superintendent, personnel director, or director of staff development as possessing expertise in the area of either evaluation or supervision.

Nomination Process. A nomination process is typically used to gather the pool of "experts" for a Delphi study (Dalkey, 1969; Lindquist, 1973; Weatherman and Swenson, in Vincent and Brooks, 1982). The panel of persons making those nominations in this study were district superintendents or their designees (e.g., personnel director, staff development director). The first step in obtaining the names of those superintendents was the determination of which districts would potentially be included in the study.

Selection of Districts. In order to ensure that the level of expertise of participants was as sophisticated as possible, districts which had the largest staff populations were selected, based on the assumptions that nomination of a person with expertise might be more apt to occur in a larger

district because (1) the original pool from which candidates are drawn would be larger; (2) staff development opportunities for principals would be more likely to exist in the area of supervision and evaluation; and (3) larger districts might be able to attract and hire principals with more expertise in these areas.

Initially some effort was made to identify districts providing staff development or personnel department support for the training of principals in supervision and evaluation. This was done by noting in the Oregon School Directory entry for each district whether or not a staff development director or personnel administrator was listed. However, the consistency with which such titles were provided could not be verified, so the use of that entry as an indicator of supportive training was not worthwhile. Therefore, the attempt to find districts supportive of training in the areas was abandoned.

The first level of screening of districts was the elimination from the study of any district having under 100 staff members, according to the 1989-1990 Oregon School Directory. The number 100 was chosen by this researcher because it was felt that including districts with a minimum of 100 staff members would ensure that the superintendents would have a pool of candidates large enough to provide them a choice among several principals in order to nominate people with appropriate expertise. Few districts with under that

number of employees had more than one elementary school within the appropriate size range, which would either have precluded their participation anyway, or given the superintendent little choice of whom to nominate. There were 42 districts with 99 or more staff members.

The listing of these 42 largest districts revealed that the vast majority of school districts in Oregon are not suburban in nature (i.e., are not immediately adjacent to a larger city), an element included in the preliminary proposal for this study. Rather they exist in self-contained cities and towns, or are conglomerates composed of several rural areas. Given this fact, coupled with the limited numbers of schools from which to select participants had only suburban school districts been used, the researcher's original intention to include only suburban districts was also abandoned. It was decided that the factor which had more bearing upon the degree of training in or use of supervision and evaluation strategies was the size of the total district rather than its location in relation to a large city. Nevertheless, Portland Public School District #1 was eliminated from the beginning in the belief that supervision and evaluation roles and responsibilities as well as other administrative responsibilities may be of a different nature in an urban district with a size so much larger than any other district in the state.

A further screening step was taken to ensure that

recommendations were made by superintendents from a pool of more than one candidate. Therefore, any district qualifying to remain in the study needed to have at least two elementary schools in the size range (325-475 students) of the study. Within the 42 districts, there were 135 schools which were within the appropriate range, making the group of principals in those schools the original pool of potential participants.

Criteria for Potential Participants. When the 42 districts had been determined, a personalized letter was sent to each superintendent (see Appendix A) requesting a recommendation (or that of an assistant superintendent, a personnel director, or a staff development director) of an individual principal. That letter was critiqued for clarity and effectiveness by the superintendent of a large suburban district.

As indicated in that letter, potential participants must have meet the following criteria:

- (1) Sole administrator: S/he must be the sole administrator in a school (no administrative assistants or vice-principals to whom some tasks might be delegated).
- (2) School size 325-475: The size of the individual's school during at least one of the past two years must be between 325 and 475 students. The "past" requirement assured that the individual had experience in a school of the appropriate size range versus being new to a school of that size.

- (3) Grade configuration: The school must include no grade higher than grade six. All schools remaining in the final group were in one of these categories: Grades 1-6, 1-5, K-6, or K-5; none were composed of primary or upper grades only.
- (4) Recognized expertise: The individual must be recognized by the superintendent, or another central office administrator, as having particularly strong skills in the areas of evaluation and/or supervision.
- (5) Availability: The individual's district or personal commitments should allow him or her to respond by mail to three or four rounds of questions from November 1990 through May 1991. The participants would never be asked to gather in a meeting.

Enclosed in the superintendent's letter were from one to five response cards (see Appendix B) on which he or she could make recommendations. The number of cards enclosed was dependent upon the number of schools of appropriate size in the district; the ratio used was one card for each set (or part thereof) of three qualifying schools. A total of 70 cards were sent out. Instructions in the superintendent's letter also allowed him or her to exceed the number of cards enclosed if desired by writing a letter making additional recommendations; only one chose to use that option. All response cards were self-addressed and pre-stamped for return to the researcher.

A total of 30 districts responded. All but three made

recommendations of from one to five individuals, for a total of 39 principals (17 males and 22 females). Twelve of those recommended did not, in fact, have experience in schools within the designated size range. However, to be sure that the pool remained large enough, principals in schools within fifty (50) students above or below the appropriate range were left in the study at this point. Therefore, 33 principals remained, including 16 males and 17 females.

Superintendents who responded received personalized letters (see Appendix C) thanking them for their recommendations and indicating that a summary of the findings would be sent to them.

Selection of final participants. Each of the 33 potential participants recommended by superintendents received a letter (see Appendix D) inviting them to join the research project. Enclosed with that letter was a project overview (see Appendix E) explaining the extent of their involvement and a card (see Appendix F) on which each could accept or decline participation. Cards were self-addressed and pre-stamped for return to the researcher. Twenty-eight (28) principals returned cards indicating an interest in participating; four returned cards requesting not to participate; only one did not respond at all.

Given a total of 28 interested principals, the selection of final respondents could be made from those whose schools which did, in fact, fall in the targeted school size range of

325-475 students. Therefore final participants were chosen from the bank of principals (1) who were recommended; (2) who returned cards indicating their desire to participate; and (3) whose school size did fit the criteria.

A final group of 12-16 participants was determined by this researcher to be a size large enough to obtain representative data but small enough to manage the amount of narrative information being requested in the questionnaires. To narrow the field from the 28 interested principals to the desired 16, districts were rank ordered according to student populations, with principals in the largest districts being included first, even when that meant that more than one participant from a single district was included. Participants were assigned identification numbers in order based on size of their district's student population.

Commitment factor. Because the level of involvement of participants was to be higher than in studies requiring only a one-time completion of a survey, care was taken to be sure each of those sixteen understood the level of commitment needed in terms of the amount of time and energy required to complete each survey, the number of surveys expected, and the times during the school year when they were likely to receive those. The project overview which accompanied their letter of invitation helped to provide the information needed.

In addition, the sixteen final participants were notified both by mail (see Appendix G) and by telephone. This



researcher wanted to talk personally with each to confirm his or her interest and to explain the first questionnaire, so that its length would not be a factor in causing a participant to fail to respond. The notification letter also served as the cover letter for the Round #1 Survey, which was enclosed with it. To assist respondents in planning their time with the project, an approximate schedule of when participants would receive materials and when surveys were due back was included at the end of the Round #1 Survey and was updated on successive questionnaires.

Two alternates were also identified and so informed by mail of that status. All principals who had expressed an interest in participating but who were not selected also received a personal letter thanking them for their interest and explaining the reason they were not included.

Although these steps had been taken to ensure the interest and commitment of participants, two respondents withdrew after they received the Round #1 Survey. Both called to do so. Each was replaced by a potential participant in the next smallest district (the alternates which had already been identified); those new participants were sent materials within several days.

Retention of participants. Of the original 16 participants, 12 returned the Round #1 Survey. No attempts were made to obtain responses from the other four because of (1) time constraints on the researcher during the period

immediately following the survey return date and (2) the researcher's level of satisfaction with 12 respondents as an adequate sample, based on other Delphi studies (Dodge and Clark, 1977).

Of the 12 participants in Round #2, 7 responded by the deadline and 1 shortly thereafter. Telephone calls to the other four participants netted the return of all four missing surveys.

Size distribution of final participants. A fairly equal distribution of school sizes occurred without manipulation by this researcher. Among the first sixteen participants in Round #1, two or three schools fell within each increment of twenty-five students (e.g. three schools fell between 325 and 350 students, two schools fell between 351 and 375 students, etc.).

Among the twelve participants in Round #2, the number of schools in each increment of twenty-five students fell as follows:

325-350 students:	3 schools
351-375 students:	1 school
376-400 students:	3 schools
401-425 students:	1 school
426-450 students:	2 schools
451-475 students:	2 schools

Based on that distribution, this researcher judged that because school sizes were fairly balanced across the full

325-475 range, credibility for any consensus found would be stronger, in that the range of opinion which might be based on school size would not be skewed because of overrepresentation of any one size of school.

## RESEARCH INSTRUMENTATION

Use of the Delphi technique involves several rounds in order to ask questions of participants, summarize their input, reflect back to them their responses as a group, and ask new questions or seek clarifications based on those responses. This study was projected to involve four rounds of questions, and its final format did include all four questionnaires.

### The Four Rounds

Round #1 (See Appendix H): The initial questionnaire included demographic data as well as descriptions of four scenarios in which evaluation and supervision skills are needed and in which role conflict may be felt. The scenarios were drawn from the supervision and evaluation-related experiences of a personnel director, a university professor, four elementary school principals, and this researcher.

Questions were designed to determine whether conflict was perceived, the degree of conflict felt, the reasons it appears, and the strategies used by the administrator to address each situation. Some questions requested open-ended narrative responses; others requested that indications be

made on Likert-type scales or that boxes be checked in multiple choice options. The first questionnaire was longer than others due to the collection of demographic data.

Round #2 (See Appendix I): This questionnaire generally summarized any demographic data which might have a bearing on the respondents' answering questions in the next round. The instrument also reflected group responses to both narrative and non-narrative questions, asking for the degree to which they agreed with those group responses and for explanations of any outlier positions they had taken. Respondents were asked to prioritize lists of suggestions they had contributed during Round #1 about their approaches to evaluation and supervision, the barriers they perceived to accomplishing both roles, and the factors which affected the existence and degree of role conflict felt. A new scenario was also devised to attempt to probe issues raised during the first round.

Round #3 (See Appendix J): The questionnaire again summarized responses to both narrative and non-narrative questions and indicated areas of consensus. It also asked new questions in order to clarify and probe responses of Round #2; in addition, it included requests to prioritize again the items suggested in earlier rounds in light of new knowledge about the responses of other participants. This third questionnaire was slightly shorter in length.

Round #4 (See Appendix K): The fourth round

questionnaire was very short, including requests to prioritize Round #3 items suggested by participants in response to two questions only. The degree of consensus demonstrated on all other Round #3 questions was deemed adequate, making questioning on other items unnecessary (Morrison, Renfro, and Boucher, 1984).

### Validity Considerations

Delphi questionnaires can be validated through review by a panel of experts (LaPlante and Jewett, 1987). According to Joel Arick, a research professor at Portland State University, content validity is "usually established qualitatively through discussion by experts". The validity of the instruments in this present study was verified in a way consistent with such prior research: before each questionnaire was mailed to respondents, it was read by several individuals not participating as respondents:

1. A former elementary principal, serving during the study as a director in a district office position, read each survey from a research point of view, ensuring (a) that questions were clearly stated to obtain the information needed, and (b) that the format was optimally arranged both for respondent readability as well as for ease in data collection and analysis. Recent experience with her own dissertation research project and in an elementary principalship qualified her to serve in this role.

2. An elementary principal read and actually filled

out each survey before it was mailed. She looked (a) for clarity and ease of reading for participants who may have little research background, and (b) for ease in responding for the principal who has little extra time to decipher a survey which is not user-friendly.

3. A university advisor and a committee of college professors, skilled in monitoring research projects, read each survey for clarity and quality of questioning.

### Reliability Considerations

One aspect of reliability is the dependability of the responses from the group of experts selected versus a similar group of principals who might respond at a different time. According to Dalkey (1969), although different groups of equally competent experts could come up with different answers, the two groups would be more likely to arrive at similar answers than would two individuals if (a) the distribution of answers for the potential population was not widely distorted and (b) if the group were randomly selected. Both conditions held in this present study.

The reliability of this researcher's interpretations of responses was verified by a third-party observer who read responses of all participants and discussed her perceptions of their responses with this researcher in order to verify the internal consistency of the instrument.

To enhance the intra-rater reliability of the study and to provide documentation of the internal, subjective

processes which may affect this researcher's perceptions of and interpretations of data, a journal was maintained to record thoughts feelings, assumptions, motives and rationales for decisions made in the course of the study.

#### DATA COLLECTION PROCEDURES

Data collection consisted of the four rounds of questionnaires mailed to participants. After each round, the data collection needs of the next survey were reevaluated, dependent to some extent upon the responses to the prior round of questions. That is consistent with the evolutionary nature of qualitative research.

Except in the last round, respondents were given approximately two weeks to complete each questionnaire and mail it back in the self-addressed, pre-stamped envelopes provided.

Round #1: Mailed - November 23      Due back - December 10

Round #2: Mailed - February 27      Due back - March 13

Round #3: Mailed - April 11          Due back - April 24

Round #4: Mailed - May 6              Due back - May 13

The researcher's telephone number was provided for questions respondents might have.

## DATA ANALYSIS PROCEDURES

Inter-rater Reliability

In order to provide inter-rater reliability in this researcher's perceptions of the responses on the participants, a party outside the research study read all participant responses and discussed her perceptions with the researcher. This individual was an elementary school principal who was recommended as a participant in the study because of her expertise but whose school size was too large to include her on the panel of respondents. Identities of all participants were shielded from this reader; surveys were coded with identification numbers only.

Non-narrative Responses

On non-narrative responses in the survey rounds, consensus was determined by the narrowness of the range in which responses from all respondents fell. The following criteria were used for questions requesting rank ordering of nine or more items:

<u>Consensus</u>	<u>Range of Responses</u>
"Total" =	All numerical responses falling within a two-number range (e.g. 5-6).
"Much" =	All, or all but one numerical responses falling within a three-number range (e.g. 5-7)
"Some" =	All, or all but one or two numerical responses falling within a five-number range (e.g. 5-9)
"Little" =	Numerical responses falling in up to a seven-number range (e.g. 2-8) with few duplicate entries
"None" =	Numerical responses falling outside a seven-number range



Questions requesting rank ordering on smaller numbers of items were charted on a non-statistical database, with the factors being ranked listed as column headings across the top, and with participant identification numbers listed down the left edge of the chart. Consensus was then determined by observing visually the clustering of similar ranks or by figuring the rank orders mathematically by adding the ratings assigned in each column.

Some questions asking for rank orders or prioritization also provided the opportunity for the respondent to add his or her own suggestions to the list. Those suggestions were either noted as additions to the list or were included in existing categories (with an acknowledgement to respondents that that had been done) when results were fed back to respondents in the next round.

Responses to questions requesting indications on Likert-type scales were analyzed by recording each participant's responses on the actual scale used on the questionnaire, and then either visually or verbally reporting that back to participants with the next round of questions.

### Narrative Responses

On narrative responses, the degree of consensus was determined by this researcher's subjective evaluation of responses. That process first involved listing and categorizing responses to each question requesting narrative responses. Next a process of highlighting common elements

which appeared in the responses of two or more participants was used to identify areas of agreement. Then a summary list of items mentioned as important elements by several individuals was created. Those elements judged strong by this researcher and confirmed by the third-party reader were then used in writing group summaries of feedback on the round and in designing the questions to use on the succeeding survey.

Because of the very small number of participants in this study, computerized statistical analyses were not used to assist in analysis.

#### Outlier Responses

It was anticipated that outlier responses might require individualized questioning (in writing or by telephone) of a respondent in order to gain an understanding of his or her perspective in the situation. That need did not arise. However, at a few points, responses showing less agreement with others were reflected to the respondent group as outliers on the next round, giving the original contributor, as well as others, a chance to evaluate the position of the individual response in relation to the total group opinion.

#### SUMMARY OF THE METHODOLOGY

The Delphi technique is a process for structuring group responses to questions or issues which has been found to produce more reliable predictions and consensus than those

resulting from face-to-face meetings with groups of people. Acceptance of this methodology is part of a trend in research which increases emphasis on "multi-disciplinary" approaches to research in education (Claesson and Brice, 1978, p. 21). It was chosen for this study because it lent itself to the opinion-nature of the content, it was time-efficient for busy participants, and consensus was a goal of the project.

The subjects, a group of 12 elementary principals, were selected through a process involving nominations by central office personnel, based on their judgments of principals' expertise as supervisors and evaluations. Invitations to those nominated were accompanied by an overview of the project. High response rates were obtained both from superintendents making recommendations and from nominees interested in participating. Selection of the final participants was made by eliminating principals of any school outside the target range (325-475) and selecting those remaining from the largest districts.

The study involved four rounds of questioning, including demographic data about participants and their districts; participants' general practices and backgrounds in supervision and evaluation; their responses (narrative and non-narrative) to five scenarios; and prioritizations of the suggestions made both to scenarios and other questions. Each round not only involved questioning but also contained feedback about the group's responses on the prior round; that

feedback was represented in consensus statements to which the participants were asked to respond again in the subsequent round.

## CHAPTER IV

### PRESENTATION AND ANALYSIS OF DATA

#### INTRODUCTION

As indicated in Chapter III, the objectives of a Delphi study are to develop a range of responses to an issue, to develop rankings of the responses, and to come to a degree of consensus on those responses. The results of this study did, in fact, indicate a great deal of consensus among the principals on a number of aspects of the issues involved with resolving the evaluator/nurturer role conflict. At the same time, they pointed out some differences in conceptualization of the summative (assessment) and formative (supervision) evaluation systems as they exist in districts, which seem to have bearing (1) upon how the administrator feels s/he actually performs these two roles as well as (2) upon the degree of role conflict s/he feels while doing so. The study also indicated some minor differences between men and women.

The chapter is organized into six major parts. The first summarizes the demographic information describing the sample of respondents. In order to describe the responses to each round of questions in the Delphi and to define their effects upon the instrumentation of the following round, each of the next four parts after the demographics section will summarize

the specific instrumentation used in that round, the data collected, and the analysis made of the data for that round of questions (Claesson and Brice, 1989). The last section of the chapter will summarize all of the findings across the entire study.

### DESCRIPTION OF THE RESPONDENTS

The following demographic data includes information about the 12 respondents who returned Round #1 questionnaires. Data about the two of those individuals who dropped out of the study during Round #2 will be indicated later within the description of the Round #2 findings, to the extent that their deletion relates to findings in the study.

#### General District Demographics

The 12 respondents represented ten districts throughout Oregon; those districts ranged in size from 2,897 to 24,988 students, as reported by the respondents in Round #1. Based on those figures, the average size of the districts was 9520. One of the ten districts was, however, much larger than others. When student totals for that district were omitted from the figures to provide a better picture of the majority of districts, the remaining districts ranged in size from 2,897 to 8,279 students; the average size of those nine districts was 5,023 students. The latter figure is more representative of the districts involved.

Only one of the four largest districts in the state were

represented in the study; that district had two participants. (One smaller district also had two participants.) As indicated in Chapter 3, the largest district in the state (Portland Public Schools) had been eliminated at the outset because this researcher felt that supervision and evaluation roles as well as other administrative responsibilities may be of a different nature in such a large urban district. Although superintendents of the two other largest districts recommended participants, those suggested principals were not interested in participating.

#### School Demographics

The sizes of the schools in which the 12 participating principals worked ranged from 337 to 470 students. These numbers represent averages, calculated from the participants' response cards (see Appendix F), on which they were to indicate the sizes of their schools during the past two school years. The median size was 397, the average 400. The sizes fell in a balanced distribution across the targeted range of 325-475 (see page 131).

Half of the respondents supervised and evaluated between 21 and 25 certified staff members each year, with another three respondents having evaluated between 15 and 20 certified personnel. In addition to these, one indicated supervision and evaluation of between 26 and 30, one over 30, and one did not respond to that question.

By design of the study, all schools needed to include

grades from kindergarten or first through fifth or sixth grade. While one respondent directed a school with grades 1-6 only and four others worked with a K-5 range, the majority (seven) administered schools in a K-6 configuration.

#### Personal Demographics

Personal information about the principals participating included data on age range, gender, ethnicity, number of years of administrative experience, number of years of experience as an elementary principal, highest degree earned, and other areas of certification. Although the original intent was to balance the number of each gender represented, the final group of 12 respondents included five males and seven females, due to the fact that the group of four non-respondents from the initial sample of 16 was composed of 3 males and 1 female.

Respondents were very like each other in ethnicity, age, and degrees earned. All participants were white (not of Hispanic origin). All but one male and one female were in the 40-49 year age range; the exceptions were in the 50-59 year range. All but one male and one female had earned a masters' degree as their highest degree; these exceptions had earned doctorates.

Respondents were less alike in number of years of administrative experience in general, number of years of experience as principals, and other certification. They ranged in years of administrative experience in general from



5 to 16 years, with the average for the full group being just over 10 years. Five women had served in another type of administrative position before becoming a principal, whereas only one of the men in the entire group had done so. Females averaged 11.3 years of total administrative experience, while males averaged 8.6 years.

In terms of years of experience as principals, they ranged from 1 to 16 years, with the average being 7.5 years. Males and females were about equally dispersed across the range of years of experience as an elementary principal, with males averaging 7.2 years of experience and females 7.7 years. Of the two principals within the 50-59 year age range, the female had had more experience (16 years) than any other participant, while the male had had among the least amount of experience (2 years) as a principal. The four principals (two males and two females) with the most experience (12-16 years) as elementary school principals all had been in that role for their entire administrative careers.

Six participants held certification in elementary and four in secondary teaching alone, while two more held teaching certificates at both levels. Within male and female groups, however, certification was similar:

- Males: 3 elementary, 1 secondary, 1 dual certification
- Females: 3 elementary, 3 secondary, 1 dual certification

In addition, one female participant held a reading

endorsement, one male held a counseling endorsement, and one male held a superintendent's endorsement.

While the four largest elementary schools were administered by women, the distribution of men and women among schools of other sizes was about equal. In eight of the twelve cases, total years of experience as an administrator of any kind seemed to parallel size of school, with those principals with the most years of experience working in larger schools and those with less experience in smaller schools. The same parallel did not occur when comparing years of experience as an elementary principal with size of school; the pattern in that case was very mixed.

Background data relating directly to the supervision and evaluation responsibilities of each participant was also collected. That included the number of university courses taken in supervision and evaluation as well as information about individual and district beliefs and approaches.

Individual training. Eight of the twelve first-round respondents indicated that they had taken college classes in evaluation or supervision beyond the minimum required for basic administrative certification. The number of classes (not credits) taken ranged from two to six, with men and women averaging the same number. Years of experience, age, size of district, and size of school showed no differences in the number of college classes taken.

### District Factors Related to Evaluation

The Round #1 survey also collected data about three factors which might affect principals' role performance: the level of district inservice support in the areas of evaluation and supervision, the nature of district evaluation programs, and the personal approaches of principals to their evaluation and supervision responsibilities.

Level of district inservice support. Eleven participants reported that their districts (past or present) provided specific inservice education for administrators in how to deal with *summative* evaluation (assessment) issues, while eight reported that their districts (past or present) provided specific inservice education in how to deal with *formative* evaluation (supervision) issues. Of those participating in such inservice opportunities, principals spent from 2 to 60 clock hours in summative-related sessions and from 9 to 60 hours in formative-related sessions. Two of the principals had participated in from 40 to 60 clock hours of summative-related sessions; removing those two extreme cases from the group left the average for others at 5.2 hours. Three of the principals had participated in from 30 to 60 clock hours of formative-related sessions; removing those three extreme cases from the group left the average for others at 6.7 hours. Fewer principals overall, however, had participated in district formative evaluation (supervision) inservice than had participated in district summative

evaluation (assessment) inservice; the ratio was 8 to 11, formative to summative. One district offered neither; three others did not offer inservice in formative evaluation.

District evaluation programs. Information was collected about district evaluation programs in order to determine the contextual influences which may affect the principals' performance of formative (supervision) and summative (assessment) evaluation roles and the existence of role conflict between those sets of responsibilities. Eleven participants reported that formative (supervision) and summative (assessment) evaluation activities were embedded within the same system in their districts. Only one indicated that the two were kept totally separate.

According to those who reported that the two systems were embedded in the same evaluation program, the purposes of such programs included these categories:

1. to improve and ensure high quality instruction, to maintain standards for professional performance;
2. to motivate toward improved skills, to determine teacher development and growth;
3. to promote and evaluate competence;
4. to provide assistance; and
5. to increase student learning.

One of the principals working in such an "embedded" system, however, said that he "mentally kept them separate"; he did not explain how he did that.

The principal who indicated that the district kept the two separate reported that the district defined the purpose of summative evaluation as the "evaluation of teacher performance", but that there was "no formal system for this [formative] supervision"; that was left to the discretion of the individual administrator.

There seemed to be a mixture of emphasis upon formative or summative evaluation within districts. Half of the respondents felt their districts expected them to focus primarily on summative evaluation (assessment), while three others felt the primary focus was formative evaluation (supervision). Another three people felt the two aspects of evaluation were weighted equally in their districts. In the case of the two districts which had two participants in the study, however, each participant from each district reported a different emphasis! One in each district said the emphasis was on summative processes; the other reported an equally weighted emphasis.

Respondents worked in districts which were fairly alike, however, in terms of the structure of *summative* evaluation programs. Most used performance standards (ten districts) and goals (eight districts), or a combination of these, as criteria in their summative evaluation systems. At the same time, there was a wide range in the levels of competency expected. An equal number of districts used performance standards as minimum, median, and maximum expectations. In

five of the districts, multiple ratings were possible (e.g. "below standard", "standard", or "above standard") and in another five, only two ratings existed ("meets standards" or "does not meet standards"). Narrative statements and checklists were the most frequent methods used for communicating summative evaluation data to teachers.

Principals' personal approaches to supervision and evaluation. Although half of the respondents felt their districts expected them to focus primarily on summative evaluation (assessment), six felt formative evaluation (supervision) was foremost in their minds. Another four principals personally approached summative and formative evaluation as equally important areas. There was little difference between principals of different genders, years of experience, or district and school size. The two principals who held summative evaluation foremost in their own minds as they approached their roles represented both the smallest and the largest districts included in the study, and they had nearly the least (male) and nearly the most (female) amount of experience respectively as principals.

There was a greater emphasis upon formative evaluation (supervision) among principals than among districts, as perceived by respondents. Only two of the six principals who perceived that their district expected them to emphasize summative evaluation (assessment) actually approached their role with that emphasis foremost; two of the other four

emphasized formative issues and two approached them as equally weighted. All three of the principals who perceived that their district expected them to emphasize formative evaluation (supervision) did so in their own approaches as well. Two of the three principals who perceived that their district viewed summative and formative processes as equally weighted approached them equally in practice; the third individual emphasized the formative. In terms of their personal choices of emphasis on summative or formative issues in actual practice, principals showed no differences between men and women, years of age, years of experience as administrators in general, or years of experience as elementary principals.

The majority of the respondents seemed to feel that both the summative and formative evaluation systems in their districts were administrator-dominated. Almost all principals felt the summative evaluation systems in their districts were somewhat or totally administrator-driven, with only two seeing the principal and the teacher as equal partners in the process. The principals were equally divided on the degree to which the teacher was active in the evaluation process: four felt teachers were "active", four felt they were "somewhat active", and four felt they were "somewhat passive". Furthermore, seven of the twelve principals felt that the formative evaluation (supervision) system was also principal-dominated, with another three

seeing it as an equal-partner relationship. Only two perceived supervision as "somewhat teacher-dominated".

In terms of data collection strategies used by the participants, formal observations with pre-observation and post-observation conferencing; informal, unannounced observations; teacher self-appraisal; and clinical supervision seemed to be used most pervasively. Teacher input was used in a variety of ways as a data collection strategy, through frequent discussions, teacher journals, teacher-identified projects, self-assessments, and input about growth and development. A variety of classroom analysis methods were also used, with the following forms being mentioned by more than one respondent: verbatim, audio/video taping, task analysis, and interaction analysis. Forms of peer assistance or peer coaching were used regularly by some but never by others. Student input or student achievement data was rarely included in either summative or formative processes.

The most frequently mentioned methods of giving feedback to teachers were informal notes, copies of data collected, letters of commendation or concern, personal verbal contact, and formal or informal conferences.

### Summary of Demographics

The 12 principals participating in this study were most alike in ethnicity and age. Although their range of experience was great, levels of experience were about equally represented across the group as a whole. However, women as a



group had slightly more experience both in all administrative roles and as principals, especially in the 13-16 year range; whereas four women had had that length of experience in all administrative roles and two had had that length of experience solely as elementary principals, no men fell in that quadrant.

The distribution of school sizes was rather even across the targeted 325-475 student range. In addition, the distribution of men and women principals was about equal among all of the schools, with the exception of the four largest schools, which were all managed by women.

District similarities appeared in the nature of evaluation programs. Almost all (11) of the respondents reported that summative and formative processes were embedded within the same evaluation system in their districts. Most also felt that formative and summative systems were primarily administrator-dominated, with only 2 respondents feeling that either formative or summative systems were somewhat teacher-dominated.

Mixed data in the demographics of the respondents appeared most in the participants' perceptions of district expectations for principals and in their personal approaches to formative and summative evaluation. Although, as indicated above, most felt the formative and summative processes were included in the same system, half felt that their district actually expected them to emphasize the

summative aspects more, three felt their districts expected them to emphasize the formative, and three felt their districts expected them to treat both with equal emphasis. Personal approaches of the principals did not coincide with these perceptions of district expectations: six personally emphasized formative aspects, two summative, and four both.

The strongest differences among all participants in the demographics appeared in years of experience as administrators in general (5-16 years), years of experience as elementary principals (1 to 16 years), and number of hours of inservice in the areas of formative and summative evaluation (0 to 60 hours).

#### ROUND #1

The purposes of Round #1 were (1) to obtain demographic information about participants; (2) to determine facts and perceptions about district personnel evaluation and supervision expectations, procedures, and requirements; (3) to define participants' perceptions of evaluation and supervision roles in general; and (4) to define participants' practices in those areas. The first 39 questions on the Round #1 survey (see Appendix H) dealt with collection of the demographic data explained in the prior section of this chapter, including information both about participants, district evaluation systems, and individual approaches and practices.

The balance of the questions on the Round #1 survey (#40-48) dealt with the core issue: how do principals address the responsibilities in their summative and formative evaluation roles in four different scenarios presented to them. Each scenario is repeated verbatim below, and participants' responses to questions based on the scenarios are summarized after each.

#### General Scenario A

You are required to "evaluate" each teacher each year. Depending upon your district, the term "evaluation" may include only summative (providing a judgment of competence) evaluation or it may ALSO include formative (growth-oriented) supervision. Whether that district mandate to "evaluate" includes growth aspects or not, your job description does require you to help staff members increase in their professional abilities.

Questions following this description asked respondents to describe (1) their most productive ways of accomplishing both the summative and formative aspects of their role and (2) the greatest barriers to doing so successfully. They were also asked to indicate the degree to which they felt their roles were in conflict, a question which appeared with each of the four scenarios.

More than half of the participants indicated that they felt little or no role conflict in general in performing the responsibilities of both roles (see Table I). That response is consistent with the narrative statements they provided describing their approaches to handling both roles. However, more women than men (3 to 1) felt extreme or moderate role

TABLE I  
LEVELS OF ROLE CONFLICT FELT, BY GENDER

<u>Scenario</u>	<u>Survey Question Number</u>	<u>Level of Role Conflict</u>							
		<u>Extreme</u>		<u>Moderate</u>		<u>Very Little</u>		<u>None</u>	
		<u>M</u>	<u>F</u>	<u>M</u>	<u>F</u>	<u>M</u>	<u>F</u>	<u>M</u>	<u>F</u>
A <sup>a</sup> - General	42	0	1 (-1)	1	2 (-1)	3	3	1	1
B - Grade 5	44	0	1 (-1)	1	3 (-1)	3 <sup>b</sup>	2	2 <sup>b</sup>	1
C - Primary	46	0	3 (-2)	1	1	2 <sup>b</sup>	2	3 <sup>b</sup>	1
D - Strong Staff	48	0	0	0	0	4 <sup>b</sup>	6	2 <sup>b</sup>	1
Rd #2 - Transferred	64	0	0	2	1	2	4 <sup>c</sup>	0	0

a Numbers of participants in samples for each scenario:  
     Scenarios A-D: 12 (5 male, 7 female)  
     Round #2 Scenario: 10 (5 male, 5 female)  
     (The withdrawing female participants are indicated in  
     parentheses after their Round #1 responses.)

b One participant marked two responses.

c One participant did not respond.

conflict approaching the two roles in general. The sole individual reporting an extreme level of conflict was a women. In addition, those principals indicating extreme or moderate role conflict in general had less than the average (7.5 years) number of years of experience as elementary principals. All also worked in middle to large sized districts. There were no differences among principals indicating higher and lower levels of role conflict on these factors: age, school size, years of experience as an administrator, and hours of inservice.

Four main themes seemed to encompass most practices suggested as effective by Round #1 participants: interacting with teachers frequently, observing, emphasizing the formative aspects of supervision, and building a trust relationship with teachers. The following paragraphs describe these themes further. Exact numbers of respondents who reported each are not reflected for this general scenario because the prioritization questions in Round #2 needed to be based on general summaries of the data in order to elicit further ideas from participants in that succeeding round. This researcher felt that reporting exact numbers for each suggested item would not promote as much respondent feedback as would descriptions of general themes since this was not a "specific" scenario.

Effective practices suggested. Interacting with teachers frequently was seen as a key not only to knowing

what was really happening in the classroom versus what occurred in isolated formal observations, but principals felt it also built credibility with teachers. Formal observations coupled with numerous drop-ins contributed to making evaluation a process rather than an occasion. Being visible in the school allowed principals to observe teachers in non-classroom settings as well in order to keep a "pulse" on the staff. A variety of approaches were used both formally and informally to interact, including video taping, peer coaching, multi-grade buddy systems, and informal observations of other teachers.

Observing included both regular formal observations (with pre- and post-conferences) and informal drop-in or walk-through occasions. In both settings it was felt that meaningful data could be gathered to provide information for written summaries, formal or informal discussions, brainstorming sessions regarding teaching strategies, or progress toward goals. The sharing of objective data after observations provided opportunities for the teacher to draw conclusions and make adjustments in approaches and/or for the administrator to share his/her conclusions. Making observations of everyday events was seen to help the administrator obtain a broader range of information about the teacher (e.g., how s/he handled parents, lesson plans, peers on committees) in more natural settings.

Many respondents spoke of placing an emphasis on the

formative aspects of supervision. Comments such as "treat it as a positive and growth-oriented" experience, "I am mostly growth oriented in the way I deal with teachers", and "negotiate resources and ways you can facilitate their achieving the goals set at the pre-evaluation conference" indicate a great number of nurturing behaviors were used. Encouragement and support of peer coaching or peer sharing arrangements were frequent among respondents. The provision of opportunities to learn the "best practices" was mentioned several times. A number of respondents mentioned the importance of providing opportunities for tenured teachers to refine techniques, shape goals, or share with each other. Reinforcing, praising, and calling "notice to the effective" practices were noted repeatedly.

Several respondents spoke of building a trust relationship with teachers and the responses of several others indicated that such a relationship was indeed important. A number of respondents felt supervision and evaluation processes were based on trust. Examples of ways to build this trust relationship included maintaining an "open-door" policy, giving honest feedback, modeling, and demonstrating that you have expertise in using a variety of supervision strategies in order to individualize the evaluation processes.

Barriers perceived. The group of respondents also suggested 24 different barriers. Although several of those

can be grouped into categories, only *one* item was mentioned in exactly the same words by two respondents: that one was the "demands of other administrative roles". That one item, however, relates to a number of others which can be grouped together as issues of time constraints. Other suggestions in that category included the need to attend immediately to crises; growing demands upon the principal to assist in meeting the needs of an increasing number of at-risk children; lack of personnel in the form of an assistant, who could free the principal to address "supervision, evaluation, and staff development"; and the inability "to spend as much time in classrooms as desired".

Another barrier category containing several related responses was that of "deficiencies or conflicts within the evaluation system itself." This category includes: (1) contractual limitations which force the evaluation system to only meet needs of teachers at "the extreme ends...the capable and the incompetent"; (2) the dual purposes of evaluation systems, which force the formats of any system to be restrictive in order to meet both summative and formative goals; (3) mandated forms which do not provide for formative information; (4) "role conflicts which arise in both roles when someone is performing below standard" (i.e., keeping a growth climate when someone is on a plan of assistance); (5) lack of district policy regarding supervision (formative evaluation); and (6) "ridiculous" probationary teacher



deadlines.

Other categories included suggestions about teachers' negative perceptions of evaluation systems, principal/teacher difficulties in communicating clearly and honestly, constraints within the administrator (e.g., limited supervision skills, lack of self-knowledge, difficulty in being direct), and constraints within the teacher (e.g., emotional needs, misinterpretation of feedback, lack of a common "language" of instructional strategies, lack of experience with clinical supervision).

#### Scenario B

A fifth grade teacher is experiencing difficulty in developing a productive rapport with a difficult group of students. He attempts to use a moderately sarcastic form of humor with his students, hoping to engage them personally with him and command their cooperation. He is not able, however, to work through the emotions involved in difficult situations which arise with them and ends up losing patience, exhibiting frustration, and being drawn into verbal battle with them. He verbalizes openness to assistance but at the point of suggestions being made, he explains how he has already tried a form of the suggestion to no avail.

Just over half of the participants indicated that they felt little or no role conflict in general in performing the responsibilities of both roles in this kind of situation (see Table I). Again, more women than men (4 to 1) felt an extreme or moderate amount of role conflict. Three of the four women reporting those levels of conflict in this scenario were the same three who reported the higher levels of conflict in Scenario A; the single male reporting the

higher level of conflict was a different individual than the male in Scenario A. The sole individual who felt extreme conflict was a woman, but a different woman than the one reporting the extreme level of conflict in Scenario A. The other two characteristics of that group of higher-conflict individuals remained constant: less than the average years of experience as an elementary principal; and districts in the middle to large size range for the study. Again, there were no differences among principals indicating higher and lower levels of role conflict on these factors: age, school size, years of experience as an administrator, and hours of inservice.

The responses of all participants to Scenario B fell into one of two approaches: Nine of the twelve respondents spoke of "providing direct, guided assistance"; eight talked of "using a progressively more direct approach". Five respondents spoke to both.

Behaviors mentioned in the "provision of direct, guided assistance" response most frequently included modeling and coaching types of activities: facilitating peer coaching relationships, giving "can do" feedback, observing in order to give specific feedback, brainstorming ideas to try, helping teachers develop a plan to try, and modeling strategies needed. Close supervision was also cited by several respondents as necessary, not only to keep the principal aware of the needs for assistance but to enable him/her to give

feedback specific to the problems at hand. Several used strategies such as video-taping, taking verbatim, writing a plan (not a "plan of assistance" at early stages), visiting classrooms of successful teachers, and discussing whatever the administrator and/or teacher observed. Conveying that the principal was serving in a helping role was an element mentioned often.

The use of a "progressively more direct approach" included many behaviors appearing in the paragraph above. The major difference was an emphasis on the gradually escalating nature of the interactions between the principal and the teacher, moving from the informal and non-threatening suggestions to more formal mandates and summative procedures. Indicators of that escalating nature are found in these comments: At first "provide assistance in a casual but scheduled manner" but "if problems continue, step in in an evaluative way to raise the level of concern for help"; "If little or no progress is shown, then begin to blend into the formal evaluation process"; and "If no change, implement a plan of assistance."

Two respondents spoke also of the "need to clarify the administrative role" for the teacher. One did so by saying the "role as supervisor causes me to do whatever I can do to help this teacher" while "my evaluation responsibility come in only when the teacher does not respond professionally to assistance provided." The other respondent used this verbal

clarification with the teacher: "Let's stop this conversation for a moment while I clarify my role in this scenario. My proposals are more directive than you are interpreting them to be.... It is important...that you hear me out and give these suggestions another formal chance to succeed." That respondent went on to say that if denial and resistance occurred, a written summary was issued, as a formal "directive to comply with the suggestions."

### Scenario C

A primary teacher is experiencing difficulty in presenting developmentally appropriate activities, providing active participation, and managing classroom behavior. She seems to lack a clear understanding of the instructional needs of her students. She does not perceive, however, that the cause of her difficulties is within herself; she attributes lack of student cooperation and progress to the nature of the children in the class. Direct statements by the principal indicating need for improvement are not seen as significant enough for her to pursue changes in her own behavior.

Just over half of the participants indicated that they felt little or no role conflict in general in performing the responsibilities of both roles. Among those who indicated an extreme or moderate amount of role conflict, more principals indicated that their degree of conflict was at the extreme level than had done so in Scenario B (see Table I). Although responses from men and women were fairly balanced across the other three levels of role conflict, all three of those who reported that extreme level of role conflict were women.

The five principals feeling extreme or moderate levels

of role conflict in this scenario ranged in years of experience as elementary principals from 1 to 12 years; all but one of those five had held other administrative roles from 2 to 7 years before becoming a principal of an elementary school. Of the seven principals who felt the least role conflict (very little or none), five had held no other administrative position. Experience in the principalship for these five ranged from 5 to 16 years. Further, within that same group, all four of the principals who indicated no role conflict had held no other administrative position. Among members of that group feeling the least role conflict, there were no differences in certification, school or district sizes, and amounts of inservice participation.

Consensus in responses to Scenario C seems to indicate that "becoming more formal" is appropriate in this situation. Just over half of the respondents (7) indicated that they would do so, letting the teacher know well in advance that lack of evidence of improvement was moving the situation into a summative evaluation mode.

One of these same respondents was among a group of 6 principals who indicated that they would write a plan of assistance for the teacher at this point. Included in the communications with the teacher would be specific timelines within which identified problematic behaviors needed to be changed. Documentation of conversations and observations

would be made, with the teacher being required to sign off on each.

Another of the seven respondents who said they would "become more formal" was among a different group of four principals who said they would provide formal assistance, but not at the level of a "plan of assistance". Such assistance would include writing an "information plan" to assist the teacher; identifying specific areas on which to focus; providing opportunities to observe capable teachers in the area of weakness; and providing resources such as modeling, peer coaching, data analysis, and/or workshops.

#### Scenario D

The entire teaching staff of your school is demonstrating teaching skills which range from the middle to high ranges of competency. Most are eager to learn new strategies and improve existing skills. Although some experience difficulty with particular students, they are open to suggestions and incorporate them into their approaches as appropriate.

All of the participants indicated that they felt little or no role conflict in general in performing the responsibilities of both roles in this scenario (see Table I), with three indicating no conflict whatsoever.

The number of respondents commenting was about even for these three main approaches: (1) six principals elaborated on providing professional growth opportunities, (2) five talked of providing a variety of reinforcements, and (3) five spoke of emphasizing the formative aspects of the evaluation

process.

The greatest enumeration of ideas was in the area of providing opportunities for professional growth. "I focus on teacher growth...individualizing and innovating as necessary to meet growth interests of teachers"; the same principal provides the evaluation piece for that growth through the CBAM (Concerns-Based Adoption Model) elements. Another said, "I facilitate getting as many resources as you can get your hands on and that the staff is willing to pursue." Knowing the instructional abilities of teachers was acknowledged as important, but there was also much mention of centering on teacher interests (either individually or in teams) and on refining skills. Providing opportunities and time for sharing was noted by several administrators.

Ideas for providing continuous reinforcements both to individuals and to the entire group included promoting the staff by getting them on important district committees, encouraging them to "write up" their successes, involving them in staff development, and observing them in their classrooms so that concrete examples of outstanding teaching could be cited on their summative evaluations. "I tell them via notes, bulletins, announcements, media... how neat they are.... We celebrate!" Another gives "lots and lots and... lots of pats."

Emphasizing the formative aspects of evaluation was mentioned as a means of helping capable teachers continue to

grow. One respondent said that emphasizing the formative in the fall pre-evaluation conference set the scene for teachers to pursue growth within the context of their evaluation but without fear of taking risks, because their competency had already been acknowledged. Encouraging good teachers to experiment with new strategies and to invite the principal in to observe their efforts allowed the administrator to provide feedback which would result in growth.

#### Self-Reports Compared with Narrative Response Items

This researcher also recorded on Likert-type scales information gleaned from narrative responses about participants' practices in order to compare self-reports of respondents on specific questions (e.g., Do you hold summative or formative evaluation foremost in your mind?) with indicators of actual practices they mentioned in their narrative responses. The following categories were considered in making this comparison (see Table II): whether the principal's practices demonstrated a pervasive support versus evaluation attitude ("Supportive/Evaluative") in the opinion of this researcher; whether the principal's reported practices demonstrated activities more typically associated with supervision than evaluation ("Supervision/Evaluation"); and whether the principal's reported practices demonstrated a belief that activities existed on a continuum from formative (supervision) to summative (assessment) evaluation or in separate domains ("Continuum/Separated").



TABLE II

PRINCIPALS' PERCEPTIONS OF DISTRICT EMPHASES AND SELF-REPORTS  
OF PERSONAL EMPHASES COMPARED WITH PRACTICES REPORTED  
IN NARRATIVE RESPONSES

<u>Gndr</u>	<u>Perceptions of Emphases<sup>a</sup></u>		<u>Years of Experience</u>		<u>Narrative Responses</u>				<u>Discrepancies Between</u>	
	<u>Dist</u>	<u>Pers</u>	<u>Admin</u>	<u>Prin</u>	<u>A<sup>b</sup></u>	<u>B</u>	<u>C</u>	<u>D</u>	<u>Dist</u>	<u>&amp; Pers</u>
F	s	f	14	7	2.5	2	2	1	+	
F	s	s	15	15	1.5	1	2	1	+	+
M	s	=	12	12	2.5	NA	1.5	1	+	
M	s	s	9	2	2.5	2	2	NA		
F	s	=	5	3	NA	1	1.5	1	+	+
F	s/=	f	8	1	1.5	1	2	1	+	
F	f	f	13	8	NA	1	1.5	1		
M	f	f	12	12	1	2.5	3	1	+	+
M	f	f	5	5	2.5	2.5	2	2	+	+
F	=	=	8	4	1.5	2	NA	NA		
F	=	=	16	16	2.5	NA	2	1		
M	=	f	5	5	1	3	4	4	+	+

<sup>a</sup> Emphases: (s) Summative (f) Formative (=) Equal weight, as indicated in responses to non-narrative questions.

<sup>b</sup> Letters correspond to the following categories, each of which was represented by a Likert scale, on which elements of the narrative responses of each participant were placed by this researcher depending upon how the practices mentioned in those narratives related to points on each continuum:

- A: Direct (1 on the Likert scale)/indirect (5 on the Likert scale) in approaches with teachers
- B: Supportive (1)/judgmental (5) in interactions with staff
- C: Used supervision (1)/used evaluation (5) strategies more
- D: Viewed summative and formative processes on a continuum (1)/separate (5)

This researcher placed each principal on the Likert scale for each category, based upon the practices s/he discussed in narrative responses. Placements on those Likert scales are reported in numerical form in Table II (columns A-D), with #1 representing points closest to the first value listed in each category heading. For example, a #1 in "Supportive/ Evaluative" means that the principal appeared to use practices which were more supportive and less evaluative. Those ratings were then compared with the formative/summative indications in the column entitled "Principal's Own Emphasis". Five respondents presented discrepancies between their own self-reports and this researcher's perceptions of their emphases based on narrative responses. Of those five, three appeared more summatively-oriented than their self-reports indicated and two appeared more formatively-oriented than their self-reports.

Next a comparison was made between the ratings and the participants' responses in the column entitled "District Expectation of Emphasis". Eight respondents presented discrepancies between their perceptions of their district's expectations and of their own emphasis based on narrative responses. Five appeared to be much more formative in emphasis than their districts expected, and three appeared to be more summative than their districts expected.

### Summary of Round #1 Data

The data collected in the Round #1 survey provided demographic data which showed that the group of respondents was fairly homogeneous in age, ethnicity, and highest degree earned. Data also revealed balances in the distribution of participants within the school size range in years of experience as elementary principals, gender, and other certification. Although women had had slightly more experience in other administrative roles before becoming elementary principals, the genders were evenly distributed in terms of experience as elementary principals.

Although many districts were perceived to expect emphasis on summative rather than formative (supervision) evaluation, most principals emphasized formative or viewed summative and formative as equally weighted. Although the levels of district inservice support varied, men and women were evenly dispersed across inservice participation levels. A variety of similar data collection strategies were used by most principals within the district evaluation systems.

In terms of role conflict, more than half of the principals reported little or no role conflict in the scenarios. Among those reporting extreme or moderate amounts of conflict in some scenarios, women were more strongly represented.

The four general approaches suggested to deal with both roles were interacting with teachers frequently, observing both formally and informally, emphasizing the formative or

growth aspects of evaluation, and building trust relationships with teachers. In cases where teachers were experiencing more difficulty, provision of more assistance was recommended, including providing more learning opportunities and moving toward increasingly more direct or formal approaches with teachers, including both informal and formal plans of assistance. For predominately capable staffs, principals suggested provision of professional growth opportunities, provision of continuous reinforcements, and emphasis upon the formative.

With the exception of one participant, respondents felt that the single greatest barrier to dealing effectively with both summative and formative evaluation was time. Other barriers included deficiencies or conflicts within the evaluation system itself, negative perceptions of evaluation systems, communication breakdowns, constraints within the administrator (e.g., limited supervision skills, lack of self-knowledge, difficulty in being direct), and constraints within the teacher (e.g., emotional needs, misinterpretation of feedback, lack of a common "language" of instructional strategies, lack of experience with clinical supervision).

When non-narrative self-reports of participants were compared with the researcher's interpretation of the nature of actual practices described in narrative responses, discrepancies were found. The mixture of results may indicate lack of clear definitions of summative and formative

roles and responsibilities both by districts in their personnel programs and by principals in their philosophies and everyday practices.

## ROUND #2

The purposes of Round #2 (see Appendix I) were (1) to obtain more information about the participants' practices in evaluation and supervision by probing further on group responses from Round #1; (2) to begin to shape consensus; and (3) to determine the extent of agreement or disagreement with the summarizations and consensus statements created from Round #1 data.

The questionnaire for Round #2 was organized in four parts, the first two of which presented information only, and the last two of which both presented group response summaries and asked further questions. Part I summarized any of the first-round demographic and district personnel system data which might have bearing on participants responses. Part II reflected the participants' approaches to formative and summative evaluation activities, based on answers to the non-narrative questions asked in Round #1. Part III included summaries, consensus statements, or lists of suggestions based on the narrative responses to the four scenarios presented in the first survey. It then asked for an indication of the degree to which each participant agreed or disagreed with summaries or consensus statements and for

prioritizations of suggestions in some cases. Part IV contained an additional scenario to which participants needed to respond as they had in Round #1. That scenario was designed to further define where role conflict arose for principals or how it was precluded by approaches they used. It also asked some general questions about factors affecting role conflict and about expectations for the role of the principal.

Because the survey contained both feedback and new questions for the participants, it was formatted in a way which would help readers see easily the segments which needed responses from them. All feedback was written between bold vertical lines in both margins; all material needing responses was placed in boxes.

Eight participants returned the Round #2 questionnaire at the designated time. Telephone calls to the four non-respondents brought two additional surveys in almost immediately. One additional participant asked to be dropped from the study due to district obligations. The fourth non-respondent indicated the survey had been completed and was thought to have been mailed by a secretary; it was never received and no further requests were made of that individual. Therefore, a total of ten respondents remained in the study by the close of Round #2.

Both participants deleted from the study during Round #2 were females from mid-sized districts; one was a principal in

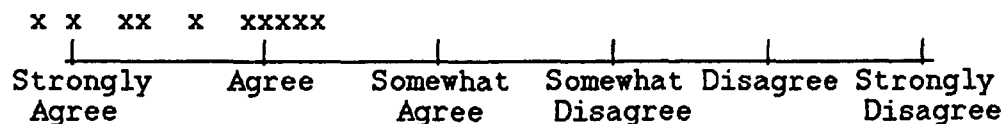
a school at the large end of the size range (470), the other in a school of middle size (398). They also were the two principals who reported the greatest levels of role conflict in response to the Round #1 scenarios. Their deletion rebalanced the number of males and females in the study.

#### Degree of Consensus on General Scenario A

In Round #2 participants were questioned about the extent to which they agreed or disagreed with this consensus statement:

While a few principals felt a moderate amount of role conflict between the roles of evaluator/judge and supervisor/nurturer, just over half of this group of respondents felt a minimal amount of role conflict. Principals seemed very supportive and nurturing in their approaches to teachers, attempting to find ways to help teachers grow professionally and experience success.

All ten responses fell within the "strongly agree" to "agree" range:

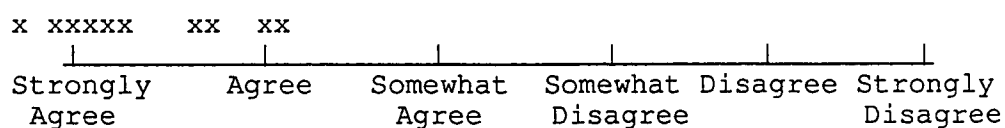


Respondents were also asked to indicate the degree to which they agreed or disagreed with the inclusion of each of the four approaches (defined in Round #1 results) in the list of effective ways to accomplish both the summative and the formative aspects of the principal's role: interacting frequently with teachers, observing, emphasizing the formative, and building trust relationships with teachers. As indicated in Table III, "interacting with teachers" and

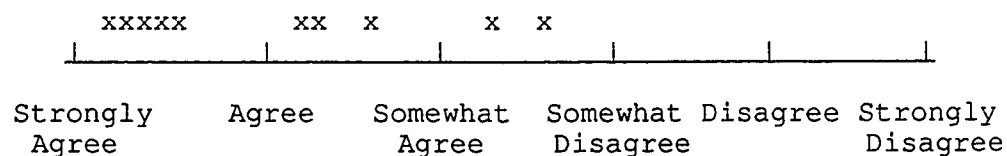
TABLE III

APPROACHES TO ACCOMPLISHING BOTH SUMMATIVE AND FORMATIVE  
EVALUATION RESPONSIBILITIES

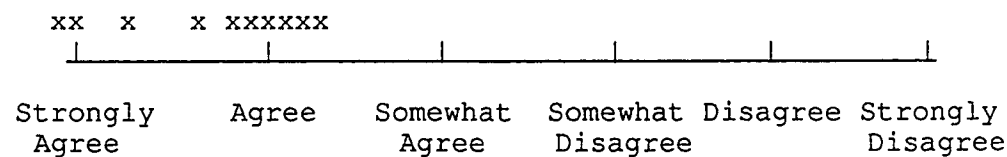
(1) Interacting frequently with teachers



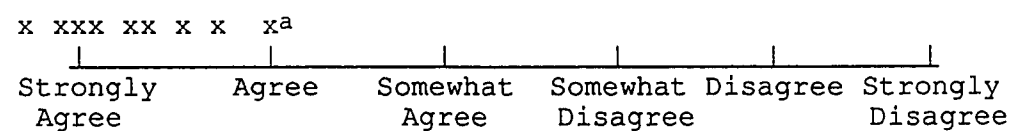
(2) Observing



(3) Emphasizing the formative



(4) Building a trust relationship



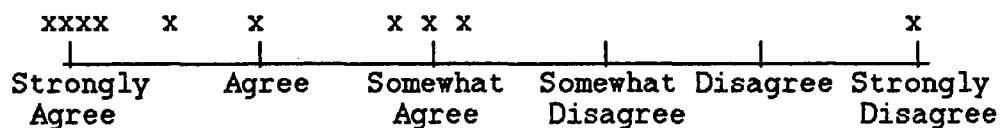
<sup>a</sup> One respondent did not answer this question.



"building a trust relationship" were about equal in ranking, with interacting just slightly stronger. Both of these approaches were ranked higher than either "observing" or "emphasizing the formative."

The next set of questions in Round #2 dealt with the barriers which made it difficult for principals to accomplish both summative and formative aspects of their role. From the original set of 24 barriers suggested by respondents in Round #1, the six mentioned most often were reflected back to respondents in Round #2. Time constraints as one of those barriers was dealt with separately from the other five because it was perceived by this researcher to be much stronger than others within narrative responses.

However, in answer to the question, "To what extent do you agree that time constraints are the number one barrier?", respondents showed some divergence of opinion as indicated by the following scale:



The position of the outlier respondent at "Strongly Disagree" was that "time is not a barrier because you control the majority of your time. It [supervision and evaluation] needs to be a priority."

As described more fully in Round #1 results, the other five major barriers were (1) deficiencies or conflicts within the district evaluation system itself; (2) teacher's negative

perceptions of evaluation system; (3) difficulties in communicating; (4) constraints within the administrator; and (5) constraints within the teacher. When respondents rank ordered these other five barriers, there was no clear agreement on any rankings except for the strongest ("constraints within the teacher") and the least strong ("difficulties in communicating"). Because of the lack of clarity in the results, either in the question about time or in the rank ordering of other barriers, all of the six suggested barriers were resubmitted to respondents in Round #3 to rank order again after they had seen the Round #2 results.

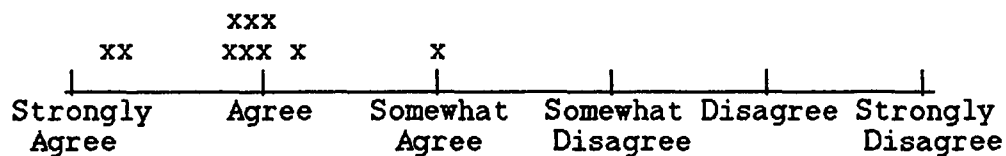
#### Degree of Consensus on Specific Scenarios B, C, and D

The next series of questions in Round #2 asked participants to indicate the degree to which they agreed or disagreed with the consensus statements, each of which summarized the effective approaches suggested by respondents to manage the summative and formative responsibilities involved in each separate scenario.

Specific Scenario B. This scenario involved a fifth grade teacher who had difficulty developing rapport and staying out of power struggles with students; he verbalized openness but found reasons not to implement suggestions. The consensus of first-round responses seemed to indicate that "providing direct, guided assistance...using a progressively more direct approach" was the most effective approach (see

pages 141-143). The purpose of Round #2 at this point was to determine the degree of agreement with the consensus statement and to probe for more information about how and when role conflict was felt or how it was precluded.

The first followup question in Round #2 asked the degree to which respondents agreed with that consensus statement about providing direct, guided assistance in a progressively more direct approach. All responses fell within the "agree" range, as indicated below:



The second followup question for Scenario B asked participants to explain themselves in one of two ways:

- (a) If they had felt a extreme or moderate amount of role conflict between formative and summative processes in this scenario, they were to describe how and when such role conflict arose in interactions with the teacher; OR
- (b) If they felt very little or no role conflict in this scenario, they were to explain more about how they perceived the responsibilities in ways which did not create role conflict for them.

Three felt extreme or moderate role conflict, while six felt little or no conflict. Those who felt a moderate or extreme amount of role conflict in this scenario reported that the degree or existence of role conflict depended upon

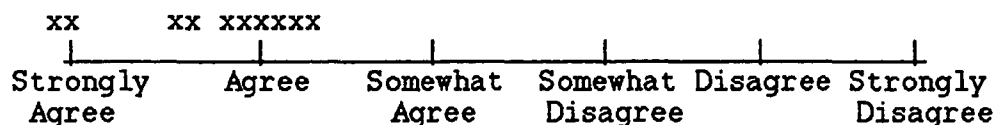
the response of the teacher. When the teacher was argumentative, defensive, unresponsive, or unable to claim the problem, the administrator felt role conflict. In addition, trust between teacher and principal seemed to be a factor which reduced the probability or intensity of role conflict, so a number of respondents seemed to strive to foster that between themselves and staff members. All participants who indicated that they had felt an extreme or moderate amount of role conflict in the scenario with the fifth grade teacher agreed that trust was an important element in the relationship with staff.

Those who felt less conflict confirmed the importance of trust between administrator and staff. They also suggested that the fact that the two roles are "set and exist" seemed to help reduce conflict for them; principals seemed simply to accept them both as part of performing the principalship role. Several acknowledged that clarifying each evaluation role to teachers helped reduce conflict because teachers could see the distinct functions the administrator was performing.

Specific Scenario C. This scenario involved a primary teacher using developmentally inappropriate activities which provided little active participation and created student management problems; she consistently attributed her difficulties with the class to the nature of the children rather than to her weaknesses. The consensus of first-round

responses seemed to indicate that "becoming more formal" was appropriate with this teacher. About half of the respondents said they would provide more formal assistance, but not at the level of a plan of assistance; another half said they would write such a plan at this point. The purposes of Round #2 were to determine the degree of agreement with a consensus statement and to obtain more information about how and when role conflict was felt or about how it was precluded.

All respondents agreed that becoming more formal was the action they would take:



As in Scenario B, the second followup question for Scenario C asked participants to explain themselves in one of two ways:

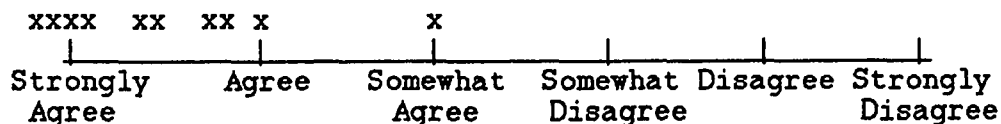
- (a) If they had felt a extreme or moderate amount of role conflict between formative and summative processes in this scenario, they were to describe how and when such role conflict arose in interactions with the teacher; OR
- (b) If they felt very little or no role conflict in this scenario, they were to explain more about how they perceived the responsibilities in ways which did not create role conflict for them.

The four respondents who felt extreme or moderate role conflict believed that role conflict was higher when the teacher could not own his or her own problem. A different

four respondents, all of whom felt little or no role conflict, noted that relationship factors played an important part in lowering role conflict. Two specifically cited being honest, direct, truthful, and sincere as important qualities; two others cited maintaining trust and respect. Four also commented that if the summative and formative roles were clearly explained and understood by teachers, role conflict was lower for them as principals.

Specific Scenario D. This scenario involved a staff of teachers with middle to high ranges of competency; they seek, learn, and apply new strategies and readily incorporate suggestions into their instruction. The consensus of first-round responses seemed to indicate that little or no role conflict was felt, and that three main approaches would be effective with such a staff: providing opportunities for professional growth, providing continuous reinforcements, and emphasizing the formative aspects of evaluation processes.

The followup question in Round #2 asked the degree to which respondents agreed with the approaches in that consensus statement. All participants agreed with them:



The nature of this scenario did not lend itself to use of the second followup question about how and when role conflict entered the situation or how it was precluded, because all 12 of the first-round respondents had indicated

that they felt little or no role conflict.

The individual reporting the least strong agreement with this consensus statement had reported very little conflict in each specific scenario. Because of this consistent lack of role conflict and the fact that this response was not an expression of disagreement, this researcher did not query him individually about the reasons for his position.

### New Round #2 Questions

In order to probe more about where and how role conflict occurred for principals, the following additional scenario was presented at the end of the Round #2 questionnaire:

When you began as the new principal in Anytown Elementary School at the beginning of this year, you spent a great deal of time getting to know teachers by observing both formally and informally and by conversing with them in a variety of everyday situations. You have carried forward the already established quality staff development opportunities, supporting teachers in their efforts to implement new, more effective teaching strategies.

You have serious concerns, however, about a fourth grade teacher. In reviewing records and through pre-year conversations with the teacher, you learned that he had been transferred from a middle school three years earlier because he was not successful in controlling or teaching adolescents; he was not hesitant to tell you that he still resents having been moved. In observations at the beginning of the year, you saw few skills in classroom management and little use of effective instructional strategies.

In pre-evaluation conferences in early October, you talked with him about strengths and weaknesses you had observed to date and together created a plan on which to work to remedy specific problematic behaviors. To this mid-year date, however, you have seen little or no progress and little effort on his part to work through the plan you both had created.

Questions following this scenario asked respondents to indicate the degree to which they felt role conflict; how they would approach evaluation and supervision responsibilities in the situation; and how and why role conflict would arise for them (if it did) or how they perceived their roles in ways which precluded role conflict for them.

All respondents felt some degree of role conflict. Of the nine participants who responded to this question, six felt very little, however, while three felt a moderate amount. Respondents suggested the following approaches as effective ways to address summative and formative evaluation responsibilities in this case. The parenthesized number after each indicates the number of principals who suggested that item.

- Write a plan of assistance (5)
- Share perceptions of lack of progress and move to a more formal level (4)
- Follow a step-by-step process toward small, incremental goals (3)
- Try to effect change in the teacher (2)
- Increase classroom observations (2)
- Provide assistance (2)
- Assess willingness of teacher to grow and change (1)
- Assess the possibility of a interschool transfer (1)
- Assess the chance for successful dismissal of the teacher (1)



- Use a mentor to assist teacher's learning (1)
- Clarify roles (summative and formative) (1)

Among responses to the question about how and where role conflict occurs, seven respondents stated that they would increase the level of summative evaluation activities in this scenario. For three of those people, however, that created an increase in role conflict.

Among responses to the question about strategies which might preclude role conflict from occurring, six respondents explained that they viewed summative and formative (supervision) evaluation on a single continuum, a perspective which helped them mesh the two roles together successfully.

However, three of those six respondents also reported that they felt an increase in role conflict whenever they began summative activities. Several strategies were suggested as being successful in keeping role conflict at lower levels: (1) four suggested keeping communications open; (2) four suggested providing a step-by-step process for improvement; (3) three suggested moving to summative activities and a plan of assistance whenever it becomes appropriate; and (4) one suggested using a mentor other than the principal to assist the teacher in improving over the course of the year.

Other additional Round #2 questions. Two other questions were asked in Round #2; one dealt with prioritizing information already suggested by respondents while the other asked for new information about perceived expectations.

Based on the narrative responses to questions asked about Scenarios A, B, C and D, in Round #1, the following list of factors was generated. These seemed to be items which affected whether or not participants felt role conflict and/or which affected the intensity of the conflict felt.

1. Principal's perceptions of the evaluation processes in general;
2. principal's perceptions of his responsibilities in the two roles (formative and summative evaluation);
3. organizational climate in the school;
4. number of strengths or deficiencies seen in the teacher;
5. degree of effort by the teacher to change;
6. degree of trust between principal and teacher;
7. principal's interpersonal competencies;
8. principal's credibility as having "expertise" re effective teaching; and
9. principal's credibility as having "expertise" re content areas (e.g. math, music, PE, reading).

Respondents were asked to suggest other factors if they wished as they considered their formative and summative evaluation roles in general, and then to prioritize the entire list. Their prioritization resulted in this rank ordering of the factors:

1. Degree of trust between principal and teacher;
2. number of strengths or deficiencies seen in the

teacher;

3.\* organizational climate in the school;

3.\* principal's credibility as having "expertise" regarding effective teaching practices; and

4. principal's credibility as having "expertise" in content areas (e.g., math, music, PE, reading).

\* Items tied for third place.

Respondents also added several new factors: years in the building, trust by the staff as a whole, time necessary for summative evaluations, principal's perception of role as one addressing students first through staff, teacher's acceptance of self as part of problem and solution, and credibility of principal with secondary training. Each was mentioned by one respondent.

That fact that people may have different expectations for the same role may affect how that role is performed. Therefore, the last question on the Round #2 was designed to explore the degree of role consensus (agreement upon how a role is defined) among respondents (Gross, Mason, McEachern, 1958). Respondents were to list expectations in four categories: (1) expectations they felt others had for them as they handled the summative evaluation, (2) expectations they held for themselves concerning summative evaluation, (3) expectations they felt others had for them as they handled formative evaluation, and (4) expectations they held for themselves concerning formative evaluation. Table IV shows the responses.

TABLE IV

EXPECTATIONS FOR THE PRINCIPAL IN SUMMATIVE  
AND IN FORMATIVE EVALUATION

Expectations by Others regarding Summative Responsibilities

Be honest (2) a  
 Communicate subjective and objective decisions  
 Communicate in a reasonable length of time  
 Be exact and specific in feedback to teachers  
 Never be neutral  
 Recognize good or bad teachers (3)  
 Be fair and accurate (2)  
 Recognize abilities of teachers  
 Make judgments based on observation of performance  
 Weed out bad teachers; refuse to accept incompetence (3)  
 Provide opportunities for growth and change (2)  
 Reward good teachers  
 Know people, human nature  
 Be direct but caring and emphathetic  
 Be accessible  
 Know and follow district/state evaluation protocol (4)  
 Know students, their needs, and whether they are being met  
 Possess skills to recognize quality/poor teaching  
 Emphasize summative evaluation  
 Find the best people

Expectations by Self regarding Summative Responsibilities

Communicate subjective and objective decisions  
 Possess effective communication skills  
 Communicate to staff about goals, research and effective instruction  
 Be a good listener  
 Communicate accurately  
 Be specific in summative evaluations  
 See that each teacher has a fair evaluation  
 Weed out bad teachers; refuse to accept incompetence (2)  
 Possess skills in human relations  
 Be encouraging and supportive  
 Know and follow district/state evaluation system protocol (3)  
 Recognize quality teaching or incompetence (2)  
 Maintain my professional knowledge  
 Maintain a sense of perspective about the evaluation system so that it is not perceived as a "witch hunt"  
 Find the best people  
 Focus on the formative, with the knowledge that summative is also important

TABLE IV  
 EXPECTATIONS FOR THE PRINCIPAL IN SUMMATIVE  
 AND IN FORMATIVE EVALUATION  
 (continued)

Expectations by Others regarding Formative Evaluation

Visit classrooms (3)  
 Communicate with teachers and give feedback  
 Communicate well  
 Know the traumas teachers are enduring  
 Listen to frustrations  
 Be able to diagnose inadequacies  
 Be able to recognize all abilities of teachers  
 Never be neutral  
 Provide help for all teachers (strategies, programs,  
     resources, materials) (3)  
 Inspire self-actualized learning  
 Provide methods to address inadequacies  
 Support change with presence and resources  
 Control amount of teacher release time which keeps staff out  
     of classrooms  
 Use formative process to keep implementation of strategies  
     or curricula moving forward  
 Possess good human relations skills  
 Diagnose teaching behaviors, inadequacies, strengths (3)  
 Know what is going on in classes, changes being made,  
     traumas being endured

Expectations by Self regarding Formative Responsibilities

Communicate accurately and honestly (3)  
 Communicate well  
 Observe more in classroom and give feedback more frequently  
 Recognize strengths and inadequacies (2)  
 Provide resources for teachers (2)  
 Encourage teacher leadership and expertise so that others  
     can be part of the formative process and be resources  
     for their peers  
 Be helpful, encouraging and supportive  
 Be accessible as a resource  
 Gain trust of all staff regardless of teacher competence  
 Possess good human relations skills  
 Be able to do all others require of the role (3)  
 Give exact, specific, honest feedback  
 Spend time doing staff development to provide a role model  
     for use of strategies  
 Maintain a broad enough view of professional growth so that  
     both individual and school needs are met  
 Continue to develop personal repertoire of formative skills

<sup>a</sup> Numerals in parentheses indicate the number of times  
 that an item was suggested by the group of respondents.

As Table IV indicates, a wide variety of expectations were listed, including many singleton suggestions. Those ideas were returned to respondents in Round #3 for prioritization in order to clarify perceptions of the role expectations for each role.

#### Summary of Round #2 Data

Round #2 provided more information about the summative and formative (supervision) evaluation practices of participants. It also allowed feedback on the degree of agreement or disagreement on initial statements of consensus which could be produced after Round #1.

Strong consensus. The areas of strong consensus were numerous. While a few principals felt a moderate degree of role conflict in about their evaluation roles in general (see General Scenario A, page 152), most felt a minimal amount of conflict and used approaches which demonstrated supportive and nurturing attitudes toward teachers. They most strongly agreed that interacting frequently with teachers, emphasizing the formative and building trust relationships were all effective in dealing with both roles simultaneously.

The specific scenarios also contained areas of strong consensus. In Scenario B (see page 158), both those who felt extreme or moderate role conflict and those who felt very little or none felt that establishing a trust relationship was a major factor in the reduction of the probability or intensity of role conflict. In Scenario C (see page

160-161), all agreed that becoming more formal in their approach was appropriate, whether they felt high or low levels of role conflict; all advocated some form of plan of assistance, ranging from informal to formal. In Scenario D (see page 163), all also agreed that the three main approaches with a strong staff would be providing opportunities for professional growth, providing continuous reinforcements, and emphasizing the formative aspects of evaluation processes.

Respondents prioritized a set of factors which seemed to this researcher to affect whether role conflict existed or its degree of intensity, based upon participants' narrative responses in Round #1. The factor receiving the highest prioritization was the degree of trust between principal and teacher; the factor receiving the second highest marks was the number of strengths or deficiencies seen in the teacher. Other factors in the top five were the organizational climate of the school, the principal's credibility as having expertise in effective teaching practices, and the principal's credibility as having expertise in content areas.

Degree of consensus has not yet been determined on the questions dealing with expectations. In this round, respondents generated lengthy lists of expectations in four categories: (1) expectations held by others for the principal's performance of summative responsibilities, (2) expectations held by the principal for performance of

summative tasks; (3) expectations held by others for the principal's performance of formative responsibilities; and (4) expectations held by the principal for performance of formative tasks. Those lists will be presented to respondents again in Round #3 for clarification and prioritization.

Mixed levels of consensus. Several areas showed mixed results in terms of the degree of agreement among participants. On the issue of whether time was the primary barrier to accomplishing both summative and formative roles effectively, one respondent strongly disagreed; all other respondents agreed that it was, in fact, a barrier.

Although the newly added scenario dealing with the teacher who had recently been transferred from a middle school, raised mixed levels of role conflict, half suggested writing a plan of assistance in their narrative response to the question. Even though 7 of the 10 principals seemed to acknowledge that more summative measures were appropriate in the situation, three of that group recognized that that meant an increase in role conflict for them. They had a mixture of suggestions for keeping role conflict at lower levels, showing no strong consensus on any: keeping communications open; providing a step-by-step process for improvement, moving to summative activities and a plan of assistance if necessary, and using a mentor other than the principal to encourage improvement. These areas will be clarified in



Round #3.

Weakest levels of consensus. One of the areas of least consensus occurred in the rankings of the barriers to effectively handling both summative and formative responsibilities. The other area of least consensus appeared around whether to include "observing" as one of the major ways to accomplish for areas of responsibility. Both issues will be included for clarification in Round #3 questioning.

### ROUND #3

The purposes of Round #3 were (1) to obtain final input on prioritizations begun in prior rounds; (2) to clarify unclear areas of responses from Round #2; (3) to validate consensus indicated in prior rounds; and (4) to project future practices of administrators.

Rather than being organized in parts, as the prior two surveys had been, the questionnaire for Round #3 simply reflected feedback (highlighted again by bold vertical lines) and asked new questions (enclosed again in boxes) in the same order in which material had been presented in the second round. The only divergent questioning format appeared for questions 88-91, in which respondents were to circle the two expectations in each which they felt most strongly. Only the last two questions in this survey required narrative responses, one regarded practices future administrators should have in their repertoires, and the other regarded

trends in the field of supervision and evaluation.

All ten Round #2 respondents participated again in Round #3.

#### Distinctions between Summative and Formative Approaches

A request which was repeated in Round #2 for each of the original scenarios was "If you felt a 'moderate' or 'extreme' amount of role conflict between formative and summative processes in this scenario, describe how and when that would arise in your interactions with the teacher." When participants responded to that request, they often commented that role conflict arose for them when they had to move to the summative mode. In order to obtain a better definition of the kinds of activities principals were including in that summative approach, Round #3 asked them to identify whether each activity listed fell into the summative or formative mode or whether it was an activity used in both modes. Table V shows their responses.

In addition to these areas, principals described the following as the points at which they enter the summative evaluation relationship with a teacher: (1) "When direct communication over a deficiency is involved"; (2) "when either the performance or the effort of the teacher drops"; (3) "as a matter related to the position of principal... summative process follows a timeline...district policy and teacher contract..."; (4) "during the required evaluation; when the teacher is being disciplined; if the teacher does

TABLE V  
EVALUATION ACTIVITIES BY MODE

<u>Activity</u>	<u>Summative</u>	<u>Formative</u>	<u>Both</u>
Year-end evaluations	6	4	1
Required formal observations	3	5	2
A plan of assistance	7	2	1
Informal, drop-in observations	2	4	4
Informal conferences/discussions with teacher	0	3	7
Provision of inservice opportunities	0	2	8
Peer coaching	0	1	9

not improve"; and (5) "when the assistance moves out of the realm of nurturing or encouraging and enters into a reportive process in which such reports are used for hiring, firing, or tenure granting purposes."

In this round, respondents were also asked whether they viewed the entire summative and formative evaluation process as a formative process, a summative process, two separate processes, or one single process. Seven viewed it as a one process, while three believed it involved two separate processes. This researcher could find no differences in demographics or in levels of role conflict felt between the group which viewed the processes as one and those that viewed them as blended. Only one of the three who saw the processes as separate believed his/her district also kept the two separate.

#### Handling both Summative and Formative Roles in General

Round #3 feedback clarified consensus and rank ordering of the four approaches participants had suggested as ways that a single elementary school principal could successfully address both summative and formative evaluation processes. Responses confirmed that interacting frequently with teachers was considered the most effective, with building trust relationships following next. Although the practices of observing teachers and of emphasizing the formative aspects of evaluation were still among the most important, they were ranked about equally at a somewhat less significant level

than were interacting and trust-building approaches. The only response showing any differences by gender were those addressing trustbuilding: women felt that that process was slightly more important than did men.

### Barriers to Success

In prior rounds there were mixed responses to the prioritization of the perceived barriers to handling both summative and formative roles effectively. Those rankings were clarified in Round #3. Based on numerical values obtained from adding ratings from all participants together, the six barriers seemed to fall into three groups:

- MOST SIGNIFICANT BARRIERS:

Constraints within the teacher  
Constraints of time

- NEXT MOST SIGNIFICANT:

Teachers' negative perceptions of evaluation systems

- NEXT MOST SIGNIFICANT:

Constraints within the administrator  
Deficiencies or conflicts within the district evaluation  
system itself  
Difficulties in communicating

Within those groups, total numerical values were too close to state with certainty which item had a higher rating.

Slight differences between men and women principals appeared in two areas. Women felt the issue of time constraints was slightly more pressing than men. However, men felt that constraints within administrators came into

play slightly more than did women. Time was listed as number one in importance only by principals who had five or fewer years of experience as elementary school principals. Although all of those individuals had also had other administrative experience, their total administrative experience (from five to nine years) was also less than that of other principals. Among those participants with the most amount of total administrative experience, no one ranked time as the most important factor, although one person ranked it in second place. Among this most experienced group, teacher constraints was ranked as of highest importance in the principal's success in addressing both roles. Among the four participants with the most amount of experience as elementary principals, the factors ranked as most important were constraints within the teacher (mentioned by two), constraints within the administrator, and deficiencies within the evaluation system.

#### Factors Influencing Role Conflict

There was particularly strong consensus that trust between a teacher and a principal and relationship factors are major influences in reducing the probability or intensity of role conflict.

Strategies lowering role conflict. When asked to prioritize the following list of four strategies suggested in a prior round as being successful in keeping role conflict at lower levels, respondents overwhelmingly chose "keep

communications open" as the most effective strategy. Through assignment of numerical values by this researcher, rankings were determined for the other three items; they, however, showed much less clear consensus.

1. Keep communications open
2. Provide a step-by-step process for improvement
3. Use a mentor other than yourself
4. Move to summative activities and a plan of assistance when appropriate

Factors determining existence or intensity of conflict.

Respondents also overwhelmingly identified "degree of trust between the principal and teacher" as the factor most important in determining whether role conflict existed or how intense the conflict was. Again, rankings were determined for the other four items from the Round #2 list, but those following "trust" showed much less strong consensus; several changed positions from Round #1 responses.

1. Degree of trust between principal and teacher
2. Organizational climate in the school
3. Number of strengths or deficiencies seen in the teacher
4. Principal's credibility as having "expertise" in effective teaching
5. Principal's credibility as having "expertise" in content areas

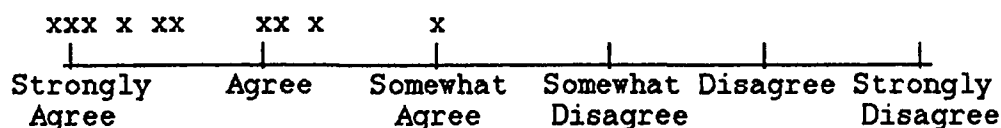
Beyond these five most important items, additional factors

affecting whether the existence or intensity of role conflict had also been suggested both by this researcher and by respondents. Participants rank ordered the full list of additional factors as well, with the following items also completing the list of the top ten most important factors:

6. Degree of effort by the teacher to change
7. Principal's interpersonal competencies
8. Teacher's acceptance of him/herself as part of the problem and part of the solution
9. Principal's perceptions of the evaluation processes in general
10. Principal's perceptions of his/her responsibilities in the two roles (summative and formative)

Disaggregating the responses to this question revealed no differences between the perceptions of male and female principals, of principals with least and most experience, or of principals feeling least and most role conflict.

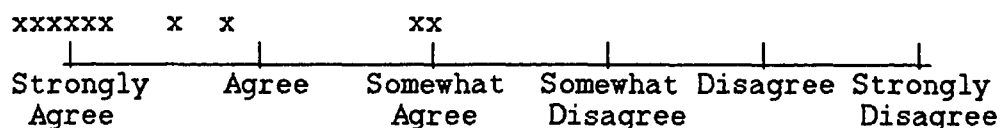
Supporting factor #8 in the above list, respondents also agreed that the response of the teacher was a significant factor. The range of agreement that a defensive, argumentative, inflexible response by the teacher created an increase in role conflict appeared as indicated on the following scale:



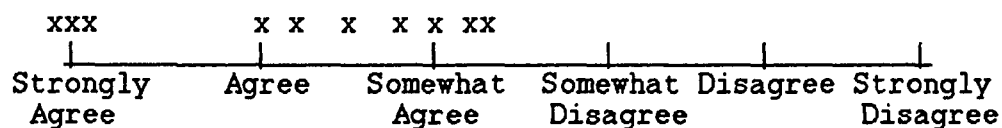
Related to the teacher's response as a factor was the feeling



among principals that role conflict was higher when the teacher could not own the problem. The following scale illustrated the strength of consensus on that belief:



An additional aspect of the #10 factor listed above was the existence of some consensus on the belief that the principal's ability to accept the fact that both roles were part of the job description was a factor in reducing role conflict. All respondents also agreed to some extent that clarification of each role for teachers was important. The range of agreement on the importance of clarifying roles to teachers appeared as indicated on this scale:



#### Other Influences Affecting Levels of Role Conflict

Two other types of questions on the Round #3 questionnaire attempted to define other influences which might have a part in whether role conflict exists for a principal and how intense it is. One set of questions dealt with the role expectations the principal held for himself in each of the evaluation areas (summative and formative) as well as the expectations principals felt others held for them in the two areas. The other type of question was one which asked the degree to which the respondent had been involved in

evaluations which involved dismissals, plans of assistance, and other more directive actions by the administrator.

Role expectations. In the area of role expectations, respondents were asked to circle the two expectations they felt most strongly in these four categories: expectations by others for the performance of summative responsibilities, expectations by self for the summative responsibilities, expectations by others for formative responsibilities, and expectations by self for formative responsibilities. Table VI summarizes the expectations felt most strongly by participants. It includes all responsibilities presented to the Round #3 respondents (see Appendix J) which were circled by three or more principals; the number in parentheses after each item indicates the number of principals who circled it.

The level of role consensus seemed to be quite high among respondents. They seemed to be in most agreement regarding summative issues, perceiving that they themselves as well as others felt knowing and following evaluation protocol was important. They also agreed that identifying good and bad teachers was critical, along with providing recognition for quality and elimination of incompetence.

Ability to recognize strengths and weaknesses in teachers was also important to them and to other in the formative (supervision) area as well. The other areas receiving most consensus seemed to support this ability to diagnose (e.g. communicating, providing help, supporting

TABLE VI

CONSENSUS ON ROLE EXPECTATIONS BY OTHERS AND BY SELF  
FOR SUMMATIVE AND FORMATIVE RESPONSIBILITIES

Expectations Principals Believe Others Have for Them Regarding  
Summative Responsibilities

- Know/follow district/state evaluation system protocol (4)<sup>a</sup>
- Recognize good or bad teachers (4)
- Weed out bad teachers; refuse to accept incompetence (3)
- Be fair and accurate (3)
- Provide opportunities for growth and change (3)

Expectations Principals Have for Themselves  
Regarding Summative Responsibilities

- Know/follow district/state evaluation system protocol (5)
- Recognize quality teaching or incompetence (4)
- Possess skills in human relations (3)

Expectations Principals Believe Others Have for Them Regarding  
Formative Responsibilities

- Diagnose teaching behaviors, inadequacies, strengths (5)
- Visit classrooms (5)
- Provide help for all teachers (strategies, resources) (4)
- Support change with your presence and with resources (3)

Expectations Principals Have for Themselves  
Regarding Formative Responsibilities

- Maintain a broad enough view of professional growth so that both individual and school needs are met (4)
- Communicate accurately and honestly (3)
- Recognize strengths and inadequacies (3)
- Encourage teacher leadership and expertise so that others can be part of formative process and be resources for their peers (3)

<sup>a</sup> Number of times an item was suggested by respondents.

change, and encouraging leadership).

The items which appeared in all categories of expectations included the expectations that a principal be able to diagnose strengths and weaknesses in teachers and to take action based on those findings. The fact that the level of role consensus was high among principals may indicate that whatever role conflict is present for some principals is not due to lack of agreement on what they should be doing. Role clarity is high.

Degree of Involvement in Direct Approaches. The other question, designed to define the influences which might affect the existence or intensity of role conflict, asked the participants to record the number of times they had been involved in more direct approaches with a teacher. Table VII shows the specific activities to which participants responded as well as a breakdown of responses by gender. Significantly more women than men principals have been involved in each of these more direct activities.

Comparison of this data with background demographics revealed that no principal with under 5 years of experience had been involved in the dismissal of a teacher. Among principals with the greatest years of experience (12 to 16) either as administrators in general or as elementary principals, all but one principal had been involved in a dismissal, with each of the others being involved with from 1 to 3 dismissals.

TABLE VII  
DEGREE OF INVOLVEMENT IN DIRECT APPROACHES

<u>Approach</u>	<u>Number of Teachers with Whom Direct Approaches Were Used</u>		
	<u>by Female Principals</u>	<u>by Male Principals</u>	<u>by All Principals</u>
You were actively involved as the administrator in the dismissal of a teacher.	8	1	9
You have put a teacher on a plan of assistance.	17	9	26
You have suggested to a teacher that a plan of assistance was the next step.	14	4	18
You have considered the possible need for putting the teacher on a plan of assistance but have not actually shared that information with the teacher.	12	6	18
You have become very direct with and have increased pressure upon a teacher in order to move him/her toward change.	30	20	50

In terms of involvement with plans of assistance, two of the four principals with the least experience had put one or two teachers on formal plans. Among those respondents with greatest experience, principals had put 1 to 10 people on plans. No other demographic factor seemed to make a difference in involvement with direct approaches.

The degree of involvement in these more direct approaches seemed to have little relationship to the degree of role conflict felt by respondents, to years of experience, or to gender. Table VIII summarizes the elements involved in these comparisons. In that table, the "most role conflict" respondent had expressed extreme or moderate role conflict on at least four of the five scenarios; the "least role conflict" principals had each expressed very little or no role conflict in all five scenarios.

No principal with fewer than five years of experience had been through a dismissal of a teacher; only two had placed someone on a plan of assistance. However, it was that set of principals who reported the greatest degree of role conflict in the scenarios of Rounds #1 and #2. Although the principals with the greatest amount of experience had also been through dismissal proceedings with a teacher, they were among principals feeling the lowest role conflict.

#### Priority Practices

One of the last questions on Round #3 was designed to begin to synthesize the thinking of the principals in the

TABLE VIII

DEGREE OF INVOLVEMENT IN MORE DIRECT APPROACHES COMPARED WITH  
LEVEL OF ROLE CONFLICT, GENDER, AND YEARS OF EXPERIENCE

Level of Conflict	M/F	Experience as		Involvements <sup>a</sup>					
		Admin	Prin	1	2	3	4	5	
<hr/>									
MOST									
Principal A	F	8	1	0	2	2	1	5	
LEAST									
Principal B	M	9	2	0	0	0	1	2	
Principal C	F	13	8	1	1	2	N/A	1	
Principal D	F	16	16	0	1	1	0	3	
Principal E	M	12	12	1	10	0	0	2	
Principal F	F	15	15	3	5	1	4	10	

<sup>a</sup> Involvements:

- 1 - Dismissal of a teacher
- 2 - Placement of a teacher on a plan of assistance
- 3 - Verbal suggestion of use of a plan of assistance
- 4 - Consideration of use of a plan of assistance
- 5 - Use of increased pressure

study. Given knowledge of their own positions on the issues as well as those of their colleagues, respondents were asked to suggest the practices they believed should be the priority ones which should be incorporated in the future into the repertoires of administrators in order to preclude or reduce role conflict between summative and formative roles.

The suggestions of the respondents were made within narrative responses. When extracted from those responses and listed, they seemed to fall into six categories: communication skills, supervisory leadership, instructional leadership, trust building, objectivity, and evaluative leadership. Table IX shows the actual items suggested, from which the category titles were derived. The parentheical numeral after each major heading indicates the total number of times an item could be put into that category. The numeral after the parentheses indicates the number of different respondents who mentioned an item in the category; this numeral helps to indicate how strong the category was among participants.

The strength of the communication category as well as the progression of succeeding categories from more formative ("Supervisory Leadership") to more summative ("Evaluative Leadership") emphases seems to confirm participants' responses in prior rounds, where they had stressed interacting with teachers, building trust, emphasizing the formative and observing everyday situations as strategies which enabled principals to deal effectively with both



TABLE IX

PRIORITY PRACTICES RECOMMENDED FOR THE REPERTOIRES  
OF ELEMENTARY PRINCIPALS

COMMUNICATIONS (9)<sup>a</sup> 5<sup>b</sup>

- Possess and use good oral & written communication skills; be open
- Have many informal interactions with staff
- Possess and use empathy and strong people skills
- Show concern for staff, in and out of classroom
- Be visible to staff, parents, students
- Provide feedback frequently, positively and in a variety of ways
- Provide a menu of observation/data collection techniques

SUPERVISORY LEADERSHIP (7) 4

- Possess skills for working with staff through peer coaching
- Promote peer coaching
- Spend time talking about and researching the best practices ourselves; be critiqued on what we do
- Be the "first line of supervision" for the staff
- Possess skills in working with summative and formative roles
- Have knowledge of teaching strengths and weaknesses

INSTRUCTIONAL LEADERSHIP (5) 4

- Be the instructional leader of the building (be knowledgeable in curriculum/instruction)
- Model good instructional practices
- Lead by example
- Learn and practice with teachers
- Know new or innovative strategies and techniques as alternatives

TRUST BUILDING (5) 4

- Take time to develop trust
- Build a trust relationship
- Be part of the staff
- Recognize teacher leadership, creating an educational team... reducing the hierarchy...[and the] role conflict

OBJECTIVITY (4) 3

- Know your own position
- Have the ability to stay objective
- Provide appropriate ground work to prevent role conflict
- Make the evaluation (summative) system more objective

EVALUATIVE LEADERSHIP (3) 3

- Possess skills in working with summative and formative roles
- Have knowledge of district/state evaluation procedures
- Maintain or increase the required number of formal observations, to maintain the level of priority of the [evaluation] task

<sup>a</sup> Total number of items entered into this category.

<sup>b</sup> Number of different respondents mentioning an item in this category.

summative and formative roles.

#### Trends Predicted for the Field of Supervision and Evaluation

Respondents were asked what trends they predicted for the future in the field of supervision and evaluation. Again in this section, their responses were written narratively and organized by this researcher into the categories in Table X. As in the prior table, the parenthetical numeral after each major heading indicates the total number of times an item could be put into that section. The numeral after the parentheses indicates the number of different respondents who mentioned an item in the section; this numeral helps to indicate how strong the area was among participants. In this case even singleton responses were recorded so that they could be included in the lists presented to respondents in Round #4 for their prioritizations.

Most participants predicted a trend that at least one other principal also projected. One category of trends, however, seemed to be addressed much more frequently than others: the increased use of peers in supervision and evaluation. Other relatively strong categories of trends were the establishment of tighter accountability systems, greater pressure to eliminate incompetence and, dichotomously, a reduction in the summative evaluation role.

TABLE X

## TRENDS PREDICTED FOR THE FIELD OF SUPERVISION AND EVALUATION

GREATER USE OF PEERS (7)<sup>a</sup> 5<sup>b</sup>

- More peer coaching
- More peer evaluation
- Growth of state mentor program
- Implementation of peer evaluation to "help reject or support the administrative assessment"...making it "more meaningful and useful"
- A differentiated model of supervision so we can look at levels of expertise, need, training and experience as factors that help us determine levels and types of supervision
- Teaching/working in groups on performance goals directed toward curriculum integration and cooperative learning

## TIGHTER ACCOUNTABILITY SYSTEMS (4) 3

- Teachers setting measurable goals and being held accountable for them
- A much more specific accountability system
- Unfortunately...teacher evaluation based on student achievement outcomes

## MORE PRESSURE TO ELIMINATE INCOMPETENCE (3) 3

- Increased parental/business pressure to eliminate weak/incompetent staff
- A much more specific accountability system
- Unfortunately...teacher evaluation based on student achievement data

## REDUCTION IN SUMMATIVE ROLE (3) 3

- Summative evaluation every other year for teachers who exceed standards
- More time being the "coach"
- A much closer working relationship between principal and teacher

## STRONGER PRINCIPAL/TEACHER RELATIONSHIPS (2) 2

- More time being the "coach"
- A much closer working relationship between principal and teacher

## BROADENING OF CONTENT AND METHODS (2) 2

- Teachers setting measurable goals and being held accountable for them
- Greater use of technology for data collection

## INCREASE IN SUMMATIVE/FORMATIVE ROLE CONFLICT(1)1

- Increase in conflict between the two roles...due to increasing challenge in maintaining morale of staff and in meeting needs of students

## LESS ADMINISTRATIVE SUPPORT (1) 1

- A widening gap between theory and practice (e.g. ideas..."differentiated staffing, staff development specialists, assistant administrators will be spoken to, but financial constraints will not allow..."

<sup>a</sup> Total number of items entered into this category.

<sup>b</sup> Number of different respondents mentioning an item in this category.

Summary of Round #3 Data

Round #3 not only clarified or validated information gathered in earlier rounds, but it also asked for projections about practices needing to be used in the future by administrators and trends in supervision and evaluation.

In order to more clearly define evaluation activities, participants identified each activity listed as summative, formative or both. There were no activities which participants define as purely summative or formative. Although three of the listed activities were viewed as never being used in a summative way, all other activities were used in summative ways by some participants, in formative ways by some, and in both areas by others.

For most respondents, the summative and formative approaches were as being within one process, with role conflict usually occurring when principals perceived they were moving from a formative perspective to a summative mode. According to the results described in the preceding paragraph, however, the dividing line between the two modes was at a somewhat different point for each participant.

Clarification was obtained for the relative importance of the approaches to handling both roles effectively. Interacting with teachers frequently and building trust relationships led the list, which also included observing and emphasizing the formative. The only differences in demographics around this issues was that women seemed to feel

that trust building was slightly more important than did men.

The prioritization of perceived barriers to effectively performing both roles was also clarified. The two most significant barriers seemed to be constraints within the teacher (e.g. emotional needs, misinterpretation of feedback, lack of knowledge of instructional strategy "language", lack of experience with clinical supervision) and time. There were some differences in perception of the barriers between males and females and between principals of greater and lesser experience. Women felt the constraint of time slightly more than men, as did principals with less than five years of experience. The four principals with the greatest experience did not agree on any one item as the greatest barrier, but listed constraints within the teacher, constraints within the administrator (e.g. limited supervision skills, lack of self knowledge, difficulty in being direct), and deficiencies of the evaluation system among their number one barriers.

Among factors influencing role conflict, trust and relationship factors were most mentioned. By far the strongest strategy for lowering role conflict was seen to be keeping communications open. Among the 10 factors believed to determine the existence or the intensity of role conflict, the degree of trust between a principal and the teacher was clearly the most important to principals. That factor of trust was followed in the top five by the organizational

climate in the school, the number of strengths or deficiencies seen in the teacher, the principal's credibility as having "expertise" in effective teaching, and the principal's credibility as having "expertise" in content areas.

Role expectations were also explored in the following four categories: expectations by others of summative and of formative responsibilities, and expectations by the principals for him/herself for summative and for formative responsibilities. Principals perceived that in the area of the summative role others expected them both to know and follow mandated evaluation system protocol and to recognize good and bad teachers, weeding out the incompetent. Principals perceived the same two areas as expectations for themselves. In the area of the formative roles, principals perceived that others expected them to diagnose teaching behaviors, visit classrooms, and provide help for teachers to improve. As an expectation for themselves in this area, they believed that maintaining a professional growth philosophy that allowed for both individual and school improvement was most important.

Comparing all of the principals' perceptions regarding summative responsibilities with the perceptions regarding formative responsibilities showed two expectations appearing across three of the four categories: (1) the expectation to provide growth and change opportunities, and (2) the

expectation to use good human relation skills, including communication skills and the qualities of honesty and fairness.

To determine how many principals had been involved in more direct summative activities, participants were asked to indicate the number of occasions on which they were involved in a dismissal of a teacher, in plans of assistance, or in other directive for change. Significantly more women than men had use the more directive approaches. The degree of involvement with more direct approaches did not, however, seem to be related to the amount of role conflict felt or to years of experience.

The practices principals felt were most critical for an administrator to include in the execution of the dual evaluation roles fell into these broad categories of skills: communication, supervisory leadership, instructional leadership, trust building, objectivity, and evaluative leadership. This list reflects the relative order of importance of each as well, according to Round #3 rank ordering. The fact that the first four focus more on the formative aspects of evaluation confirms participants' responses from earlier rounds, which indicated that interacting with teachers, building trust, emphasizing the formative and observing were important to handling both roles well.

The trends predicted for the field of supervision and

evaluation included the greater use of peers, tighter accountability systems, more pressure to eliminate incompetence, a reduction in the summative role, stronger principal/teacher relationships, a broadening of content and methods for supervision and evaluation, an increase in the role conflict involved, and less administrative support. By far the strongest trend, mentioned by 7 of the 10 respondents, was the increased use of peers in both the summative and formative areas of evaluation.

#### ROUND #4

The sole purpose of Round #4 was to obtain rank order preferences for the priority practices and the trends suggested by respondents in Round #3.

##### Priority Practices

In Round #3, participants were asked to describe narratively the practices they felt were priority ones for administrators to incorporate into their repertoires in the future in order to preclude or reduce role conflict between summative and formative roles. The categories below were derived by this research grouping related practices which were suggested before reflecting them back to respondents in Round #4. The practices are shown here in the approximate order in which respondents ranked them in this round.



- MOST SIGNIFICANT PRACTICE:  
Possess and use communication skills
- NEXT MOST SIGNIFICANT PRACTICES:  
Build trust relationships  
Be an instructional leader  
Possess and use supervisory (formative evaluation) skills
- NEXT MOST SIGNIFICANT PRACTICES:  
Be objective  
Possess and use summative evaluation skills

The only difference in demographic groupings was between men and women. Although both male and female principals ranked communications as the most important area, men showed stronger consensus than women. While every male respondent ranked it as the #1 priority, two women ranked it first, one second, and two third. Men placed instructional leadership in second place, followed closely by supervisory skills and then trust-building. On the other hand, women placed trust building in second place, followed by supervisory skills.

Degree of role conflict indicated in the scenarios of prior rounds did not make a difference to respondents' selection of practices, except on the practice of having good supervisory skills. The two principals feeling the most role conflict ranked supervisory leadership as first and second in importance, while those who felt little or no role conflict ranked it between third and fifth places.

Trends Predicted for the Field of Supervision and Evaluation

Consensus was strong that a greater use of peers in both summative and formative evaluation would occur; only one respondent failed to rank it in the top three trends, and only two failed to place it in the top two. No differences were shown between principals feeling high or low role conflict in the prior scenarios. Although male and female principals agreed on this first trend, they differed in strengths of their second, third, and fourth choices. Men ranked the next most likely trends as an increase in pressures to eliminate incompetent teachers, a tightening of accountability systems, and a strengthening of principal/teacher relationships. Women ranked the next most likely trends as a tightening of accountability systems and a reduction in the summative role, followed by equally weighted areas of an increase pressures to eliminate incompetent teachers and a reduction of administrative support financially which would reduce the likelihood of more attention being allotted to evaluation or supervision responsibilities.

Women saw more of an increase in role conflict occurring than did men, although the category was ranked by the entire group as least likely to materialize. On the other hand, men saw more of a trend toward strengthened principal/teacher relationships than did women.

The only other demographic category revealing

differences in any response category was that of years of experience. As the experience level of principals increased, there was a decrease in the feeling that the trend toward tighter accountability systems would materialize.

A final questions in this round asked participants if, after they had prioritized the trends suggested, they believed that one or more trend would actually never materialize. Although only two principals (one who did not rank the item at all and one who ranked it last) ranked "greater use of peers" between the first and third place in priority, three respondents reported it as a trend which would not actually take place. Two attributed that to lack of acceptance of the practice by teacher unions.

#### Summary of Round #4 Data

The final round of this study provided a consensus building activity around two issues dealing with the future of supervision and evaluation. Such an activity is consistent with the projective aspect of questioning which is a key feature in Delphi studies.

The first of these two issues concerned identification of the most important practices which administrators should have in their repertoire in order to be successful in addressing both summative and formative evaluation roles. The results of Round #4 showed strong consensus among the principals that communications skills are of the greatest importance to the administrator. Those skills, in turn,

facilitate the trust building, supervisory practices, and instructional leadership also thought by the principals in this study to be key areas of expertise to possess to accomplish both sets of responsibilities.

Strong consensus was also indicated in the prioritization of trends for the field of supervision and evaluation. Almost three-fourths of the principals identified (ranking it first or second) the greater use of peers as the most likely trend. The two other trends appearing as most probable were the tightening of accountability systems and an increase in pressures to eliminate incompetent personnel from the system.

#### SUMMARY OF FINDINGS

The four-round process of this Delphi study allowed data collected in earlier rounds to be clarified at later points as well as to be used to point out inconsistencies with data in another section. In addition to the summaries in this chapter at the end of each round, this concluding section of Chapter IV will summarize generalities about the demographics of the study, linkages among the four rounds of the process, and overall findings.

##### Generalities about the Demographics

The participants in this study were very alike in age, ethnicity, and highest degrees earned. The areas of greatest differences among them were in years of experience as adminis-

trators in general, years of experience as elementary principals, and number of hours of inservice in the areas of formative and summative evaluation. Although principals in the study came from a variety of sizes of districts, there seemed to be no consistent differences in the responses of participants from larger or smaller districts.

Data about the principals' perceptions of the formative and summative evaluation systems in their districts revealed some lack of clarity within district programs about general definitions of the two major areas and the expected emphases upon each. In spite of that lack of clarity, there was a high level of role consensus expressed among the principals, as indicated by the degree of agreement on role expectations that they held for themselves and that they perceived were held by others.

#### The Existence of Role Conflict

For most respondents, the level of role conflict reported in Round #1 and #2 scenarios was relatively low. Although three principals reported an extreme level of conflict in one or more scenarios, five reported little or none.

Age, school size, years of experience as an administrator in general (for the group as a whole), and hours of inservice training seemed to make no difference in the level of role conflict felt in the scenarios. However, there were differences in gender, district size, years of experience as a principal, and whether one had administrative

experience in a position other than the principalship. Only women reported the extreme level of role conflict in any scenario; those women also worked in middle to large sized districts. Those with less experience as a principal also experienced higher levels of role conflict.

Whether a woman had had other administrative experience may have had some relationship to the levels of conflict as well. Of the five women who had had other administrative experience, four reported extreme (3 respondents) or moderate (1 respondent) role conflict on at least two scenarios; the only man with other administrative experience reported very little conflict. Overall, four of the six principals with other experience reported moderate or extreme conflict. On the other hand, principals who had no other administrative experience reported the least role conflict. All four of those were women.

In cases where any degree of role conflict arose, principals most frequently reported that it occurred at the point when they needed to move from the formative to the summative mode. However, the dividing line between those two areas was not at the same point for everyone; principals seemed to categorize the same evaluation activities as falling into different modes (summative, formative, or both), possibly depending on personal approaches and philosophies. No evaluation activity was identified as purely formative or summative. Further, the degree of role conflict felt in the

scenarios had no bearing on whether people identified the given evaluation activities as formative, summative, or both. Role expectations as perceived by the principals seemed clear as well, removing role ambiguity as a reason for the existence of role conflict.

#### Factors Affecting the Level of Role Conflict

Respondents identified ten factors which they felt determined the existence or the intensity of role conflict. Receiving an overwhelmingly strong consensus, the degree of trust between a principal and teacher was ranked as the number one factor. That was followed in the top five by the organizational climate of the school, the number of strengths or deficiencies seen in the teacher, and the credibility of the principal both as having expertise in effective teaching and in content areas.

There was strong consensus on several strategies which were effective in dealing with both summative and formative roles as a single administrator. Those included interacting frequently with teachers, building trust relationships, and emphasizing the formative. Specific practices thought to be important in a principal's repertoire of skills fell within these broad categories: communication, supervisory leadership, instructional leadership, trust building, objectivity, and evaluative leadership.

The preceding lists of strategies, the categories of practices, and the ways to keep role conflict low were

elicited from respondents at different points in several of the rounds of the study. The consistency between the three lists is strong, however, validating the importance principals attributed to the items appearing at the top of each list.

For example, when the strategies for addressing both summative and formative responsibilities were first requested in Round #1, there was little consensus on which were the most important. At that point, building trust was among the last of those suggested in the top four. However, by the end of Round #3, it was identified as one of the two most important approaches. That higher position was, in fact, more consistent with the practices being advocated by participants within their narrative responses to scenarios as well as with questions regarding suggestions for practices which would reduce or preclude the existence of role conflict.

#### Trends Predicted for the Field of Supervision and Evaluation

The strongest trend predicted was that of the use of peers in both summative and formative evaluation processes. Others strong included tighter accountability systems, more pressure to eliminate incompetence, and a strengthening of principal/teacher relationships.



## CHAPTER V

### DISCUSSION, CONCLUSIONS, AND RECOMMENDATIONS

#### INTRODUCTION

The objective of this research was to examine how an elementary school principal can resolve the inherent role conflict between two different sets of responsibilities: the summative evaluation (assessment), or judging of a teacher's performance; and the formative evaluation (supervision), or coaching of a teacher's growth. Sergiovanni captured the essence of the dilemma in his question, "How can I make evaluative judgments on teachers' performance without destroying the trust and collegial relationship by which I exercise my human resources style of supervision?" (Sergiovanni and Starratt, 1988, p. 381). In addition to some surprising feedback about perceptions of role conflict, this study provided numerous insights into the thinking of practicing principals as well as many practical suggestions for addressing both roles effectively.

This chapter will include a discussion of the results of the study, including the ways in which the results confirmed or differed from research by other researchers. A presentation of the final conclusions drawn from the research will follow that discussion. The limitations of the study will be

addressed in order to define the ways in which the results might be used. The study's for principals, districts, and training institutions will be discussed. Recommendations will then be made for several publics. Lastly, a number of questions will also be suggested for future research efforts.

### REVIEW OF RESEARCH QUESTIONS

Two sets of research questions guided this study. In Chapter I, six broad questions were asked related to evaluation and supervision processes, the principal's roles, and role conflict in general. In Chapter II, four more specific, secondary research questions were suggested related to resolving the role conflict for the elementary principal. This research has addressed all questions.

#### Broad Research Questions

The broad research questions in Chapter I asked (1) how perceptions of evaluation affect expectations for or conflicts in roles for the principal; (2) how the principal spends time in summative and formative activities; (3) what the elements contributing to role congruence are; (4) how purposes of district evaluation systems affect role conflict; (5) how the principal differentiates and/or integrates roles; and (6) how evaluation systems can be improved to address both accountability and growth for teachers.

Evaluation literature points out that some theorists feel that teacher perceptions of evaluation and of the

associated role expectations are often not the same as those of supervisors (Question 1), nor are they as positive (Blumberg, 1980; Eisner, in Sergiovanni, 1982; Stewart, 1987; Halstead, 1988). Other researchers found teachers viewing supervisors as helpful and supportive (Hobson, 1989; Lunsford, 1988). In those cases where perceptions differed, the level of role conflict may be higher because of incongruous expectations. Clarifying those expectations, then, should be a major concern of districts in order for administrators to communicate their roles clearly and positively to teachers.

Through narrative responses to the scenarios in Rounds #1 and #2, this study generated discussion of a wide variety of activities in which an elementary principal engages in both summative (assessment) and formative (supervision) evaluation, helping to define how the principal spends time in each area of evaluation (Question 2). Many practices were, in fact, used in both summative and formative arenas, with the relationship between a principal and teacher and the specific circumstances determining whether a particular practice was considered summative (for assessment) or formative (for growth) in nature, or was being used for both purposes. Table IX reflects those practices which principals felt were most important in successfully addressing both summative and formative responsibilities.

Principals also contributed and prioritized factors which they felt reduced or precluded role conflict for them

(Question 3). Heading the list by a wide margin was the principal's ability to keep channels of communications open. Other factors included providing step-by-step processes for improvement, utilizing mentors, and moving to summative activities when situations warrant more direct approaches.

Comparisons of answers in the demographics section of the survey combined with narrative responses of participants pointed out inconsistencies in perceptions of district evaluation and supervision expectations and personal administrative practices. Participants did not always feel the purpose of the district system was consistent with the procedures being advocated by the district to accomplish evaluation (Question 4). Although all principals acknowledged the duality of their evaluation roles (Question 5), they most frequently blended the responsibilities in creative ways which left them experiencing lower levels of role conflict. The priority practices listed in Table IX should provide a guide for districts wishing to clarify their summative and formative evaluation definitions and to provide meaningful direction in the formal system (Question 6). The suggestions made by principals regarding the more specific research questions below add to this body of ideas for making evaluation systems more effective.

#### Specific Secondary Questions

The more specific secondary research questions in Chapter II asked (1) what the factors creating role conflict

in general are; (2) what factors specific to the educational setting create role conflict for the principal between summative (assessment) and formative (supervision) evaluation roles; (3) what skills possessed by the principal would improve the performance of both roles and lower role conflict; and (4) what skills or other factors contribute to reducing role conflict for principals.

The body of literature in role theory, role conflict, and role conflict resolution provided insights into the factors which create or ameliorate role conflict (Secondary Question 1). Such conflict can arise whenever incompatible sets of behavioral expectations exist (Zurcher, in Claessen and Brice, 1989); when different publics perceive expectations differently for the same role; when the role incumbent sees the role differently than do others (Toby, 1952); or when role incumbents feel conflict due to personality disorders or other sources of conflict with themselves (Getzels and Guba, 1957).

This study showed that several factors specific to the educational setting may create role conflict for an elementary principal as he/she attempts to perform both summative and formative roles (Secondary Question 2). Respondents identified 24 barriers to accomplishing both roles effectively and may raise issues of role conflict for the principal. Those barriers fell into these six categories: constraints within the teacher, time, constraints within the

administrator, negative teacher perceptions of evaluation, deficiencies in evaluation systems, and difficulties in communication between the principal and teacher.

Principals in this study suggested and prioritized practices they felt were priority ones for administrators to use in order to deal effectively with both summative and formative roles and to lower role conflict (Secondary Questions 3 and 4). The area which was ranked first was the possession and use of strong communication skills. Other skills ranked highly were the ability to build trust relationships, to be an instructional leader, and to possess and use effective supervisory skills. Specific strategies suggested were interacting frequently with teachers, building trust, emphasizing the formative, and observing both formally and informally.

Answers to these sets of questions will be addressed further in the Discussion of Results, Conclusions, and Implications sections which follow.

## DISCUSSION OF RESULTS

This researcher foreshadowed that this study would provide a studied consensus about what already works for practicing principals and about what additional practices would enhance the resolution of this role conflict. It has done both. Not only was the Delphi process successful in establishing consensus among the participants, but their

opinions have provided (1) a number of general strategies helpful in approaching formative and summative evaluation, (2) specific practices judged by the participants to be most effective in addressing both sets of responsibilities, (3) several methods of reducing role conflict which may exist, and (4) a list of factors which affect the intensity of role conflict. Each of those sets of information will be of assistance to principals in analyzing their own thinking and practices and in modifying their supervision and evaluation approaches.

#### Role Conflict and Role Clarity

Levels of role conflict. There was one major surprise in the results. One of the assumptions of this researcher, as the study began, was that role conflict did exist for principals because of the fact that they needed to handle responsibilities in two different roles. As seen in the literature, many contemporary theorists believe role conflict is inherent between the summative and formative responsibilities (Acheson, 1989; Blumberg, 1980; Stiggins, 1986; Weber, 1987; Wise and Darling-Hammond, 1984). First-round results, however, showed that a strong majority of the principals *felt very little or no* role conflict at all in the scenarios presented.

That finding raised several questions, some to which Blumberg (1980) also referred: Where was the role conflict for principals between the nurturer and the evaluator? Was

it within role definitions, within him/herself, or within role expectations coming from others in the role set? Certainly others in the principal's environment have differing emphases with which s/he must deal: some personnel or human relations divisions stress summative evaluation for accountability, while staff services departments focus on growth; the public pushes for accountability and elimination of incompetence, while the staff wishes to be able to take the risks necessary to develop professionally.

Another question the results raised was whether the researcher had contaminated the selection process in a way in which only principals who handled both roles well had been nominated to participate or in which only those principals feeling low role conflict would respond. A reexamination of the letter to superintendents and the initial correspondence with potential participants revealed only one factor which might have led to such contamination. In the superintendent's letter, the purpose of the study was stated to involve coming to "consensus on how they resolve conflict in practical terms." This may have prompted superintendents to select "resolvers" over those who struggled more evidently with the issue.

A third question raised was whether the term "conflict" implied something negative within the principals or a lack of success which they did not wish to acknowledge. Use of a term other than "role conflict" was considered for subsequent



rounds. However, because this researcher did not want to move away from the conflict issue but chose rather to probe it, use of the term "conflict" was maintained throughout the study.

Role expectations and clarity. To obtain answers to those issues, the questions in succeeding rounds of this study explored the role perceptions of participants in a number of ways. One area receiving attention was that of expectations. As Biddle and Thomas (1966) indicated, "To understand the degree of conflict or ambiguity in the role, the total pattern of such expectations...must be considered" (p. 278). Results of this study indicated that there was a high level of consensus about the expectations for summative and for formative arenas, both those expectations which were held by principals themselves and those they perceived were held for them by others.

A study by Chonko and his associates (1986) suggested that role ambiguity may have been a more important influence on the relationship between supervisor and supervisee than was role conflict. The participants' responses to questions about role expectations in this current study indicated that most principals did not have ambiguous feelings about their role definitions, nor did they feel behavioral expectations were incompatible with one another. There seemed to be little role ambiguity, possibly because many participants viewed the expected behaviors as ranges rather than static

---

points, much as Stouffer (1949) did, making a number of behaviors appropriate for each role. Many principals spoke of their concept of the relationship between summative and formative evaluation as a continuum, including both summative and formative activities which had varying levels of directness and mixtures of judging and nurturing. That conceptualization may have been a factor in their apparent ability to integrate the two roles without creating feelings of conflict for themselves, in spite of the fact that, by definition, the responsibilities of the two roles are not entirely compatible.

This may also be consistent with the finding that all but one of the principals who experienced the greatest role conflict in the scenarios had less than the average number of years of experience of the group as a whole. Perhaps where role clarity or the range of appropriate behaviors have not yet been fully communicated, as in the case of a new principal, the perception of role conflict may be higher.

Many principals spoke of the two roles in ways which indicated they viewed them as complementary. That perspective may support the reason that so little role conflict was perceived. It may have to do with the "complementariness" of the two roles, i.e., that the interdependent nature of the two sets of responsibilities "may fuse the two roles into a coherent, interactive unit and make it possible for us to conceive of an institution [*the principalship*] as having a

characteristic structure" (Getzels and Guba, 1957, p. 427). In such a case, the principal may, in fact, operate as though the two roles were simply parts of a whole (the principalship) which assumes a nature different from either of the component parts and which therefore presents little or no role conflict.

District role definitions. Through questioning respondents about their expectations for the two roles, discrepancies surfaced between the expectations they perceived their districts had for summative and formative roles and the personal practices of the principals. Although role consensus was high as indicated by the degree of agreement on specific role expectations, some lack of clarity existed in the general district emphases on formative or summative responsibilities.

Round #1 revealed inconsistencies for many respondents between actual practices reported in narrative responses and answers given on non-narrative questions which asked whether principals held formative or summative evaluation foremost in their own minds as they approached evaluation tasks. In narrative responses, more principals seemed to emphasize the formative attitudes than indicated doing so in their non-narrative responses in the demographics sections. In addition, although half of the principals felt their districts expected them to emphasize summative aspects, only two did so in practice. Those inconsistencies combined, on the other

hand, with the high level of consensus among principals on their role expectations seemed to indicate that, while principals seemed to define their roles clearly for themselves and to approach them from a "formative-foremost" mindset, there was a lack of clarity in the institutional definitions of summative and formative roles within the district program.

#### Women and Role Conflict

Another surprising finding in this research project was that all of the principals who did feel extreme or moderate role conflict in their responses to the scenarios were women. Further, the two individuals who dropped out of the study during Round #2 were also female, and were women who had expressed the highest degrees of role conflict. Among the five women remaining in the study, two reported higher levels of role conflict than did any of the other participants.

Perhaps cultural influences played a part in the levels of role conflict in these women. Although studies have indicated women may be stronger in supervisory roles (Andrews and Basom, 1990; Gross and Trask, 1976), women may have had less experience with more evaluative responsibilities or perceive fewer expectations in other life roles which require those judgmental behaviors. Their nurturing natures, conditioned by broad cultural influences, may color their overriding approach to staff members, causing feelings of discomfort or conflict to arise within them when they must

perform a role which may be perceived to be more evaluative than nurturing.

Another cultural factor may be the differences in woman-to-woman and man-to-women interactions in administrator/teacher professional relationships. The majority of elementary school teachers are women. The ways in which women administrators interact with them are likely to be somewhat different than the ways in which men administrators would. For women administrators, those female-to-female relationships may present culturally embedded difficulties to overcome, which play out in feelings of role conflict for the administrator.

The two women principals with the highest levels of role conflict also had two other factors in common: they each had less than five years of experience as principals and they each had had other educational administrative experience before becoming principals. Being in the principalship provides experience in managing two roles which often do not appear in other administrative circumstances. For example, a vice-principal may handle summative (assessment) evaluation responsibilities but typically does not also handle staff development, and a staff development specialist will address growth needs without having to provide summative judgments about teacher behaviors. The question is therefore raised as to whether experience in other administrative roles which do not include both summative and formative responsibilities can

be a detriment to the newer principal's ability to address both sets of responsibilities successfully without feeling role conflict.

#### Barriers to Performing Both Roles Effectively

Principals listed 24 barriers, which fell into 6 categories: Constraints within the teacher, constraints within the administrator, time, negative teacher perceptions of evaluation systems, deficiencies in the evaluations system itself, and difficulties in communication between principal and teacher. Constraints within the teacher was rated as the number one barrier, with time listed as the second. Findings regarding time are consistent with those of Stiggins and Bridgeford (1985), who found time and the "adversarial context of evaluation" to be the greatest barriers (p.91).

Four of the six categories seemed to be perceived as having an external locus of control while only two of the six seemed to be perceived as having an internal locus: constraints within the administrator and difficulties in communication. Only one principal steadfastly maintained that time was a element within his control and therefore not a barrier at all.

The element most often mentioned within the "constraints within the teacher" category was the type of response of the teacher. Many principals indicated that the existence or intensity of role conflict depended upon whether the teacher was open to suggestions or presented an argumentative,

defensive front when approached on issues of improvement. Glickman (1981) acknowledges this "inadequate response to directive supervision" (p. 53) and discusses approaches for the principal to use.

### Trends Predicted for the Field of Supervision and Evaluation

As indicated in Chapter II, the development of the field has emphasized in the past three trends, according to the literature: (1) an increasing acknowledgement that summative and formative evaluation are related, (2) an increased emphasis on collaboration, and (3) a broadening of the evaluation strategies used in both summative and formative areas. These three were closely related to the feelings of principals in this study as well as to the trends they projected for the future.

The strongest trend predicted in this study was the increased use of peers in the evaluations processes, followed by a tightening of accountability systems, more pressure to remove incompetent personnel, and a strengthening of principal/teacher relationships. Although these are different from some trends enumerated in the literature, they are consistent with the ideas of a number of other educators. Supervision is seen by some (Harris, in Glickman, 1981; Little, 1981) as playing a part in both formative and summative evaluation. Others (Garawski, 1980; Glatthorn, in Conley, 1989; McGreal, 1988) emphasize that administrator/teacher collaboration will increase. Others (Eisner, in

Sergiovanni, 1982; Sergiovanni and Starratt, 1988) advocate inclusion of many different strategies in the principal's repertoire of supervisory skills.

#### Use of the Delphi Technique

The Delphi technique proved to be effective in generating consensus among respondents. Its effectiveness was particularly notable in sections of the questioning where many opinions had been offered, e.g., barriers suggested, and expectations perceived. Through prioritization requests made across two or three rounds, participants' responses were seen not only to be in agreement among principals but to move toward greater consistency with sets of responses from other parts of the questionnaires. A good example of this latter movement was the change in ranking of the trust building element, discussed on pages 208 and 209.

Responses of participants not only shaped prioritization activities, but they also prompted inclusion of new questions. For example, one respondent commented that his participation this year in a more summative mode with a teacher resisting change made him think differently about the processes being examined in the study. That self-disclosure prompted this researcher to wonder about and create a question to probe the effects on a principal's participation with dismissal of a teacher (or other more direct summative activity) on his/her perceptions about role conflict.

A hypothesis exists in the literature (Cyphert and Gant,



1971) which says that the Delphi technique can be used to mold opinion as well as collect data. That may have been supported in this study, based on the responses of the third-party reader. She repeatedly commented throughout the rounds of the study that she was learning much about the summative and formative evaluation processes in general as well as about effective strategies to use with her staff. Whether that effect occurred for participants was not probed with them but was a possibility.

Fatigue may have played a role in lack of retention of some respondents, in two incomplete but returned surveys, and in the third-party reader; however, the extent of the effect was limited. Two of the initial twelve participants who returned the Round #1 survey did not complete Round #2; one explained that the length and intensity of the involvement was more than anticipated, the other did not return the survey for unknown reasons, although a followup telephone call had been made. The main effect of those two individuals dropping out of the study was in losing the two principals who had reported the greatest degrees of role conflict in the initial four scenarios. It is unclear whether their lack of participation was actually because of the magnitude of the project or because of some discomfort with probing an area in which they felt a high level of role conflict.

The two incomplete surveys involved short sections in which rank orders were not provided. Overall results in the

two areas involved were so overwhelmingly strong without their responses that this researcher did not pursue obtaining those rankings by telephone.

The contributions of the third-party reader were significant. In each of the rounds, she provided two or more additional areas of concern or ideas for questions which this researcher would have overlooked or would not have felt significant enough to probe. Her general emotional responses to each questionnaire (e.g., "This was a lot of reading.") also provided insights for this researcher into the impact of the survey on participants. Some fatigue may have occurred on her part, however, particularly in Round #2 and #3, due to extenuating family circumstances. With that in mind, this researcher condensed information from Round #3 before giving it to her, rather than presenting her with a complete set of raw data, as was done in Rounds #1 and #2.

### CONCLUSIONS

The following ten conclusions can be drawn from this research, nine about resolving the evaluator/nurturer role conflict as well as one about the usefulness of the Delphi technique as a research strategy:

1. The majority of elementary principals felt little or no role conflict in addressing both summative (assessment) and formative (supervision) responsibilities in evaluation.

This is true even though theoretically and definitionally

that conflict may be inherent. This finding of low levels of role conflict is consistent with a doctoral study by Deakin (1986), in which elementary principals also saw little conflict. Even in first-round responses in this present study, it was evident that principals simply saw themselves performing both roles as "givens" in their position. Their attitudes seemed to be, "I just do it." Most conceptualized the two roles as complementary to each other and found ways to manage both. That idea of management of the roles versus resolution of any conflict seemed to be a pervasive idea.

2. Role conflict was higher for women with less experience as principals; those same women also had more experience in other administrative roles. Granting that the sample was small, role conflict seemed to be higher (or expressed more strongly or openly) in general among women principals, especially those with less experience. One of those women who did not complete the final three rounds of the study had, however, among the greatest levels of experience. Higher role conflict within principals of lesser experience was also found by Gallina (1986) in his doctoral study. He, in fact, found that increased experience lowered role conflict in urban elementary principals.

3. Several factors did not seem to make a difference to the level of role conflict. Those included district size, school size, district evaluation program, amount of inservice in summative or formative evaluation, and age of the

principal.

4. Four strategies emerged as the most effective in addressing both roles: Gathered from Round #1 responses to scenarios and prioritized in later rounds, those strategies included the following, in order of importance to principals (a) interacting frequently with teachers, (b) building trust relationships, (c) emphasizing the formative, and (d) observing both formally and informally.

5. Six categories of specific practices were suggested as critical to a principal's repertoire. The categories, with specific examples following each, included these, in ranked order of importance to principals: (1) communications--using good oral and written communication skills, being visible; (2) supervisory leadership--possessing skills for supporting peer coaching, have knowledge of teaching strengths and weaknesses; (3) instructional leadership--knowing curriculum and instruction, learning and practice with teachers; (4) trust building--taking time to develop trust relationships, be part of the staff; (5) objectivity--knowing your own positions, being able to stay objective; (6) evaluative leadership--having skills in working with summative and formative roles, having knowledge of evaluation procedures.

The two sets of behaviors in conclusion #4 and #5 are extremely parallel in content, lending reliability to the results of each line of questioning. Both also emphasize

human relations skills as a key strength needed by administrators, as have several theorists in education (Blumberg, 1980; McGreal, 1988; Mosher and Purpel, 1972).

6. Four strategies for lowering existing role conflict were suggested. Those included (1) keeping communications open; (2) providing a step-by-step process for improvement; (3) using a mentor other than the principal; and (4) moving to summative activities and a plan of assistance when appropriate. These strategies reflect a matter-of-fact approach most principals assumed in embedding performance of both roles in their position. The effectiveness of communication seemed to be a key which they felt allowed teachers to understand the principal's goal of improvement for teachers and to accept even a plan of assistance, in some cases, as a part of a formative, supportive process toward growth.

7. Degree of trust between an principal and teacher was identified as the most important factor determining the existence or intensity of role conflict. The other nine factors suggested and rank ordered by participants were these: (1) organizational climate of the school; (2) number of strengths or deficiencies seen in the teacher; (3) the principal's credibility as having expertise in effective teacher; (4) the principal's credibility as having expertise in content areas; (5) the degree of effort by the teacher to change; (6) the principal's interpersonal competencies; (7) the teacher's acceptance of him/herself as part of the

problem and solution; (8) the principal's perception of the evaluation processes; and (9) the principal's perceptions of his/her responsibilities in the two roles (summative and formative evaluation).

8. The greatest barriers to accomplishing both roles were perceived to be constraints within the teacher and time.

Constraints within the teacher included emotional needs, misinterpretation of feedback, lack of knowledge of the language of instructional strategies, or lack of experience with a supervision model. All contributed to a higher level of anxiety in the teacher about evaluation, and therefore, a less trusting relationship, making supervision toward growth more difficult. As indicated in an earlier section of this chapter, perception of locus of control (whether the teacher feels he has any control over his own destiny) and the level of the administrator's interpersonal competencies may also affect the strength of these barriers.

9. Principals see the increased use of peers in evaluation as the strongest trend. That is followed by trends toward more accountability, more pressure to eliminate incompetence, and strengthened principal/teacher relationships.

10. The Delphi technique was an effective process for eliciting opinions and generating consensus. It was also more time-effective than face-to-face meetings would have been and reduced the possible effects of some strong

personalities which this researcher perceived were within the respondent group. Cross checks between objective and narrative responses helped verify responses and move the body of results toward consistency, as did prioritizations and clarifications on successive rounds.

### LIMITATIONS

The following limitations came into play in this study and need to be considered in using the findings:

1. The sample was very small and homogeneous, making generalizability difficult; it was observed that the addition of input from one respondent at times changed overall findings considerably;
2. principals in the study were recognized as having expertise in supervision and evaluation responsibilities, making generalizability to all principals impossible, since some may not possess equivalent expertise in supervision and evaluation;
3. respondents' self-reports of practices were not compared with teacher perceptions of the practices of those same principal;
4. the range of districts involved in the study was small, making generalizations about district programs and principals' practices within those systems difficult;
5. this researcher was not aware of all variables related to the environment of the participants; for example,

the organizational demands upon each respondent were not ascertained other than in a general way through self-report;

6. the time lapse between Rounds #1 and #2 may have interrupted the flow of thoughts of participants, even though responses from the first round were summarized for them; Round #1 responses were returned to this researcher on December 10, with the following round survey not reaching participants until February 28.

### IMPLICATIONS AND RECOMMENDATIONS

The findings of this study present a number of implications for three major audiences: elementary school principals, university training programs in administration and supervision, and human resources administrators in school districts. From those implications come a number of recommendations for improving the effectiveness of elementary principals in dealing with both summative and formative evaluation roles.

An elementary principal with strong skills in each of the areas listed below should be able to implement the broad strategies and specific practices suggested by this research as effective in allowing the principal to handle both roles. Therefore, all three audiences for which the results of this study have implications need to be concerned with addressing the following critical skill areas as they work to improve administrator competencies:



- self-knowledge
- strong oral and written communication skills
- good human relations skills
- trust building
- supervisory leadership
- instructional leadership
- evaluative leadership
- cultural management

Competence in these areas also would allow the administrator to implement the suggestions made by the participants in this research for reducing role conflict as well as to deal with the ten factors which affect the existence of that conflict in ways which might preclude such conflict existing at all, thereby increasing the effectiveness of the principal.

#### For Principals

For principals to deal effectively with both evaluation roles, they must first look at their own beliefs about the purposes of summative and formative evaluation, examining the degree of congruency between those beliefs and their practices in leading a school. For many in this study, supporting professional growth for members of their staff was preeminent, an emphasis which affected greatly their choices of practices as they managed the two roles. An understanding of role theory itself as it applies to the principalship might also be helpful in clarifying the sources of expectations for each of the roles, the complexities involved, and

the latitudes in acceptable behaviors on the continuum of those appropriate to a given role.

The enactment of one's role(s) depends not only on the nature of the expectations but also upon the characteristics of the individual. Therefore, self-knowledge about the strengths and weaknesses in a principal's repertoire of evaluation skills seems to be a must. In many districts there is a void in the area of administrative inservice in formative and, in some cases, summative evaluation. Principals, therefore, need to be active in seeking inservice experiences for themselves, outside of the district if necessary, to address any weaknesses they feel and to maintain strengths in the skill areas listed above.

In order to support an emphasis on growth, a focus confirmed in this study as important to handling both roles well, principals need to be proactive in examining their district evaluation systems to learn both the explicit and implicit role expectations held for them by the district. In addition they need to be assertive in recognizing the barriers to their effectively addressing both roles. Examining those may reveal ways to change the perception or the actuality of a barrier in order to reduce its effect on the performance of the dual evaluation roles.

#### For Districts

Time as a constraint ranked high in the minds of most participants in this study. Blumberg (1980) discusses the

ways in which organizational demands (of the district) are often different than the role orientations which are learned in training institutions. For example, the emphasis on instructional leadership found in the literature and in university classes can leave a pre-service administrator with the impression that his/her focus can be riveted in facilitating instructional excellence. Only at the beginning of the principalship does the principal realize that organizational demands often radically change emphases given to a variety of aspects of the job. Not only do districts need to be aware of that dissonance between what professional training orientations impart to potential administrators and the realities of the job, but they also need to examine their own priorities to find the appropriate alignment of non-instructional administrative demands with those which actively support the development of better teachers.

Since summative evaluation which is actually moving toward the removal of an incompetent teacher involves only about 2% of the total teaching population, the district evaluation system needs also to include a great deal of content specifically geared toward the growth and development of competent teachers. Districts interested in increasing the quality of both their teaching and administrative cadres also need to provide much more inservice support for their administrators, particularly in that area of formative evaluation (supervision) and specifically teaching to the

critical skill areas listed above. It is especially important to communicate both summative and formative role expectations to new principals, lest in the process of being sure they comply with legal aspects of the summative system, districts do not send the message that formative evaluation is not an area needing expertise and planned attention as well.

The purposes of evaluation systems need also to be more clearly defined, explicitly and implicitly. If the evaluation system is to serve dual goals, the district needs to be clear about each of those. Although respondents in this study seemed to approach those two goals and roles in an integrated way, they seemed to do so more for personal philosophical reasons than because it was consistent with the district system. If participants in this study are in any way representative of other principals, the formative and summative roles can be effectively blended. Further, the prospect of developing an institutionalized process for making two or more sets of apparently incompatible expectations more congruent is intriguing. It would seem to involve the district's studying the role expectations, and clarifying those in ways which purposefully blended them and created emphasis appropriately on the growth for teachers. Districts need to align their policies and systems with what appears to be a more effective direction in terms of promoting quality instruction. Unfortunately, like many organizations in this

study, districts seem often to embed the two goals into one system but rarely if ever address the needs of individuals, particularly administrators, on the formative or growth side of the issue. By omitting mention of the formative, except as an aside, by assuming principals know how to address teachers' growth needs, or by delegating formative activities to a staff development person or department, a district sends the message to principals that helping people grow is not as important an area as summatively tracking people for competence and accountability.

Inservice for new principals is almost entirely missing in districts, except for the daily experience gained in handling new tasks, limited orientations to the district, and possible mentorships with colleagues. A more organized approach to orienting a new principal would not only help with everyday operations but would be a forum through which districts could communicate their cultures of formative evaluation (supervision) as well, placing the majority of the focus more appropriately on growth than on the verification of competency. Without such an orientation period, however, the new principal is likely to be caught up in the management details of a summative evaluation (assessment) system rather than in the skillful nurturing of quality teachers.

Based on the findings of this study, one critical area in which districts need to encourage competence among administrators is in communication skills, not only the

external language skills which help someone describe, interpret, or judge events, but internal language skills as well. Those latter skills allow feelings to be shared between individuals in a collaborative manner as well as in ways which facilitate group processes and culture building. Helping principals with "interpersonal competence" (Greenfield, in Blumberg, 1980) skills, including diffusing and working through defensive reactions of teachers, may contribute to precluding role conflict or removing barriers to effectiveness as they perform their evaluation responsibilities. The development of those internal language skills is an area of pre- and inservice training which has been largely ignored to date. Hiring practices by personnel departments need to include looking at whether administrative candidates demonstrate these same competencies.

#### For Administrative Training Institutions

Training administrators to address the formative aspects of evaluation is limited at the university level. Preservice programs for administrators need to include more opportunities to gain a wide variety of supervisory skills beyond the the basic supervision overview. In addition, the basic supervision course should initiate an awareness of the dual roles, helping potential administrator begin to understand the complexities involved in what, purely by definition, appears to be conflicting role expectations. Continuing the exploration of the dual roles would be helpful during the

internship as well, where an experienced administrator might be able to model strategies effective in addressing both.

The entire area of human relations skills is largely not addressed in administrative training programs. Yet, according to respondents in this study as well as a number of theorists, those skills are critical to the success of the principal. They include not only the more obvious written and verbal communications skills, but also those "interpersonal competencies" which allow an administrator to know and handle his or her own feelings about events and people in ways which promote interaction and resolution rather than isolation and conflict. They include being able to influence without dominating and to use forms of power appropriately and effectively.

Training programs need to include many opportunities for collaboration with other adults, if such collaborative skills are expected to be present and effective in the practicing administrator. Although modeling such skills and providing settings for their use are important, leading potential administrators to metacognitively reflect upon those communications skills, upon the personal strengths or weaknesses in relation to such skills, and upon the practice experiences provided is a critical piece of training that is often missing.

## FUTURE RESEARCH

This researcher suggests further research is needed in three major areas: formative (supervision) and summative (assessment) evaluation as one or two separate systems; teachers' perceptions of principals' practices which are targeted at the reduction or preclusion of role conflict; and the variables which seemed to make a difference in the level of the role conflict.

### Formative and Summative Evaluation as One or Two Systems

It would seem helpful in clarifying roles and structuring appropriate systems if the assumptions underlying each frame of reference were examined more closely. Looking at role definitions might help define the practices which should be included in administrative or non-administrative roles, depending upon whether the two roles were embedded within the same system or separated. The result might enhance the understanding of the formative (supervision) as well as the summative (assessment) evaluation systems for both teachers and administrators.

### Teachers' Perceptions of Administrative Practices

This study did not include the teachers perceptions of the effectiveness of the principals' practices in achieving the goals as stated by the principal. Although a number of doctoral dissertations have dealt with teacher perceptions of the evaluation system (Halstead, 1988; Hobson, 1989;



Lunsford, 1988; Stewart, 1987), none have looked specifically at practices advocated by principals as reducing or precluding role conflict or as allowing them to effectively manage both summative and formation roles. Such a study might verify whether the practices identified in this study as effective are actually perceived as such by the teachers involved in their schools.

#### The Variables Affecting Level of Role Conflict

A number of interesting followup studies could stem from the variables which seemed in this study to relate most to the higher levels of role conflict expressed. Those would include confirming or probing why women seemed to feel more role conflict, why greater experience lessened role conflict, and how other kinds of administrative experience seemed to be related to higher levels of role conflict for the principal.

Another approach might be to look at the relationship between principals' communication skills (or interpersonal competence, or other skills) and their levels of supervisory credibility with teachers as a predictors of levels of role conflict. Such a study would measure the strength of two elements believed to be important by principals in this study.

Studies of these other variables not considered in this project would provide additional information about the principal's management of these roles as well: the effect of personality structure upon addressing these dual evaluation

roles and upon levels of role conflict; the effect of leadership styles; and the effects of levels of "interpersonal competence". The results of all of these suggested studies would have implications for the pre- or inservice training of administrators and for the screening of potential administrative candidates.

A third inquiry related to role conflict would be to extend elements of this research study to all of the elementary principals in Oregon, to see if principals in general perceived their roles in similar ways, felt similar degrees of role conflict, and approached management of the two roles with strategies like those principals in the study. Such research would help confirm or reject the findings in this study and would be more generalizable to principals of all levels of expertise in evaluation roles. It might also examine the differences found between schools in the size ranges just larger and smaller than the 325-475 student range included in this project. Those results might contain information useful to districts in planning optimal school sizes manageable by a single administrator.

#### EPILOGUE

Terrence Deal (1987) recounts an incident of watching a second grade teacher work with her class and then glow as she recounted episodes of her work to him -- "the values, stories, rituals, ceremonies. She was experiencing the

culture." He called it "magic." When he went on, however, to ask her "how the evaluation process was linked to the core values of teaching she had just expressed, she said there was no relationship. 'I just go along to make them happy'."

Is it "magic" that creates the fusion of evaluation and supervision? What is the role of the principal in building the kind of culture which allows this to happen? What are the values, stories, rituals, ceremonies of the evaluation and of the supervision processes and of the core spirit of teaching itself and how do they relate?

The process of this dissertation for me has been part of the "magic" that has created a new fusion of my supervision and evaluation roles . . . so that, hopefully, that core spirit of teaching is alive and well in my schools!

## REFERENCES

- Acheson, K. (1985). The principal's role in instructional leadership. 28(8). Eugene: University of Oregon, Oregon School Study Council Bulletin Series.
- Acheson, K. A. (1989). Evaluating, supervising, and analyzing teaching. 29(3). Eugene: University of Oregon, Oregon School Study Council Bulletin Series.
- Acheson, K. A., & Gall, M. D. (1980). Techniques in the clinical supervision of teachers. New York: Longman Inc.
- Andrews, R., & Basom, M. (1990). Instructional leadership: Are women principals better? Principal, 70(2), 38-40.
- Beaverton School District #48. (1987). Personnel evaluation and professional development program (3rd revision). Beaverton, OR: Author.
- Beckham, J. C. (1981). Legal aspects of teacher evaluation. Topeka, KN: National Organization on Legal Problems of Education.
- Bennis, W. (1989, April). The essence of leadership. Paper presented at the National Association of Elementary School Principals convention, Atlanta, GA.
- Biddle, B.J., & Thomas, E.J. (Eds.). (1966). Role theory: Concepts and research. New York: John Wiley & Sons, Inc.
- Bloom, B. S., Hastings, J. T., & Madaus, G.F. (1971). Handbook on formative and summative evaluation of student learning. New York: McGraw-Hill.
- Blumberg, A. (1980). Supervisors & teachers: A private cold war. Berkeley: McCutchan Publishing Corporation.
- Blumberg, A., & Jonas, R. S. (1987). The teacher's control over supervision. Educational leadership, 44(8), 58-62.
- Bolman, L. G. & Deal, T. E. (1987). Modern approaches to understanding and managing organizations. San Francisco: Jossey-Bass.
- Brandt, R. (1987). On teacher evaluation: A conversation with Tom McGreal. Educational Leadership, 44(7), 20-24.

- Campbell, F., Fleming, T., Newell, L. J., & Bennion, J. A. A history of thought and practice in educational administration. New York: Teachers College of Columbia University.
- Chonko, L., Howell, R.D., & Bellenger, D.N. (1986). Congruence in sales force evaluations: Relation to sales force perceptions of conflict and ambiguity. Journal of Personal Selling and Sales Management, 6(1), 35-48.
- Claesson, M. A. & Brice, R. A. (1989). Teacher/mothers: Effects of a dual role. American Educational Research Journal, 26(1), 1-23.
- Cogan, M. L. (1973). Clinical supervision. Boston: Houghton-Mifflin Co.
- Conley, D. T. (1987). Critical attributes of effective evaluation systems. Educational Leadership, 44(7), 60-64.
- Conley, D. T. (1988). District performance standards: missing link for effective evaluation. NASSP Bulletin, 72(511), 78-83.
- Conley, D. T. (1989, November). Roles and responsibilities in the evaluation process: Building partnerships for growth and improvement. Paper presented at an administrative staff development workshop in Beaverton School District 48, Beaverton, OR.
- Coombs, A. (1962) Perceiving, behaving, and becoming: A new focus for education. Alexandria, VA: Association for Supervision and Curriculum Development.
- Costa, A. L., Garmston, R. J., & Lambert, L. (1988). The evaluation of teaching: The cognitive development view. In S. J. Stanley & W. J. Popham (Eds.), Teacher evaluation: Six prescriptions for success (pp. 145-172). Alexandria, VA: Association for Supervision and Curriculum Development.
- Cyphert, F., & Gant, W. (1970). The Delphi technique: A tool for collecting opinions in teacher education. Paper presented at the American Educational Research Association Symposium, Minneapolis, MN. (ERIC Document Reproduction Service No. ED 042 691)
- Cyphert, F., & Gant, W. (1971). The Delphi technique: A case study. Phi Delta Kappan, 52(5), 272-273.

- Dalkey, N. C. (1969). The Delphi method: An experimental study of group opinion. Santa Monica, CA: The Rand Corporation.
- Deakin, W. E. (1986). An analysis of principal attitudes toward clinical supervision as a means for enhancing communication about instructional improvement. Dissertation Abstracts International, 47, 724A. University Microfilms No. 8612028)
- Deal, T. (1987). The culture of schools. In L.T. Scheive & M.B. Schoenheit (Eds.), Leadership: Examining the elusive (pp. 3-15). Alexandria, VA: Association for Supervision and Curriculum Development.
- Dodge, B. J. & Clark, R. E. (1977). Research on the Delphi technique. Educational Technology, 17(4), 58-60.
- Dubinsky, A.J., & Hartley, S.W. (1986). A path-analytic study of a model of salesperson performance. Journal of the Academy of Marketing Science, 14(1), 36-46.
- Duke, D., & Stiggins, R. (1986). Five keys to growth through teacher evaluation. Portland, OR: Northwest Regional Education Laboratory.
- Edwards, M.R. (1990). A joint effort leads to accurate appraisals. Personnel Journal, 69(6), 122-128.
- Eisner, E.W., & Peshkin, A. (Eds.). (1990). Qualitative inquiry in education: The continuing debate. New York: Teachers College Press.
- Erez, M., & Goldstein, J. (1981). Organizational stress in the role of the elementary school principal in Israel. The Journal of Educational Administration, 19(1), 33-43.
- Erickson, L. G. (1983). Stop shouting! Use writing to keep group decisions on target. The Executive Educator, 5(10), 34-35, 37.
- Fenton, R., Stofflet, F., Straugh, T., & DuRant, M. (1989, March) The effects of three models of teacher supervision: Cooperative, supervisor-controlled, and minimal. Paper presented at the Annual Meeting of the American Educational Research Association, San Francisco, CA. (ERIC Document Reproduction Service No. ED 304 746)

- Frazer, G. H. (1983). Unanswered research questions in health education: A delphi study. Paper presented at the Research Forum of the annual meeting of the American School Health Association, Louisville, KY. (ERIC Document Reproduction Service No. ED 235 123)
- Gallina, M. A. (1986). The relationship between self-esteem, organizational practices, and role conflict among elementary school principals (gender differences, communication and decision-making). Dissertation Abstracts International, 47, 3622A.
- Garawski, R. A. (1980). Collaboration is key: successful teacher evaluation not a myth. NASSP BULLETIN, 64, 1-7.
- Gast, N. E. (1984). The role of the high school library media specialist as perceived by high school library media specialists, principals, and teachers in the state. Dissertation Abstracts International, 45, 1588A.
- Getzels, J. W. (1963). Conflict and role behavior in the educational setting. In W. W. Charters & N. L. Gage (Eds.), Readings in the social psychology of education. Boston: Allyn and Bacon, Inc.
- Getzels, J. W., & Guba, E. G. (1957). Social behavior and the administrative process. The School Review, 65(4), 423-432.
- Glatthorn, A., & Holler, R. L. (1987). Differentiated teacher evaluation. Educational Leadership, 44(7), 56-58.
- Glickman, C. D. (1981). Developmental supervision: Alternative practices for helping teachers improve instruction. Alexandria, VA: Association for Supervision and Curriculum Development.
- Glickman, C. D. (1987). Instructional improvement and the k-8 principal. NAESP Streamlined Seminar, 5(4).
- Gross, N., Mason, W. S., & McEachern, A. W. (1958). Explorations in role analysis: Studies of the school superintendency role. New York: John Wiley & Sons, Inc.
- Gross, N., & Trask, A. E. (1978). The sex factor and the management of schools. New York: John Wiley & Sons.
- Halstead, D. (1988). The effectiveness of a teacher evaluation process as perceived by teachers and building level administrators. (Doctoral dissertation, Portland State University, 1988). Dissertation Abstracts International, 50, 35A. (University Microfilms No. 50/01A, 35).

- Hammerman, E., & Voelker, A. M. (1987). Research based objectives for environmental education: Consensus on the past; a base for the future. Science Education, 71(1), 29-40.
- Helmer, O. (1967). Analysis of the future: The Delphi method. Santa Monica, CA: Rand Corporation.
- Helmer, O., & Rescher, N. (1960). On the epistemology of the inexact sciences. Santa Monica, CA: Rand Corporation.
- Hobson, B. A. (1989). Teacher perceptions of evaluation as an agent for teacher growth and improvement of instruction. (Doctoral dissertation, Portland State University, 1989). Dissertation Abstracts International, 50, 3430A.
- Hunter, M. (1988). Create rather than await your fate in teacher evaluation. In S. F. Stanley & W. J. Popham (Eds.), Teacher evaluation: Six prescriptions for success (pp. 32-54). Alexandria, VA: Association for Supervision and Curriculum Development.
- Jones, R. (1989, April). A formative-summative evaluation process model. Presentation made at the national convention of the National Association of Elementary School Principals, Atlanta, GA.
- LaPlante, M. J., & Jewett, A. E. (1987). Content validation of the purpose dimension. Journal of Teaching in Physical Education, 6, 214-223.
- LeBrun, P. F., Jr. (1986). Appraising teacher performance: a catalyst to improvement. NASSP Bulletin, 70(492), 56-60.
- Levine, S. L. (1989). The principal as adult developer. Principal, 68(3), 17-18.
- Lewis, A. C. (1982). Evaluating educational personnel. Arlington, VA: American Association of School Administrators.
- Lindquist, T.N. (1973). Critical tasks for the secondary school principalship of the future. (Doctoral dissertation, University of Oregon, 1973). Dissertation Abstracts International, 34, 5534A.
- Linstone, H. A., & Turoff, M. (1975). The Delphi method: Techniques and applications. Reading, MA: Addison-Wesley Publishing Company.



- Little, J. W. (1981, April). The power of organizational setting: School norms and staff development. Paper presented at a meeting of the American Educational Research Association: Los Angeles, CA.
- Lunsford, B. F. (1988). Perceptions of relationships between teachers and supervisors during implementation of a new positive evaluation model. Dissertation Abstracts International, 49, 3222A. (University Microfilms No. 8903508)
- Lysiak, F. & Perez, A. (1985). A multifaceted approach to teacher evaluation. Paper presented at the annual meeting of the American Educational Research Association, Chicago, IL. (ERIC Document Reproduction Service No. ED 261 089)
- Manatt, R. P. (1988). Teacher performance evaluation: A total systems approach. In S. J. Stanley & W. J. Popham (Eds.), Teacher evaluation: Six prescriptions for success (pp. 79-108). Alexandria, VA: Association for Supervision and Curriculum Development.
- Martin, N.H. (1956). Differential decisions in management of an industrial plant. Journal of Business of University of Chicago, 29(4), 249-260.
- McEwen, W. J. (1956). Position conflict and professional orientation in a research organization. Administrative Science Quarterly, 1(2), 208-225.
- McGee, J. C., & Eaker, R. (1977). Clinical supervision and teacher anxiety: a clinical approach to the problem. Contemporary Education, 49(1), 24-28.
- McGreal, T. L. (1988). Evaluation for enhancing instruction: linking teacher evaluation and staff development. In S. J. Stanley & W. J. Popham (Eds.), Teacher evaluation: Six prescriptions for success (pp. 1-29). Alexandria, VA: Association for Supervision and Curriculum Development.
- McGreal, T. L. (1983). Successful Teacher Evaluation. Alexandria, VA: Association for Supervision and Curriculum Development.
- Moment, D., & Zeleznik, A. (1963). Role development and interpersonal competence: An experimental study of role performances in problem-solving groups. Boston: Harvard University Graduate School of Business Administration.

- Morgan, R. F., & Griffin, E. L. (1981). Delphi technique modified for use in reading. Reading Improvement, 18(3), 270-274.
- Morrison, J. L., Renfro, W. L., & Boucher, W. I. (1984). Futures research and the strategic planning process: implications for higher education. (ASHE-ERIC Higher Education Research Report No. 9). Washington, DC: Association for the Study of Higher Education.
- Mosher, R. L., & Purpel, D.E. (1972). Supervision: The reluctant profession. Boston: Houghton Mifflin Company.
- Nash, N. (1978). Delphi and educational research: a review. Washington, DC: US Department of Health, Education, and Welfare. (ERIC Document Reproduction Service No. ED 182 465)
- The National Commission of Excellence in Education. (1983). A nation at risk: The imperative for educational reform. Washington, D.C.: U.S. Government Printing Office.
- Nolan, J. F. (1989). Can supervisory practice embrace Schon's view of selective supervision? Journal of Curriculum and Supervision. 5(1), 35-40.
- Oregon Revised Statutes. §§ 342.850 (1989).
- Owens, R. G. (1987). Organizational behavior in education (3rd ed.). Englewood Cliffs, NJ, Prentice-Hall, Inc.
- Parsons, T. (1951). The Social System. New York: The Free Press.
- Popham, W. J. (1988). Judgment-based teacher evaluation system. In S. J. Stanley & W. J. Popham (Eds.), Teacher evaluation: Six prescriptions for success (pp. 56-77). Alexandria, VA: Association for Supervision and Curriculum Development.
- Quinney, E.R. (1964). Occupational structure and criminal behavior: Prescription violation by retail pharmacists. Social Problems, 11(2), 179-185.
- Ruck, C. (1986). Creating a school context for collegial supervision: the principal's role as contractor. 30(3). Eugene: University of Oregon, Oregon School Study Council Bulletin Series.

- Scriven, Michael. (1988). Evaluating teachers as professionals: The duties-based approach. In S. M. Stanley & W. J. Popham (Eds.), Teacher evaluation: Six prescriptions for success (pp. 110-142). Alexandria, VA: Association for Supervision and Curriculum Development.
- Sergiovanni, T. J. (Ed.). (1975). Professional supervision for professional teachers. Alexandria, VA: Association for Supervision and Curriculum Development.
- Sergiovanni, T. J. (Ed.). (1982). Supervision of teaching. Alexandria, VA: Association for Supervision and Curriculum Development.
- Sergiovanni, T. J., & Starratt, R. J. (1988). Supervision: Human perspectives (4th ed.). New York: McGraw-Hill Book Company.
- Smith, W., & Andrews, R. (1989). Instructional leadership: How principals make a difference. Alexandria, VA: Association for Supervision and Curriculum Development.
- Snyder, K. J., Krieger, R., & McCormick, R. (1983). School improvement goal setting: A collaborative model. NASSP Bulletin, 67(465), 60-65.
- Stanley, S. J. and Popham, W. J. (Eds.). (1988) Teacher evaluation: Six prescriptions for success. Alexandria, VA: Association for Supervision and Curriculum Development.
- Stewart, M. J. (1987). Perceptions of teachers and principals toward teacher evaluation by principals in small west Tennessee elementary schools. Dissertation Abstracts International, 48, 1956A. (University Microfilms No. 87-15840)
- Stiggins, R. J. (1986). Teacher evaluation: accountability and growth systems--different purposes. NASSP Bulletin, 70(490), 51-58.
- Stiggins, R. J., & Bridgeford, N. J. (1985). Performance assessment for teacher development. Educational Evaluation and Policy Analysis, 7(1), 85-97.
- Stone, J. R. III. (1984, December). Outcome standards for secondary marketing education. Paper presented at the Research Forum of the annual meeting of the American Vocational Association Convention, New Orleans, LA. (ERIC Document Reproduction Service No. ED 255 707)

- Stouffer, S.A. (1949). An analysis of conflicting social norms. American Sociological Review, 14(6), 707-717.
- Tesch, S., Nyland, L., & Kernutt, D. (1987). Teacher evaluation--shared power working. Educational Leadership, 44(7), 26-30.
- Toby, J. (1952). Some variables in role conflict analysis. Social Forces, 30(6), 323-327.
- Todd, R. F., & Reece, C. C. (1989, March). Desirable skills and knowledge outcomes for an introductory educational research course: a Delphi study. Paper presented at the Annual Meeting of the American Educational Research Association, San Francisco, CA. (ERIC Document Reproduction Service No. ED 305 342)
- Travers, R. M. W. (1978). An introduction to educational research (4th ed.). New York: MacMillan Publishing Co.
- Tyack, D. & Hansot, E. (1982). Managers of virtue. New York: Basic Books, Inc.
- Vincent, D.R., & Brooks, K.W. (1982). A Delphi projection: Implications of declining enrollment. Planning and Changing, 13(1), 24-30.
- Weaver, T. W. (1971). The Delphi forecasting method. Phi Delta Kappan, 52(5), 267-271.
- Weber, R. W. (1987a). Instructional leadership: contexts and challenges. 31(3). Eugene: University of Oregon, Oregon School Study Council Bulletin Series.
- Weber, J. R. (1987b). Teacher evaluation as a strategy for improving instruction: Synthesis of literature. Eugene: University of Oregon, ERIC Clearinghouse of Educational Management.
- Weick, K. (1976). Educational Organizations as Loosely-Coupled Systems. Administrative Science Quarterly, 12(1), 1-19.
- White, D., & Rampy, L. (1983). Solutions unlimited: Delphi study on policy issues in the introduction and management of computers in the classroom. (Research Report 90.) Bloomington, Ind.: Agency for Instructional Television. (ERIC Document Reproduction Service No. ED 249 973)

- Wise, A. E., & Darling-Hammond, L. (1984). Teacher evaluation and teacher professionalism. Educational Leadership, 42(4), 28-33.
- Wise, A. E., Darling-Hammond, L., McLaughlin, M.W., & Bernstein, H.T. (1984). Teacher evaluation: A study of effective practices (Contract No. 400-82-0007). Santa Monica, CA: Rand Corporation.
- Worthen, B. R., & Sanders, J. R. (1987). Educational evaluation: Alternative approaches and practical guidelines. New York: Longman.

APPENDIX A

REQUEST FOR NOMINATION FROM SUPERINTENDENT

October 5, 1990

Dr. Cynthia Seidel, Superintendent  
Lincoln County School District  
PO Box 1110  
Newport, OR 97365-0088

Dear Dr. Seidel:

I need your help in a project which could enhance the expertise of elementary administrators.

As an elementary school principal in the Beaverton School District, I am concerned about providing effective evaluation of certified staff as well as nurturing their professional growth through the supervision and staff development processes. However, when one is the sole administrator in a school, the roles inherent in providing both evaluation and supervision can be in conflict.

As the basis for my doctoral dissertation (Portland State University), I am conducting a study of that role conflict. I would like to engage 12 to 15 Oregon elementary school principals in a process of reaching consensus on how they resolve conflict in practical terms and on the directions in which they feel our profession should move in increasing our effectiveness in providing leadership in both areas. The research process will involve a dialogue with these people following a Delphi technique format in which participants will be asked to respond by mail to three or four rounds of questions on the issue. The process allows them to express their own ideas as well as to react to the group responses of other participants. Names of participants will not be disclosed to each other during the process or in the dissertation.

My subject selection process involves this request of you to recommend the name(s) of an elementary principal within your district whom you feel is a strong practitioner in the area of evaluation and supervision. My **CRITERIA** for subject selection are these:

- (1) **SOLE ADMINISTRATOR:** S/he must be the sole administrator in a school (no administrative assistants or vice-principals to whom some tasks might be delegated).
- (2) **SCHOOL SIZE 325-475:** The size of the individual's school during at least one of the past two years must be between 325 and 475 students.
- (3) **GRADE CONFIGURATION:** The school must include no grade higher than grade six.
- (4) **RECOGNIZED EXPERTISE:** The individual must be recognized by you or another central office administrator (e.g., personnel director or staff development director) as having particularly strong skills in the areas of evaluation and/or supervision.
- (5) **AVAILABILITY:** The individual's district or personal commitments should allow him/her to respond by mail to three or four rounds of questions from November 1990 through May 1991. The participants will never be asked to gather in a meeting.

I have included a postcard(s) on which to submit the name of an appropriate principal(s). If I did not provide you with enough postcards for you to recommend the number of people you feel appropriate, please feel free to submit the data requested in memo form. I will then be writing to those individuals to explain my project and ascertain their interest.

Thank you in advance for assisting me in my study by making this recommendation !! I will give you a call to follow up if I have not heard from you by October 18.

Sincerely,

Judy Taccogna  
11030 SW 106th Avenue  
Tigard, OR 97223  
620-3305

Dr. Jack Lind, Advisor  
School of Education, Portland State University  
PO Box 751  
Portland, OR 97201

APPENDIX B

DISTRICT RESPONSE CARD



I would like to recommend the following elementary school principal as an outstanding evaluator/supervisor: (PLEASE **PRINT**.)

PRINCIPAL'S NAME: \_\_\_\_\_

SCHOOL: \_\_\_\_\_ TELEPHONE: \_\_\_\_\_

MAILING ADDRESS: \_\_\_\_\_

\_\_\_\_\_

NUMBER OF STUDENTS IN HIS/HER SCHOOL: \_\_\_\_\_ GRADE RANGE: \_\_\_\_\_

\_\_\_\_\_  
Your Name Title/Position

\_\_\_\_\_  
Your Signature District

## APPENDIX C

### ACKNOWLEDGEMENT TO DISTRICT RESPONDENT

November 7, 1990

Dr. Richard Eisenhower, Superintendent  
Douglas County School District 4  
1419 Valley View Drive  
Roseburg, OR 97470-1798

Dear Dr. Eisenhower:

Thank you for responding to my recent request. I appreciate your recommendations of elementary principals to participate in my doctoral research project.

I am now narrowing my field of subjects to sixteen, including those who most nearly meet the school size range criterion (325-475) and who provide a balance in the number of male and female participants. Although that process may ultimately exclude someone you recommended, I nevertheless appreciate your willingness to suggest someone appropriate.

I am hopeful that the results of my study will be helpful to principals in resolving the role conflict between the summative evaluation and the formative supervision processes. To help express my appreciation for your involvement, I will send a summary of my findings to you after the study has been completed in the summer of 1991. Thank you again for your help!

Sincerely,

Judy Taccogna  
11030 SW 106th Avenue  
Tigard, OR 97223  
(503) 620-3305

APPENDIX D

SUBJECT NOTIFICATION LETTER

November 7, 1990

Mr. Prinz A. Pal  
Suburban School District  
P.O. Box 12345  
Big City, Oregon 97357

Dear Mr. Pal:

Your (*superintendent/personnel director/...*) recently recommended you as someone who might contribute to a study I am conducting to determine effective ways to resolve a role conflict often felt by elementary school principals. I am now writing to you to tell you about the project and see if you might be interested in participating.

As an elementary school principal in the Beaverton School District, I am concerned about providing effective evaluation of certified staff as well as nurturing their professional growth through the supervision and staff development processes. However, when one is the sole administrator in a school, the roles inherent in providing both evaluation and supervision can be in conflict.

As the basis for my doctoral dissertation (Portland State University), I am conducting a study of that role conflict. I would like to engage you and 12 to 15 other Oregon elementary school principals in a process of reaching consensus on how to resolve that conflict in practical terms and on the directions in which you feel our profession should move in increasing our effectiveness in providing leadership in both areas. The research process will involve a dialogue with participants following a format in which you will be asked to respond confidentially by mail to three or four rounds of questions on the issue. The process will allow you to express your own ideas as well as to react to the group responses of other participants, which I will mail to you with each successive set of questions. Your identity will not be disclosed to anyone either during the consensus process or in the dissertation.

My subject selection process involves your superintendent, personnel director, or staff development director recommending you as meeting these **CRITERIA**:

- (1) **SOLE ADMINISTRATOR**: S/he must be the sole administrator in a school (no administrative assistants or vice-principals to whom some tasks might be delegated).
- (2) **SCHOOL SIZE 325-475**: The size of the individual's school during at least one of the past two years must be between 325 and 475 students.
- (3) **GRADE CONFIGURATION**: The school must include no grade higher than grade six.
- (4) **RECOGNIZED EXPERTISE**: The individual must be recognized by a central office administrator (e.g., superintendent, personnel director or staff development director) as having particularly strong skills in the areas of evaluation and/or supervision.
- (5) **AVAILABILITY**: Your district or personal commitments should allow you to respond by mail to three or four rounds of questions between November 1990 and May 1991. You will never be asked to come to a group meeting.

I have enclosed an overview of my research project to give you a more detailed description of the study. If you would like more information, please feel free to call me collect at home (620-3305), or leave a message on my answering machine and I will return your call.

Unlike dissertation questionnaires we have all received which ask us to respond on one occasion, this study will involve three or four questionnaires spaced throughout the current year. Therefore I felt I needed to ask first whether you would be interested and second whether you would be willing to pursue the process with me before I send you the first questionnaire. Please return the enclosed response card by October 31 indicating your interest in and ability to participate. If I have not heard from you early in November, I will give you a call to follow up. Thank you for considering participation!!

Sincerely,

Judy Taccogna  
11030 SW 106th Avenue  
Tigard, OR 97223

## APPENDIX E

### PROJECT OVERVIEW FOR POTENTIAL SUBJECTS

## **RESEARCH PROJECT OVERVIEW**

### **for Potential Participants**

#### **"RESOLVING THE EVALUATOR/NURTURER ROLE CONFLICT OF THE ELEMENTARY SCHOOL PRINCIPAL"**

(Dissertation for the Educational Leadership Program)

Judy Taccogna

1989-1991

#### **THE PROBLEM**

Two primary needs in any organization are appraisal of the performance of employees and development of their skills. The structures necessary to meet those two sets of needs often overlap, creating unclear expectations on the part both of managers as well as employees. Learning new or refining old skills involves individuals taking risks; unless the environment provides some degree of safety, those risks may not be taken and the application of training will be less effective. At the same time that she strives to encourage growth, however, the manager must evaluate employees to ensure their basic competencies on the job and must address improvement or dismissal issues with marginal employees. Such evaluations often introduce high degrees of anxiety in the employee, in turn affecting the safety of the environment for growth and creativity.

One of the continuing challenges for the elementary school administrator is to be both critic and supporter for teachers. In most elementary schools, the principal is the sole site administrator and must perform the role of evaluator (critic/judge) as well as that of supervisor (supporter/coach). She deals on the one hand with summative (judgmental) and on the other with formative (growth) aspects of evaluation. The tasks characteristic of each aspect as well as the expectations for each in the mind of the administrator and the teacher are somewhat different. Because the summative evaluation role of the principal deals in collecting data on the demonstrated skills of teachers in order to verify minimum competencies, the principal as evaluator is often seen in a threatening and judgmental context.

In contrast, the formative evaluation system's object is to enhance the professional development of teachers; within that framework the principal seeks to be a supportive nurturer of increased capabilities. The role conflict inherent in combining those two objectives in the job of a single individual can create ambiguity and conflict which, in turn, can cloud issues, promote indecisiveness, and result in inconsistent behaviors which may increase conflict and reduce productivity. Yet each role makes valid and necessary contributions to the effectiveness of both the organization and the individual.

The extent, therefore, to which the elementary principal can resolve this role conflict will affect not only the operation of the school but the growth of the individual teacher. The results of this study should provide principals with a studied consensus about what already works for practicing principals and about what additional practices would enhance resolution of the role conflict.

## **METHODOLOGY**

### **Method of Analysis**

The Delphi technique has been selected as the method of analysis. It is a way of structuring a group communication process among "experts" which has these advantages over a face-to-face meeting: (1) it reduces the possibility of psychological dominance by strong individual(s); (2) it reduces "semantic noise", the parts of group discussions which deal with individual or group interests rather than the topic or problem solving; (3) it reduces group pressure which might cause distortion in individual judgments; (4) participants can interact at their own convenience; and (5) it is less costly than bringing experts together from widely varying geographic locations.

### **Subjects**

The subjects of the study will be 16 elementary school administrators practicing in Oregon in mid-sized (325-475 students) K-5/K-6 suburban schools. They will be selected from a list of candidates recommended as "experts" by the superintendents or personnel directors of their districts; an attempt will be made to select an equal number of males and females.

### **The Research Process**

The research process will involve a dialogue following a format in which participants will be asked to respond confidentially by mail to three or four rounds of questions on the issue. The process will allow each to express his own ideas as well as to react to the group responses of other participants. The identities of participants will not be disclosed to anyone either during the consensus process or in the dissertation.

The first survey questionnaire will include background questions as well as a statement of the issues and problem scenarios. Thereafter the process involves successive rounds of questions related to the problems. Group responses will be mailed with each successive round of questions, allowing subjects to take the group data into account as they respond in the succeeding round. The final responses should represent a consensus of the group, in this case reflecting the collective "best practices" and foreshadowing effective directions in which the profession may move in resolving the evaluator/nurturer role conflict in the elementary principal.



APPENDIX F

SUBJECT RESPONSE CARD

Please return this card to me by November 16 to indicate your interest in participating OR your desire not to participate!

YOUR NAME (Please Print) \_\_\_\_\_

DISTRICT \_\_\_\_\_ SCHOOL \_\_\_\_\_

☐

☐ Yes, I am interested and willing to participate!

☐ No, I do not wish to participate.

if you are willing to participate, please provide the following data:

MAILING ADDRESS you wish me to use: \_\_\_\_\_

☐

☐ Home ☐ School

GRADE RANGE of SCHOOL[ e.g. K-5] (1988-89) \_\_\_\_\_ (1989-90) \_\_\_\_\_

NUMBER of STUDENTS in SCHOOL (1988-89) \_\_\_\_\_ (1989-90) \_\_\_\_\_

TELEPHONE NUMBERS School \_\_\_\_\_ Home (optl.) \_\_\_\_\_

Thank you again for considering participation.

-- Judy Taccogna

APPENDIX G

FINAL SUBJECT CONFIRMATION LETTER

December 6, 1990

Nancy Ann Doe  
Uptown Elementary  
1234 State Street  
Anytown, OR 97000

Dear Nancy Ann:

I was very happy to receive your response card saying that you would be willing to work with me on the research I am doing for my dissertation. As I indicated on the telephone yesterday, I have selected you to be among the participants. Selection was based on (1) your willingness to participate, (2) your position in a school that falls within the 325-475 student range I need, (3) the size of your district [I chose the largest districts which had principals responding], and (4) my desire to balance the number of men and women in the study.

I have enclosed the first of the three or four surveys I will use. As I have indicated in the introductory remarks on page one of the survey, this is the longest of the questionnaires because I need to collect some related information about you and your district. The questions that are the core of the process come in the "scenarios" which are described in Part III; through your responses to those, we will be working to come to consensus about what the effective practices are that you use to help you resolve the role conflict between being the "evaluator" and the "nurturer". I will also be pursuing with you what you might suggest to improve the ways principals approach their responsibilities in evaluation and supervision.

As you can see on page one of the questionnaire, I would like to have your responses by December 10 so that I can synthesize them and send you a summary with the second questionnaire during the first week in January. A schedule for the entire project is on the final page of the questionnaire. I have also enclosed a copy of an "Informed Consent" form on which I need your signature acknowledging your understanding of the terms of the project.

Thank you again for your interest in my study!! I hope we all will benefit from the process of sharing our ideas! Feel free to call me if you have questions or concerns!

Sincerely,

Judy Taccogna  
11030 SW 106th Avenue  
Tigard, OR 97223  
Home Phone: 620-3305  
Work Phone: 591-4530

APPENDIX H

ROUND #1 SURVEY

# RESOLVING THE EVALUATOR/NURTURER ROLE CONFLICT OF THE ELEMENTARY SCHOOL PRINCIPAL

## DISSERTATION RESEARCH

Portland State University 1990-91

Judy Taccogna

## ROUND #1 SURVEY

It is exciting to be beginning our dialog concerning two major roles in our job descriptions! I appreciate your willingness to devote time and thought to this project and hope that we all walk away from it with new insights and strategies for dealing with the role conflict between evaluator and nurturer more effectively.

### PURPOSES OF ROUND #1 SURVEY

There are several purposes for this first-round survey:

- (a) to obtain demographic information about the 16 elementary principals participating;
- (b) to determine facts and your perceptions about your district's personnel evaluation and supervision expectations, procedures, and requirements;
- (c) to find out your perceptions of your evaluation and supervision roles in general; and
- (d) to define some of your practices in the areas of evaluation and supervision.

Because of these multiple purposes, this first survey may take you a bit longer to complete than subsequent rounds. (You will notice that the last question on each round will ask you how long you spent completing your responses.) The next rounds will focus primarily on your responses to the four basic scenarios you see in this first survey; I will create and mail to you summaries of the group responses of each and will ask you additional questions about them.

Please return this survey in the enclosed envelope by

**MONDAY, DECEMBER 10.**

**YOUR NAME:** \_\_\_\_\_ (Please print.)

*In order for me to be able to clarify your responses with you personally if necessary, each survey will ask for your name. Your responses will, however, be held in confidence, as indicated in the overview description. Your identity will not be revealed in any form during the Delphi process or in the final dissertation.*

### **PART I: BACKGROUND INFORMATION**

#### **SECTION IA: PERSONAL DATA**

1. Age Range: a. ☐ Under 30 b. ☐ 30-39 c. ☐ 40-49 d. ☐ 50-59 e. ☐ Over 59
2. Gender: a. ☐ Male b. ☐ Female
3. Number of years of administrative experience: \_\_\_\_\_

4. Number of years of experience as an elementary principal: \_\_\_\_\_
5. Highest degree earned: ☐ Bachelors ☐ Masters ☐ Doctoral
6. Prior/other certification:
  - a. ☐ Elementary Teaching
  - b. ☐ Secondary Teaching: Subject \_\_\_\_\_
  - c. ☐ Counseling
  - d. ☐ Other: \_\_\_\_\_
7. Have you taken specific college classes in evaluation or supervision beyond that required for basic administrative certification? ☐ Yes ☐ No
8. If you answered "yes" to item #7, indicate how many classes you have had in both areas combined: \_\_\_\_\_ (Course titles/topics are not necessary.)

**SECTION IB: DISTRICT INFORMATION**

9. Total number of students in your district during the 1990-91 year: \_\_\_\_\_

In the following questions, the terms "summative evaluation" and "formative evaluation" are used. For purposes of this study, I am defining them as follows:

**"Summative evaluation"** is the set of processes which address teacher accountability through making judgments about competence. This system provides information for making personnel decisions such as hiring, firing, and granting tenure. To many principals, the general term *evaluation* refers only to this summative aspect of evaluation. The administrator serves in the role of judge and critic.

**"Formative evaluation"** is the set of processes which address the professional development of teachers. To many principals, the term *supervision* refers to these formative aspects of evaluation. The administrator serves in the role of coach and supporter.

10. Has your district (or another district for which you have worked) provided specific inservice education for administrators in how to deal with summative evaluation issues?
  - a. ☐ Yes
  - b. ☐ No
11. If "yes", approximately how many hours of such inservice have you taken? \_\_\_\_\_  
 (Or were these inservice experiences in summative so blended with those in formative evaluation [see question #13] that it is hard to separate hours? Yes ☐ No ☐ If "yes", combine the estimated total number of hours and write that number here: \_\_\_\_\_.)
12. Has your district (or another district for which you have worked) provided specific inservice education for administrators in how to deal with formative evaluation (supervision) issues?
  - a. ☐ Yes
  - b. ☐ No
13. If "yes", approximately how many hours of such inservice have you taken? \_\_\_\_\_

14. How is your district's summative evaluation system for permanent teachers related to the formative supervision system?
- ☐ The two are embedded in the same system.
  - ☐ They are kept totally separate.
  - ☐ Other: (Please describe, using the back of this sheet if necessary.) \_\_\_\_\_>
15. If you answered "a" to item # 14, what is the stated purpose of the system:  
(Use the back, if necessary.) \_\_\_\_\_>
16. If you answered "b" to item # 14, what is the stated purpose of the summative evaluation system? \_\_\_\_\_
17. If you answered "b" to question # 14, what is the stated purpose of the formative supervision/growth system? \_\_\_\_\_
18. If you answered "c" to question # 14, what is the stated purpose of the system you described: \_\_\_\_\_
19. Upon which process do you feel the district expects you to focus primarily?
- ☐ Evaluation (summative evaluation)
  - ☐ Supervision (formative evaluation)
  - ☐ Neither; they seem equally weighted.
20. In what way(s) does your district report summative evaluation data to teachers?  
(Check all which apply.)
- ☐ Checklist
  - ☐ Rating scale
  - ☐ Narratives
  - ☐ Other: \_\_\_\_\_  
Comment on any, if you wish:
21. Upon what type of criteria are teachers evaluated summatively? (Check all that apply.)
- ☐ Performance Standards
  - ☐ Performance Criteria
  - ☐ Performance Expectations
  - ☐ Goals
  - ☐ Other: \_\_\_\_\_  
Comment on any, if you wish:
22. If your district evaluates on the basis of performance standards, what level of competence are the standards seen as describing?
- ☐ Minimum level of competency
  - ☐ Middle level of competency
  - ☐ Maximum levels for which to strive



23. If your district evaluates summatively on the basis of performance standards, how specific are the ratings?
- a. ☐ Multiple levels possible (e.g., "below standard", "standard", "above standard", "master")
  - b. ☐ Only two levels indicated (e.g., "meets standards"/"does not meet standards")
  - c. ☐ Other: \_\_\_\_\_

### **SECTION I C: SCHOOL INFORMATION**

24. Approximately how many certified staff members (including certified people in non-classroom assignments such as counselor, media specialist, learning disabilities teacher, music teacher) did you supervise and evaluate during the last school year?
- a. ☐ Less than 15    b. ☐ 15-20    c. ☐ 21-25    d. ☐ 26-30    e. ☐ More than 30
25. What is the grade range of the schools in which you have been an elementary principal during the past two years:
- a. ☐ K-6    b. ☐ K-5    c. ☐ 1-6    d. ☐ 1-5    e. ☐ Other: What? \_\_\_\_\_

### **PART II: YOUR APPROACH TO EVALUATION AND SUPERVISION**

26. Which system is foremost in your mind when you approach evaluation/supervision tasks?
- a. ☐ Evaluation (summative evaluation)
  - b. ☐ Supervision (formative evaluation)
  - c. ☐ Neither; they seem equal in my thinking.
27. Indicate the extent to which you perceive yourself (as administrator) as the leader of the evaluation/supervision processes.
- a. ☐ It is totally administrator-driven.
  - b. ☐ It is driven somewhat more by the administrator than by teachers.
  - c. ☐ It is driven somewhat more by the teacher than by the administrator.
  - d. ☐ It is totally teacher-driven.
28. Indicate the category which best represents the extent to which you perceive the teacher being active in the summative evaluation process (... in reality, not necessarily as you would like it to be).
- |   |  |
|---|--|
| a. <input type="checkbox"/> Very Active     | d. <input type="checkbox"/> Somewhat passive |
| b. <input type="checkbox"/> Active          | e. <input type="checkbox"/> Passive          |
| c. <input type="checkbox"/> Somewhat Active | f. <input type="checkbox"/> Very Passive     |
29. Indicate the extent to which you see the teacher and the principal being equal partners in the summative evaluation process (... in reality, not necessarily as you would like it to be).
- a. ☐ Very principal-dominated
  - b. ☐ Somewhat principal-dominated
  - d. ☐ Equal partners
  - d. ☐ Somewhat teacher-dominated
  - e. ☐ Very teacher-dominated

30. Indicate the extent to which you perceive the teacher and the principal being equal partners in the formative evaluation (supervision) process (... in reality).
- a. ☐ Very principal-dominated
  - b. ☐ Somewhat principal-dominated
  - c. ☐ Equal partners
  - d. ☐ Somewhat teacher-dominated
  - e. ☐ Very teacher-dominated

*To what extent do you use the following data collection strategies in performing your evaluation and/or supervision roles? Check all that apply (questions #31-37) and add any comments you wish in the margins.*

31. "Formal" observations (with preobservation and postobservation conferencing)
- a. ☐ Two or more times per year for all certified staff
  - b. ☐ Two or more times per year for certain certified staff
  - c. ☐ At least one time per year for all certified staff
  - d. ☐ Never in some years
32. "Drop-ins" or informal, unannounced observations
- a. ☐ Many times per year for most staff members
  - b. ☐ Two or more times per year for all certified staff
  - c. ☐ Two or more times per year for certain certified staff
  - d. ☐ At least one time per year for all certified staff
  - e. ☐ Never
33. Student input/perceptions of teacher performance
- a. ☐ On a formal basis (e.g., through surveys of students, year-end evaluations)
  - b. ☐ On an informal basis (e.g., through casual conversations, information given during conferences with students)
  - c. ☐ Frequently
  - d. ☐ Seldom
  - e. ☐ Never
34. Peer assistance, peer coaching, peer sharing
- a. ☐ Regularly and frequently
  - b. ☐ Regularly but infrequently
  - c. ☐ Occasionally
  - d. ☐ Rarely
  - e. ☐ Never
35. Teacher self-appraisal
- a. ☐ Regularly and frequently
  - b. ☐ Regularly but infrequently
  - c. ☐ Occasionally
  - d. ☐ Rarely
  - e. ☐ Never

36. Student achievement data (including formal and/or day-to-day assessments by the teacher)
- a. ☐ Regularly and frequently
  - b. ☐ Regularly but infrequently
  - c. ☐ Occasionally
  - d. ☐ Rarely
  - e. ☐ Never
37. Clinical supervision strategies ("Clinical supervision" is being defined here as the formal system of teacher-centered interactions with a supervisor which focus on improvement of instruction and include activities such as pre- and post-observation conferences; observations; and dialogue about teaching strategies, planning, and directions of growth desired by both teacher and supervisor.)
- a. ☐ Regularly and frequently
  - b. ☐ Regularly but infrequently
  - c. ☐ Occasionally
  - d. ☐ Rarely
  - e. ☐ Never
38. What are some other methods of data collection or sources of information you use?
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_ >
39. The data collections strategies listed above also imply some techniques of giving feedback to teachers. What are some other methods you use to give feedback to teachers?
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_ >

### **PART III: YOUR RESPONSES TO SCENARIOS**

This part of the survey is designed to elicit your unique approaches to dealing with a variety of situations. Therefore, your answers must be written in some narrative form so that you can fully explain yourself; feel free to write an essay, a series of unlinked paragraphs, or make a list (with some expansion of your thoughts for each item you list). You can write your responses on the back of these sheets or on a separate sheet of paper. To help me manage the volume of responses with which I will deal, I have indicated a maximum length for each response.

In that the Delphi process is interactive, the nature of each scenario or question you will see on future rounds of surveys is dependent on your responses on this first round. The surveys will evolve as we respond to each other. I will first summarize your responses to each of these

scenarios. Based on that summary, I will design appropriate questions or create other scenarios to further probe the nature of your practices and beliefs. You will receive those questions and/or scenarios in the Round #2 survey along with the summary of everyone's first-round responses.

**General Scenario A:** You are required to "evaluate" each teacher each year. Depending upon your district, the term "evaluation" may include only summative (providing a judgment of competence) evaluation or it may ALSO include formative (growth-oriented) supervision. Whether that district mandate to "evaluate" includes growth aspects or not, your job description does require you to help staff members increase in their professional abilities.

40. Describe what you feel are the most productive ways to accomplish both the summative and the formative aspects of your role? Provide examples as appropriate. *(Please limit your remarks to 1 page maximum.)*
41. Describe what you feel are the greatest barriers to accomplishing both the summative and the formative aspects of your role? Provide examples as appropriate. *(Please limit your remarks to 1 page maximum.)*
42. Indicate the degree to which you feel your roles are in conflict in general as you deal with summative and formative evaluation.
  - a. ☐ An extreme amount
  - b. ☐ A moderate amount
  - c. ☐ Very little
  - d. ☐ None

**Specific Scenario B:** A fifth grade teacher is experiencing difficulty in developing a productive rapport with a difficult group of students. He attempts to use a moderately sarcastic form of humor with his students, hoping to engage them personally with him and command their cooperation. He is not able, however, to work through the emotions involved in difficult situations which arise with them and ends up losing patience, exhibiting frustration, and being drawn into verbal battle with them. He verbalizes openness to assistance but at the point of suggestions being made, he explains how he has already tried a form of the suggestion to no avail.

43. How do you approach your evaluation and supervision responsibilities in dealing with a teacher in this kind of situation? *(Please limit your remarks to 1 page maximum.)*
44. Indicate the degree to which you feel your roles are in conflict in this scenario.
  - a. ☐ An extreme amount
  - b. ☐ A moderate amount
  - c. ☐ Very little
  - d. ☐ None

**Specific Scenario C:** A primary teacher is experiencing difficulty in presenting developmentally appropriate activities, providing active participation, and managing classroom behavior. She seems to lack a clear understanding of the instructional needs of her students. She does not perceive, however, that the cause of her difficulties is within herself; she

attributes lack of student cooperation and progress to the nature of the children in the class. Direct statements by the principal indicating need for improvement are not seen as significant enough for her to pursue changes in her own behavior.

45. How do you approach addressing evaluation and supervision issues with a teacher in this kind of situation? *(Please limit your remarks to 1 page maximum.)*
46. Indicate the degree to which you feel your roles are in conflict in this scenario.
- a. ☐ An extreme amount
  - b. ☐ A moderate amount
  - c. ☐ Very little
  - d. ☐ None

**Specific Scenario D:** The entire teaching staff of your school is demonstrating teaching skills which range from the middle to high ranges of competency. Most are eager to learn new strategies and improve existing skills. Although some experience difficulty with particular students, they are open to suggestions and incorporate them into their approaches as appropriate.

47. How do you approach dealing with this staff in terms of evaluation and supervision? *(Please limit your remarks to 1 page maximum.)*
48. Indicate the degree to which you feel your roles are in conflict in this scenario.
- a. ☐ An extreme amount
  - b. ☐ A moderate amount
  - c. ☐ Very little
  - d. ☐ None

\*\*\*\*\*

49. How long did it take you to complete this survey? \_\_\_\_\_

### **NEXT**

To help you plan your time commitment to this project, I will update my projected timeline each time I send materials to you. You usually would need to return materials to me approximately two weeks after I mail them out. At this point I predict the schedule to be close to these dates:

ROUND I QUESTIONNAIRE:	November 26	-	December 10
ROUND II QUESTIONNAIRE:	January 8	-	January 24
ROUND III QUESTIONNAIRE:	February 13	-	February 25
ROUND IV QUESTIONNAIRE:	March 9	-	March 25

**Thank you so much for your help!!**

APPENDIX I

ROUND #2 SURVEY

## RESOLVING THE EVALUATOR/NURTURER ROLE CONFLICT OF THE ELEMENTARY SCHOOL PRINCIPAL

DISSERTATION RESEARCH  
Portland State University 1990-1991  
Judy Taccogna

### ROUND #2 SURVEY

Thank you for your responses to Round #1!! Were I to discontinue my whole project now, I would still feel I had learned a great deal from your input! I appreciate your taking the time to return your thoughts and ideas. I hope you also will find your collective ideas interesting as you complete this second survey.

#### PURPOSES OF ROUND #2 SURVEY

Survey #2 is designed to

- (a) obtain more information about your practices in evaluation and supervision by asking you some questions about your group responses on Survey #1;
- (b) begin to shape consensus statements where possible; (As you will notice, I have summarized the group responses to the scenarios; I want to find out whether each summarization is one which you could support as a consensus\* statement.)
- (c) determine how and to what extent your ideas and practices may differ from the summarizations or consensus statements.

\* Notes about Consensus: The definition being used in this study is "a judgment arrived at by most of those concerned." In some cases, all respondents may, in fact, not agree with a position. That is acceptable and valuable information as well. If your opinion is quite diverse from those of most of the rest of the group, I will ask you to explain why you feel strongly about maintaining that opinion and will reflect your position in final statements about the group responses.

Please return this survey in the enclosed envelope by  
**WEDNESDAY, MARCH 13.**

**YOUR NAME:** \_\_\_\_\_ (Please print.)

As indicated on the first survey, I need your name in case I need to clarify your responses. Your responses will be held in confidence and your identity will not be revealed in any form during the Delphi process or in the final dissertation.

## GROUP RESPONSES ON PARTS I & II

### PART I: PERSONAL, DISTRICT, SCHOOL DATA

The final 12 participants (5 males and 7 females) represent 10 school districts in the state. All are between 40 and 59 years of age and have been principals for an average of 7.5 years. While most had prior elementary certification, a number came from secondary teaching careers, and several had dual certification. Ten have masters' degrees and two have doctorates.

In almost all districts the summative and formative evaluation systems were embedded within one program and included both accountability and professional development goals. The average school size of participants is 400 students, with various configurations represented: seven K-6 schools, four K-5 schools, and one 1-6 school.

### PART II: APPROACHES TO EVALUATION AND SUPERVISION

While most respondents perceived that their districts wished them to focus less on supervision (formative evaluation) than on evaluation (summative evaluation), almost all respondents held supervision or an approach equally weighted between formative and summative to be their personal focus. All respondents viewed themselves as driving both processes either totally or with somewhat more leadership than the teachers. Although few viewed teachers and principals as equal partners in the evaluation (*summative*) process, most felt teachers and principals were at least equal partners in the supervision (*formative*) evaluation process.

#### Data Collection Strategies:

- (1) All but one respondent uses "formal" observations one or more times per year for each certified staff member, with all but one also using "drop-ins" two or more times per year for each.
- (2) Clinical supervision strategies were used by all, most using them "regularly and frequently".
- (3) Direct teacher input was used as a data collection strategy by several via
 

frequent discussions	teacher-identified projects	teacher in-put re growth
teacher journals	self-assessments	
- (4) A variety of other classroom analysis methods were used: (\*mentioned by more than one respondent)
 

verbatim*	audio/video taping*	task analyses*
interaction analyses* (e.g., Flanders, TESA)		questioning strategies
cooperative learning observation form		ITIP observation form

#### Feedback Techniques: (\*mentioned by more than one respondent)

Feedback techniques fell into two categories and included the general items as noted:

- (1) Written
 

informal notes*	copies of data collected*	letters of commendation/concern*
highlighting in data	copies of parent notes	written summaries/feedback forms
- (2) Verbal
 

personal verbal contact*	one-legged/informal conferences*
viewing video-tapes together	discussing informal data sheets
formal conferences*	praise statements



## GROUP RESPONSES & NEW QUESTIONS: PART III

### PART III: SCENARIOS

I have repeated here for your reference the exact scenarios you were given in the first survey and have followed each by what I feel is the consensus of the group about how best to approach each situation. In the interest of saving you time in reading these, I have condensed many good, specific ideas into summary form; therefore you may not see your exact words represented here. (*Consensus statements or other group responses are marked by bold vertical lines at each margin.*)

After each consensus statement, I have asked a some questions to help refine that consensus or probe further about aspects of your earlier responses related to a scenario. (*Questions to which you need to respond are enclosed in boxes.*) Please add separate sheets for your descriptive answers, making your answer as brief or as expansive as necessary to explain your point.

#### **Overall Response**

While a few principals felt a moderate amount of role conflict between the roles of evaluator/judge and supervisor/nurturer, just over half of this group of respondents felt a minimal amount of role conflict. Principals seemed very supportive and nurturing in their approaches to teachers, attempting to find ways to help teachers grow professionally and experience success.

46. To what extent do you agree or disagree with the above "overall response" as being representative of your feelings and personal approach to handling summative and formative evaluation processes. Place an "x" at the appropriate point on the following continuum:

Strongly Agree	Agree	Somewhat Agree	Somewhat Disagree	Disagree	Strongly Disagree

**Round #1 General Scenario A:** You are required to "evaluate" each teacher each year. Depending upon your district, the term "evaluation" may include only summative (providing a judgment of competence) evaluation or it may ALSO include formative (growth-oriented) supervision. Whether that district mandate to "evaluate" includes growth aspects or not, your job description does require you to help staff members increase in their professional abilities.

The degree to which respondents felt their roles are in conflict in dealing with summative and formative evaluation in general:

- |                          |                    |
|--------------------------|--------------------|
| a. (1) An extreme amount | c. (6) Very little |
| b. (3) A moderate amount | d. (2) None        |

***Your responses to question #40, "What are the most productive ways to accomplish both the summative and formative aspects of your role?"***

Four MAIN THEMES seemed to encompass most behaviors suggested in your approaches to summative and formative evaluation processes in general: interact with teachers frequently, observe, emphasize the formative, and build a trust relationship.

Interacting with teachers frequently was seen as a key not only to knowing what is really happening in the classroom versus what occurs in isolated formal observations, but it also builds credibility with teachers. Formal observations coupled with numerous drop-ins contributed to making evaluation a process rather than an occasion. Being visible in the school allowed principals to observe teachers in non-classroom settings as well in order to keep a "pulse" on the staff. A variety of approaches were used both formally and informally to interact, including video taping, peer coaching, multi-grade buddy systems, and informal observations of other teachers.

Observing included both regular formal observations (with pre- and post-conferences) and informal drop-in or walk-through occasions. In both settings it was felt that meaningful data could be gathered to provide information for written summaries, formal or informal discussions, brainstorming sessions regarding teaching strategies, or progress toward goals. The sharing of objective data after observations provided opportunities for the teacher to draw conclusions and make adjustments in approaches and/or for the administrator to share his/her conclusions. Making observations everyday events helps the administrator to obtain a broader range of information about the teacher (e.g., how s/he handles parents, lesson plans, peers on committees) in more natural settings.

Many respondents spoke of placing an emphasis on the formative aspects of supervision. Comments such as "treat it as a positive and growth-oriented" experience, "I am mostly growth oriented in the way I deal with teachers", and "negotiate resources and ways you can facilitate their achieving the goals set at the pre-evaluation conference" indicate a great number of nurturing behaviors are used. The encouragement and support of peer coaching or peer sharing arrangements was frequent among respondents. The provision of opportunities to learn the "best practices" was mentioned several times. A number of respondents mentioned the importance of providing opportunities for tenured teachers to refine techniques, shape goals, or share with each other. Reinforcing, praising, and calling "notice to the effective" practices were noted repeatedly.

Several respondents spoke of building a trust relationship with teachers and the responses of several others indicated that such a relationship was indeed important, although the latter did not describe the need in those words. A number of respondents felt supervision and evaluation processes were based on trust. Examples of ways to build this trust relationship included maintaining an "open-door" policy, giving honest feedback, modeling, and demonstrating that you have expertise in using a variety of supervision strategies in order to individualize the evaluation processes.

47. To what extent do you agree that interacting frequently with teachers is a major avenue through which a single elementary principal can successfully address both summative and formative evaluation processes? (Place an "x" at the appropriate point on the following continuum.)

Strongly Agree      Agree      Somewhat Agree      Somewhat Disagree      Disagree      Strongly Disagree

48. If you marked, "Disagree" or "Strongly Disagree" on the prior question, please explain your reasoning. (Use an additional sheet.)

49. To what extent do you agree that observing is a major avenue through which a single elementary principal can successfully address both summative and formative evaluation processes?

Strongly Agree      Agree      Somewhat Agree      Somewhat Disagree      Disagree      Strongly Disagree

50. If you marked, "Disagree" or "Strongly Disagree" on the prior question, please explain your reasoning. (Use an additional sheet.)

51. To what extent do you agree that emphasizing the formative is a major avenue?

Strongly Agree      Agree      Somewhat Agree      Somewhat Disagree      Disagree      Strongly Disagree

52. If you marked, "Disagree" or "Strongly Disagree" on the prior question, please explain your reasoning. (Use an additional sheet.)

53. To what extent do you agree that building a trust relationship is a major avenue?

Strongly Agree      Agree      Somewhat Agree      Somewhat Disagree      Disagree      Strongly Disagree

54. If you marked, "Disagree" or "Strongly Disagree" on the prior question, please explain your reasoning. (Use an additional sheet.)

55. Rank order the four suggestions in the order of their importance for you. Let #1 represent your highest priority, #2 your next highest, etc.

\_\_\_\_\_ Interacting frequently with teachers  
 \_\_\_\_\_ Observing  
 \_\_\_\_\_ Emphasizing the formative  
 \_\_\_\_\_ Building a trust relationship

***Your responses to question #41, "What are the greatest barriers to accomplishing both the summative and formative aspects of your role?"***

The group of respondents suggested about 24 different barriers. Although several of those can be grouped into categories, only *one* item was mentioned in exactly the same words by two respondents: that one was the "demands of other administrative roles". That one item, however, relates to a number of others which can be grouped together as issues of time constraints. Others suggestions in that category included the need to attend immediately to crises; growing demands upon the principal to assist in meeting the needs of an increasing number of at-risk children; lack of personnel in the form of an assistant, who could free the principal to address "supervision, evaluation, and staff development"; and the inability "to spend as much time in classrooms as desired".

Another "barrier" category containing several related responses was that of deficiencies or conflicts within the evaluation system itself. This category includes:

- (1) contractual limitations which force the evaluation system to only meet needs of teachers at "the extreme ends ... the capable and the incompetent";
- (2) the dual purposes of evaluation systems, which force the formats of any system to be restrictive in order to meet both summative and formative goals; mandated forms which do not provide for formative information;
- (3) "role conflicts which arise in both roles when someone is performing below standard" (i.e., keeping a growth climate when someone is on a plan of assistance);
- (4) lack of district policy regarding supervision (formative evaluation); and
- (5) "ridiculous" probationary teacher deadlines.

Other categories included suggestions about teachers' negative perceptions of evaluation systems, principal/teacher difficulties in communicating clearly and honestly, constraints within the administrator (e.g., limited supervision skills, lack of self-knowledge, difficulty in being direct), and constraints within the teacher (e.g., emotional needs, misinterpretation of feedback, lack of a common "language" of instructional strategies, lack of experience with clinical supervision).

56. To what extent do you agree that time constraints are the number one barrier to a single elementary principal being successful in addressing both summative and formative evaluation processes? (Place an "x" at the appropriate point on the following continuum.)

|-----|-----|-----|-----|-----|  
 Strongly    Agree    Somewhat    Somewhat    Disagree    Strongly  
 Agree                    Agree                    Disagree                    Disagree

57. If you marked, "Disagree" or "Strongly Disagree" on the prior question, please explain your reasoning. (Use an additional sheet.)

58. Rank order the following other barriers mentioned by respondents. Let #1 identify the item which in your mind presents the greatest barrier among those listed; then #2, etc.:

- \_\_\_\_\_ Deficiencies or conflicts within the district evaluation system itself
- \_\_\_\_\_ Teachers' negative perceptions of evaluation systems
- \_\_\_\_\_ Difficulties in communicating
- \_\_\_\_\_ Constraints within the administrator
- \_\_\_\_\_ Constraints within the teacher

**Round #1 Specific Scenario B:** A fifth grade teacher is having difficulty in developing a productive rapport with a difficult group of students. He attempts to use a moderately sarcastic form of humor with his students, hoping to engage them personally with him and command their cooperation. He is not able, however, to work through the emotions involved in difficult situations which arise with them and ends up losing patience, exhibiting frustration, and being drawn into verbal battle with them. He verbalizes openness to assistance but at the point of suggestions being made, he explains how he has already tried a form of the suggestion to no avail.

The degree to which respondents felt their roles are in conflict in this scenario:

- |                          |                    |
|--------------------------|--------------------|
| a. (1) An extreme amount | c. (5) Very little |
| b. (4) A moderate amount | d. (3) None        |

(One respondent marked both "c" and "d".)

***Your responses to question #43, "How do you approach your evaluation and supervision responsibilities in dealing with a teacher in this kind of situation?"***

The responses of all participants fell into one of two approaches: Nine of the twelve respondents spoke of "providing direct, guided assistance"; eight talked of "using a progressively more direct approach". Five respondents spoke to *both*.

Behaviors included in the provision of direct, guided assistance most frequently were modeling and coaching types of activities: facilitating peer coaching relationships, giving "can do" feedback, observing in order to give specific feedback, brainstorming ideas to try, helping teacher develop a plan to try, and modeling strategies needed. Close supervision was also cited by several respondents as necessary, not only to keep the principal aware of the needs for assistance but to enable him/her to give feedback specific to the problems at hand. Several used strategies such as video-taping, taking verbatim, writing a plan (not a "plan of assistance" at early stages), visiting classrooms of successful teachers, and discussing whatever the administrator and/or teacher observed. Conveying that the principal was serving in a helping role was an element mentioned often.

The use of a progressively more direct approach included many behaviors appearing in the paragraph above. The major difference was an emphasis on the gradually escalating nature of the interactions between the principal and the teacher, moving from the informal and non-threatening suggestions to more formal mandates and summative procedures. Indicators of that escalating nature are found in these comments: At first "provide assistance in a casual but scheduled manner" but "if problems continue, step in in an evaluative way to raise the level of concern for help;" "If little or no progress is shown, then begin to blend into the formal evaluation process;" and "If no change, implement a plan of assistance."

Two respondents spoke also of the need to clarify the administrative role for the teacher. One did so by saying the "role as supervisor causes me to do whatever I can do to help this teacher" while "my evaluation responsibility come in only when the teacher does not respond professionally to assistance provided." The other respondent used this verbal clarification with the teacher: "Let's stop this conversation for a moment while I clarify my role in this scenario. My proposals are more directive than you are interpreting them to be. . . . It is important...that you hear me out and give these suggestions another formal chance to succeed." That respondent goes on to say that if denial and resistance occur, a written summary is issued, as is a formal "directive to comply with the suggestions."

*DELPHI PROCESS COMMENT: Participants in Delphi-style studies have access to data from the preceeding round of questions. Your assimilation of that data may influence your opinion (in this case, about the degree you would feel a role conflict in this scenario), causing you to change from your originally stated perception. That is perfectly acceptable. You may, of course, also maintain your original position.*

59. To what extent do you agree or disagree with the above consensus statement as a summary of effective approaches usable to manage the summative and formative responsibilities involved in Scenario B? (Place an "x" on the continuum.)

Strongly Agree      Agree      Somewhat Agree      Somewhat Disagree      Disagree      Strongly Disagree

60. Just over half of the respondents felt "very little" or "no" role conflict in this scenario, while just under half felt a "moderate" or "extreme" amount. To help clarify this divergence, please explain (on a separate sheet) your position as instructed in ONE of the following choices:

(a) If you felt a "moderate" or "extreme" amount of role conflict between formative and summative processes in this scenario, describe how and when that would arise in your interactions with the teacher;

*OR*

(b) If you felt "very little" or "no" role conflict in this scenario, explain more about how you perceived your formative and summative evaluation responsibilities in ways which did not create a role conflict for you.

**Round #1 Specific Scenario C:** A primary teacher is experiencing difficulty in presenting developmentally appropriate activities, providing active participation, and managing classroom behavior. She seems to lack a clear understanding of the instructional needs of her students. She does not perceive, however, that the cause of her difficulties is within herself; she attributes lack of student cooperation and progress to the nature of the children in the class. Direct statements by the principal indicating need for improvement are not seen as significant enough for her to pursue changes in her own behavior.

The degree to which respondents felt their roles are in conflict in this scenario:

- a. (3) An extreme amount      c. (4) Very little  
b. (2) A moderate amount      d. (4) None (One respondent marked both "c" & "d".)

***Your responses to question #45, "How do you approach addressing evaluation and supervision issues with a teacher in this situation?"***

Consensus seems to indicate that becoming more formal is appropriate in this situation. Just over half of the respondents (7) indicated that they would do so, letting the teacher know well in advance that lack of evidence of improvement was putting the situation into a summative evaluation mode.

One of these same respondents was among a group of 6 principals who indicated that they would write a plan of assistance for the teacher at this point. Included in the communications with the teacher would be specific timelines within which identified problematic behaviors needed to be changed. Documentation of conversations and observations would be made, with the teacher being required to sign off on each.

Another of the seven respondents who said they would "become more formal" was among a different group of 4 principals who said they would provide formal assistance, but not at the level of a "plan of assistance". Such assistance would include writing an "information plan" to assist the teacher; identifying specific areas on which to focus; providing opportunities to observe capable teachers in her area of weakness; and providing resources such as modeling, peer coaching, data analysis, and/or workshops.

61. To what extent do you agree or disagree with the above consensus statement as a summary of effective approaches to manage the summative and formative responsibilities involved in Scenario C?

Strongly	Agree	Somewhat	Somewhat	Disagree	Strongly
Agree		Agree	Disagree		Disagree

62. Just over half of the respondents felt "very little" or "no" role conflict in this scenario, while just under half felt a "moderate" or "extreme" amount. To help clarify this divergence, please explain (on a separate sheet) your position as instructed in ONE of the following choices:

(a) If you felt a "moderate" or "extreme" amount of role conflict between formative and summative processes in this scenario, describe how and when that would arise in your interactions with the teacher;

**OR**

(b) If you felt "very little" or "no" role conflict in this scenario, explain more about how you perceived your formative and summative evaluation responsibilities in ways which did not create a role conflict for you.

**Round #1 Specific Scenario D:** The entire teaching staff of your school is demonstrating teaching skills which range from the middle to high ranges of competency. Most are eager to learn new strategies and improve existing skills. Although some experience difficulty with particular students, they are open to suggestions and incorporate them into their approaches as appropriate.

The degree to which respondents felt their roles are in conflict in this scenario:

- a. (0) An extreme amount    c. (10) Very little  
b. (0) A moderate amount    d. (3) None

(One respondent marked both "c" and "d".)

***Your responses to question #47, "How do you approach dealing with this staff in terms of evaluation and supervision?"***

The number of respondents commenting was about even for THREE main approaches: (1) six principals elaborated on providing professional growth opportunities, (2) five talked of providing a variety of reinforcements, and (3) five spoke of emphasizing the formative aspects of the evaluation process.

The greatest enumeration of ideas was in the area of providing opportunities for professional growth. "I focus on teacher growth...individualizing and innovating as necessary to meet growth interests of teachers"; the same principal provides the evaluation piece for that growth through the CBAM elements. Another said, "I facilitate getting as many resources as you can get your hands on and that the staff is willing to pursue." Knowing the instructional abilities of teachers was acknowledged as important, but there was much mention of centering on teacher interests (either individually or in teams) and on refining skills. Providing opportunities and time for sharing was noted by several administrators.

Ideas for providing continuous reinforcements both to individuals and to the entire group included promoting the staff by getting them on important district committees, encouraging them to "write up" their successes, involving them in staff development, and observing them in their classrooms so that concrete examples of outstanding teaching could be cited on their summative evaluations. "I tell them via notes, bulletins, announcements, media... how neat they are... We celebrate!" Another gives "lots and lots and ... lots of pats."

Emphasizing the formative aspects of evaluation was mentioned as a means of helping capable teachers continue to grow. One respondent said that emphasizing the formative in the fall "pre-evaluation" conference would set the scene for teachers to pursue growth within the context of their evaluation but without fear of taking risks, because their competence had already been acknowledged. Encouraging good teachers to experiment with new strategies and invite the principal in to observe their efforts allowed the administrator to provide feedback which would result in growth.

63. To what extent do you agree or disagree with the above consensus statement as a summary of effective approaches to manage the summative and formative responsibilities involved in Scenario D?

Strongly	Agree	Somewhat	Somewhat	Disagree	Strongly
Agree		Agree	Disagree		Disagree



## NEW QUESTIONS: PART IV

### PART IV: NEW "ROUND #2" QUESTIONS

I would like you to respond to one additional scenario in order to probe a bit more specifically about where and how role conflict occurs for you and/or about how and why it is not a factor for you. Please explain your formative and summative evaluation approaches in dealing with the following situation. (As in Round #1, feel free to express your ideas in paragraphs, in lists, or just notes.)

**Round #2 Scenario:** When you began as the new principal in Anytown Elementary School at the beginning of this year, you spent a great deal of time getting to know teachers by observing both formally and informally and by conversing with them in a variety of everyday situations. You have carried forward the already established quality staff development opportunities, supporting teachers in their efforts to implement new, more effective teaching strategies.

You have serious concerns, however, about a fourth grade teacher. In reviewing records and through pre-year conversations with the teacher, you learned that he had been transferred from a middle school three years earlier because he was not successful in controlling or teaching adolescents; he was not hesitant to tell you that he still resents having been moved. In observations at the beginning of the year, you saw few skills in classroom management and little use of effective instructional strategies.

In pre-evaluation conferences in early October, you talked with him about strengths and weaknesses you had observed to date and together created a plan on which to work to remedy specific problematic behaviors. To this mid-year date, however, you have seen little or no progress and little effort on his part to work through the plan you both had created.

64. Indicate the degree to which you feel your roles are in conflict in this scenario:
- |   |   |
|---|---|
| a. <input type="checkbox"/> An extreme amount | c. <input type="checkbox"/> Very little |
| b. <input type="checkbox"/> A moderate amount | d. <input type="checkbox"/> None        |
65. How would you approach your evaluation and supervision responsibilities in dealing with this situation? (Write your response on a separate sheet.)
- INCLUDE comments about whether any role conflict between formative and summative responsibilities occurs:
- (a) If it does occur, tell me where and how the conflict occurs.
- (b) If it does not, explain how you perceive your formative and summative responsibilities in ways which do not create a role conflict for you.

- OVER -

**General Questions:**

66. As you consider your formative/summative evaluation roles in general, what are the factors which affect whether or not you feel a role conflict and/ or the factors which affect the intensity of the conflict you feel?
- Add others to this list if you feel them appropriate.
  - THEN PRIORITIZE THE TOTAL LIST, including your own suggestions.
- \_\_\_\_\_ Principal's perceptions of the evaluation processes in general
- \_\_\_\_\_ Principal's perceptions of his responsibilities in the two roles  
(formative evaluation and summative evaluation)
- \_\_\_\_\_ Organizational climate in the school
- \_\_\_\_\_ Number of strengths or deficiencies seen in the teacher
- \_\_\_\_\_ Degree of effort by the teacher to change
- \_\_\_\_\_ Degree of trust between principal and teacher
- \_\_\_\_\_ Principal's interpersonal competencies
- \_\_\_\_\_ Principal's credibility as having "expertise" re effective teaching
- \_\_\_\_\_ Principal's credibility as having "expertise" re content areas  
(e.g. math, music, PE, reading, etc.)
- \_\_\_\_\_
- \_\_\_\_\_
67. (a) What EXPECTATIONS do you feel others have for you as you handle your responsibilities in the summative aspect of the evaluation process? What expectations do you have for yourself in this area?
- (b) What EXPECTATIONS do you feel others have for you as you handle your responsibilities in the formative aspect of the process? What expectations do you have for yourself in this respect? (Use a separate sheet for your answers.)
68. How long did it take you to complete this Round #2 survey? \_\_\_\_\_  
(Participants took an average of 1 hour 40 minutes to complete Round #1.)

**NEXT**

As you have already noticed, I have needed to adjust my original timeline to accommodate some personal and school responsibilities. My predictions about the schedule at this point are as follows:

ROUND II QUESTIONNAIRE:	You receive about <u>February 28.</u>	You mail back by <u>March 13.</u>
ROUND III QUESTIONNAIRE:	You receive about <u>March 29.</u>	You mail back by <u>April 10.</u>
ROUND IV (if needed):	You receive about <u>April 19.</u>	You mail back by <u>April 29.</u>

***THANK YOU AGAIN FOR YOUR TIME, ENERGY, AND EXPERTISE !!***

APPENDIX J

ROUND #3 SURVEY

## RESOLVING THE EVALUATOR/NURTURER ROLE CONFLICT OF THE ELEMENTARY SCHOOL PRINCIPAL

DISSERTATION RESEARCH  
Portland State University 1990-1991  
Judy Taccogna

### ROUND #3 SURVEY

Hello again, everyone! As you will see in the statements summarizing your Round #2 responses, there is a considerable amount of consensus and a great many ideas for accomplishing the summative and formative roles. There are also some questions which have been raised by your responses and some further clarification needed on several points.

This Round #3 Survey, however, will be the last major questionnaire because much consensus is already evident after the second set of questions. Responses requested in this survey are also generally shorter than those necessary in previous rounds. Round #4 will be very brief, relating only to questions 89 and 90 on this current survey.

#### **PURPOSES OF ROUND #3 SURVEY**

Survey #3 is designed to

- (a) obtain final input on prioritizations you began to make in Rounds #1 and #2;
- (b) obtain your thoughts about questions raised by Round #2 responses in order to clarify the group's position on several points;
- (c) determine the degree of consensus on summarizing statements reflecting your responses made in either of the prior rounds; and
- (d) project future practices of administrators.

Please return this survey in the enclosed envelope by  
**WEDNESDAY, APRIL 24.**

**YOUR NAME:** \_\_\_\_\_ (Please print.)

To help you recall the way in which I am defining the terms "summative evaluation" and "formative evaluation" for purposes of this study, I have repeated them here:

**"Summative evaluation"** is the set of processes which address teacher accountability through making judgments about competence. This system provides information for making personnel decisions such as hiring, firing, and granting tenure. To many principals, the general term *evaluation* refers only to this summative aspect of evaluation. The administrator serves in the role of judge and critic.

**"Formative evaluation"** is the set of processes which address the professional development of teachers. To many principals, the term *supervision* refers to these formative aspects of evaluation. The administrator serves in the role of coach and supporter.

## ROUND #2 RESPONSE SUMMARIES & RELATED QUESTIONS

The following information represents your thinking from the first two rounds of questions. It includes:

- (1) your Round #1 responses,
- (2) my summaries of those responses,
- (3) your Round #2 responses showing the extent to which you agreed or disagree with the group positions stated, and
- (4) your prioritizations of various items.

Information is highlighted in the same way that it was in Round #2:

- (a) consensus statements or other groups responses are marked by bold vertical lines at each margin; and
- (b) questions to which you need to respond are enclosed in boxes.

New on this survey are the ***bold, italicized statements*** which introduce each related set of questions and responses. They are designed to help you recall the context in which you originally responded so that you can provide additional information as requested. It is not critical that you remember exactly how you answered on previous rounds; you simply need to give your personal response in relation to where the group now stands.

***In Round #2, you were asked to indicate the degree to which you agreed or disagreed with the following statement, which I believed summarized your responses to the overall issue of role conflict between the evaluator (judge) and supervisor (coach) roles of the elementary principal:***

### **Overall Response**

While a few principals felt a moderate amount of role conflict between the roles of evaluator/judge and supervisor/nurturer, just over half of this group of respondents felt a minimal amount of role conflict. Principals seemed very supportive and nurturing in their approaches to teachers, attempting to find ways to help teachers grow professionally and experience success.

### **Your Round #2 Response:**

All ten\* responses fell within the "strongly agree" to "agree" range.

X X    XX    X    XXXXX

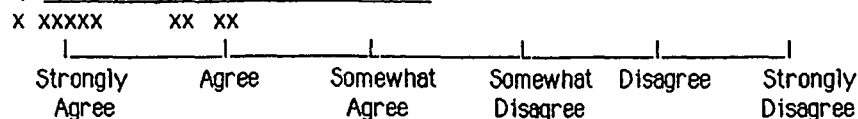
Strongly Agree	Agree	Somewhat Agree	Somewhat Disagree	Disagree	Strongly Disagree

- \* Ten respondents remain in the study: One first-round participant withdrew before completing Round #2 and one did not return the survey for unknown reasons.

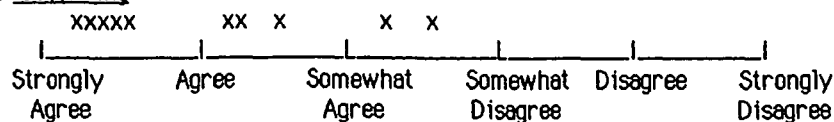
*In Round #2, you were asked to indicate the degree to which you agreed or disagreed with the inclusion of each of these four approaches to accomplishing both the summative and the formative aspects of your role:*

**Your Round #2 Responses:**

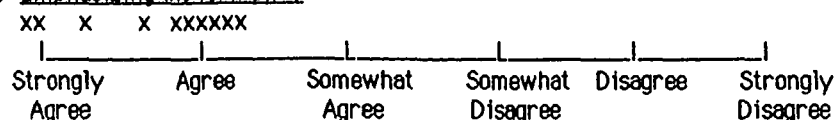
(1) Interacting frequently with teachers



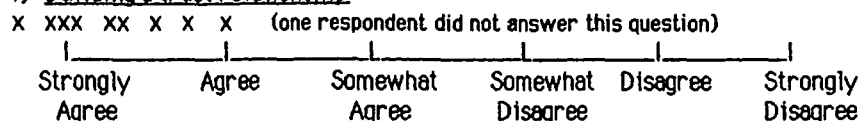
(2) Observing



(3) Emphasizing the formative



(4) Building a trust relationship



*In relation to these same four approaches, you were also asked in Round #2 to rank order them in the order of importance for you.*

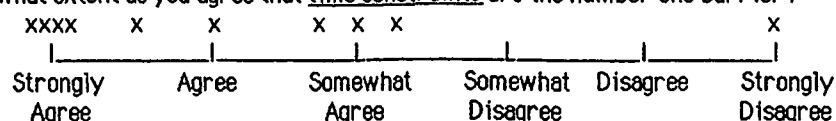
**Your Round #2 Response:**

Interacting with teachers and building a trust relationship were about equal in ranking, with interacting just slightly stronger as your #1 ranked item. Both of these approaches were ranked higher than either observing or emphasizing the formative. So the overall ranking of the four approaches was:

- interacting with teachers
  - building a trust relationship
  - observing
  - emphasizing the formative
- followed at some distance by*

69. You have seen what your colleagues felt about these approaches to summative and formative evaluation. To indicate the extent to which you agree or disagree with the above rank-ordering, please rank order these four again, letting #1 be your highest priority:
- \_\_\_\_\_ Interacting with teachers
  - \_\_\_\_\_ Building a trust relationship
  - \_\_\_\_\_ Observing
  - \_\_\_\_\_ Emphasizing the formative

To what extent do you agree that time constraints are the number one barrier?



As you can see, there was less agreement on this question. One respondent submitted that time is not a barrier because "you control the majority of your time. It (supervision and evaluation) needs to be a priority."

1	Constraints within the teacher
Mid ?	Deficiencies or conflicts within the district evaluation system itself
Mid ?	Teachers' negative perceptions of evaluation systems
Mid ?	Constraints within the administrator
5	Difficulties in communicating

The second, third, and fourth items are marked "Mid ?" because I was unable to tell which was more important than the other from the response pattern; there was a wide divergence of opinion about which of the three should be higher in the rankings. The only items with clear rank orders were the highest (#1) and the lowest (#5).

70. How do you feel about time as a constraint? (Describe your position briefly on a separate sheet.)
71. Time has been included with the other five perceived barriers listed below. Please rank order these once more, according to their importance to you, with #1 being the greatest barrier:
- \_\_\_\_\_ Time constraints
  - \_\_\_\_\_ Constraints within the teacher (e.g. personality factors, rigidity, anxiety)
  - \_\_\_\_\_ Deficiencies or conflicts within the district evaluation system itself
  - \_\_\_\_\_ Teachers' negative perceptions of evaluation systems
  - \_\_\_\_\_ Constraints within the administrator
  - \_\_\_\_\_ Difficulties in communicating

*Two questions in Round #2 dealt with your responses to addressing Scenario A, in which a fifth grade teacher was having difficulty developing a productive rapport with his class. I had summarized your Round #1 responses as indicating that two approaches were predominant:*

- *providing direct, guided assistance*
- *using a progressively more direct approach*

*Two respondents also spoke of needing to clarify the administrative role for the teacher.*

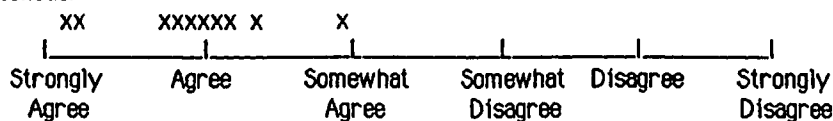
**Question 60 asked you to respond as follows:**

*(a) If you felt a "moderate" or "extreme" amount of role conflict between formative and summative processes in this scenario, describe how and when that would arise in your interactions with the teacher; OR*

*(b) If you felt "very little" or "no" role conflict in this scenario, explain more about how you perceived your formative and summative evaluation responsibilities in ways which did not create a role conflict for you.*

#### **Your Round #2 Responses:**

All respondents agreed to some extent that the above approaches represented consensus.



Responses to Question 60 (see above) produced the following three areas, which were mentioned by several respondents. (Background information: 6 respondents felt "little" or "no" role conflict in the fifth grade scenario; 3 respondents felt "moderate" or "extreme" conflict; one respondents did not answer this question.)

(1) Trust between teacher and principal seemed to be a factor which *reduced* the probability or intensity of role conflict, so a number of respondents seemed to strive to foster that between administrator and staff. All participants who indicated that they had felt a moderate or extreme amount of role conflict in the scenario with the fifth grade teacher agreed that trust was an important element in the relationship with staff.

(2) Those who felt a moderate or extreme amount of role conflict in that scenario also reported that the degree or existence of role conflict depended upon the response of the teacher. When the teacher was argumentative, defensive, unresponsive, or unable to claim the problem, the administrator felt role conflict.

(3) The fact that the two roles are "set and exist" seemed to help reduce conflict. Principals seemed to accept them both as part of performing their roles. Several acknowledged that clarifying each role to teachers helped reduce conflict because teachers could see the distinct functions the administrator was performing.



Place an "x" on each continuum to reflect your position. If you wish to make comments as you answer the following questions, please do so on a separate sheet. If the fact that you feel no role conflict makes it impossible for you to give an opinion on a question, please indicate that in writing above the continuum and omit placing an "x".

72. To what extent do you agree or disagree that trust between a teacher and a principal is a major factor in reducing the probability or intensity of role conflict?

Strongly Agree      Agree      Somewhat Agree      Somewhat Disagree      Disagree      Strongly Disagree

73. To what extent do you agree or disagree that a defensive, argumentative, inflexible response by the teacher creates an increase in role conflict?

Strongly Agree      Agree      Somewhat Agree      Somewhat Disagree      Disagree      Strongly Disagree

74. To what extent do you agree or disagree that your ability to accept the fact that both roles are part of your job description reduces role conflict?

Strongly Agree      Agree      Somewhat Agree      Somewhat Disagree      Disagree      Strongly Disagree

75. To what extent do you agree or disagree that clarifying each role to teachers helps to reduce role conflict?

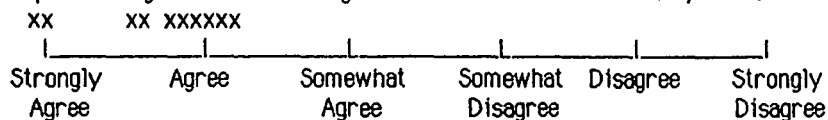
Strongly Agree      Agree      Somewhat Agree      Somewhat Disagree      Disagree      Strongly Disagree

*There were also two questions in Round #2 which related to the original Scenario C, in which a primary teacher had difficulty using developmentally appropriate practices and maintaining good control of the classroom, and attributed lack of success to the nature of the students. Most respondents indicated in Round #1 that they would become more formal; two frequently named approaches to that included writing a plan of assistance and providing formal assistance.*

*One question asked about the extent you agreed with that consensus statement. The other question (#62) asked the same information as did question 60 (see above, page 5).*

**Your Round #2 Responses:**

All respondents agreed that becoming more formal was the action they would take.

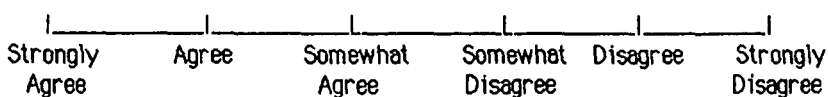


Narrative responses to questions #62 produced the following themes. (Background information: 6 respondents in Round #2 felt "little" or "no" conflict in Scenario C, 3 felt "moderate" or "extreme", and one did not answer this question.)

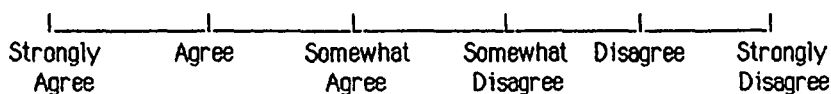
- (1) Four of nine respondents mentioned that for them role conflict is higher when the teacher cannot own his or her own problem.
- (2) A different four of nine respondents noted that relationship factors play an important part in lowering role conflict. Two specifically cited being honest, direct, truthful, and sincere as important qualities; two others cited maintaining trust and respect.
- (3) Four of the nine respondents commented that if the summative and formative roles are clearly explained and are understood by teachers, role conflict is lower.

Again, if you wish to make comments as you answer the following questions, please do so on a separate sheet. If the fact that you feel no role conflict makes it impossible for you to give an opinion on a question, please indicate that in writing above the continuum and omit placing an "x".

76. To what extent do you agree or disagree that role conflict is higher when the teacher cannot own the problem?



77. To what extent do you agree or disagree that relationship factors play a part in increasing or reducing role conflict?



78. To what extent do you agree or disagree that clear explanations by the principal and clear understandings by the teacher of the responsibilities in each (summative and formative) evaluation role reduce role conflict?

\_\_\_\_\_  
 Strongly Agree      Agree      Somewhat Agree      Somewhat Disagree      Disagree      Strongly Disagree

79. One respondent commented that "If more intense methods show less than adequate improvement, I will move into the summative mode." To clarify the definition of "summative" evaluation which you use in practice, place an "S" in front of any item you view as part of the summative process and an "F" in front of any item you view as a formative process. You may write both an "S" and "F" if you wish.

\_\_\_\_\_ Year-end evaluations  
 \_\_\_\_\_ Formal observations, required by the district evaluation process  
 \_\_\_\_\_ A plan of assistance  
 \_\_\_\_\_ Informal, drop-in observations  
 \_\_\_\_\_ Informal conferences or discussions with the teacher  
 \_\_\_\_\_ Provision of inservice or workshop opportunities  
 \_\_\_\_\_ Peer coaching  
 \_\_\_\_\_ Other \_\_\_\_\_  
 \_\_\_\_\_ Other \_\_\_\_\_  
 \_\_\_\_\_ Other \_\_\_\_\_

80. To clarify the definition further, please comment about the point at which you enter a summative evaluation relationship with a teacher (when does that occur?).

81. How do you view the entire summative and formative evaluation process?
- ☐ As a formative process
  - ☐ As a summative process
  - ☐ As two separate processes
  - ☐ As one process
- Why? Please explain.

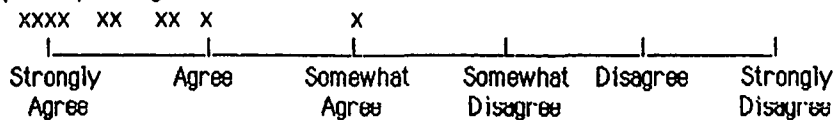
**Round #1 Scenario D described a strong staff of "stars" and asked how you would address your formative and summative responsibilities with them. Three main approaches were suggested:**

- (1) providing professional growth opportunities,**
- (2) providing a variety of reinforcements, and**
- (3) emphasizing the formative aspects of the evaluation process.**

**Question #63 asked about the extent to which you agreed or disagreed with the consensus statement which summarized these three approaches:**

**Your Round #2 Response:**

All participants agreed with the statement to the extent shown below:



***A new scenario was proposed in Round #2, dealing with a fourth-grade teacher who had recently been transferred from a middle school due to problematic teaching behaviors there. He still resents having been moved and, although a plan to help him has been jointly created, little or no progress or effort on his part has been seen. One question asked about the degree of role conflict you felt in this scenario; the other asked how you would approach summative and formative evaluation with this individual.***

### **Your Round #2 Responses:**

Respondents felt the following degrees of role conflict:

- a. (0) An extreme amount                      c. (6) Very little  
b. (3) A moderate amount                    d. (0) None
- (One participant did not respond to this question.)

The following approaches were suggested to address evaluation responsibilities in this scenario:

- Write a plan of assistance (5)
- Share perceptions of lack of progress and move to a more formal level (4)
- Follow a step-by-step process toward small, incremental goals (3)
- Try to effect change in the teacher (2)
- Increase classroom observations (2)
- Provide assistance (2)
- Assess willingness of teacher to grow and change (1)
- Assess the possibility of a interschool transfer (1)
- Assess the chance for successful dismissal of the teacher (1)
- Use a mentor to assist teacher's learning (1)
- Clarify roles (summative and formative) (1)

The following comments were included in response to questions about

- how and where role conflict occurs in that process of addressing evaluation responsibilities and
- strategies which allow principals to manage the roles in ways which do not create conflict for them;

(1) Seven respondents felt they would increase the level of summative evaluation activities in this scenario; for three of those, that created an increase in role conflict.

(2) Six respondents view summative and formative evaluation on a single continuum, which helps them mesh the two roles together successfully. However, three of those six respondents also feel an increase in role conflict when they begin summative activities.

(3) Several strategies were suggested as being successful in keeping role conflict at lower levels in this scenario:

- Keep communications open (4)
- Provide a step-by-step process for improvement (4)
- Move to summative activities and a plan of assistance when appropriate (3)
- Use a mentor other than yourself (1)

83. These four strategies were proposed as ways to keep role conflict at lower levels while addressing summative and formative evaluation responsibilities in the above scenario:

- \_\_\_\_\_ a. Keep communications open.
- \_\_\_\_\_ b. Provide a step-by-step process for improvement
- \_\_\_\_\_ c. Move to summative activities and a plan of assistance when appropriate.
- \_\_\_\_\_ d. Use a mentor other than yourself.
- \_\_\_\_\_ e. \_\_\_\_\_
- \_\_\_\_\_ f. \_\_\_\_\_
- \_\_\_\_\_ g. \_\_\_\_\_

Please add to the list other strategies you feel should be there.  
THEN PRIORITIZE YOUR COMPLETE LIST.

84. Record the number of occasions on which you have been involved with each of the following situations. (Although the circumstances within a single case might involve several of these situations, records the case only ONE time -- in the description which comes closest to the most serious level of action.)

- \_\_\_\_\_ a. You were actively involved as the administrator in the dismissal of a teacher.
- \_\_\_\_\_ b. You have put a teacher on a plan of assistance.
- \_\_\_\_\_ c. You have suggested to a teacher that a plan of assistance would be the next step.
- \_\_\_\_\_ d. You have considered the possible need for putting the teacher on a plan of assistance but have not actually shared that information with the teacher.
- \_\_\_\_\_ e. You have become very direct with and have increased pressure upon a teacher in order to move him/her toward change.

*One of the last questions on Round #2 involved your prioritizing the factors which affect whether or not you feel role conflict and/or which affect the intensity of the conflict.*

**Your Round #2 Responses:**

I originally suggested nine factors. The following list shows the five factors on which respondents showed some degree of consensus. (The one which was ranked highest is shown as #1.)

- 1 Degree of trust between principal and teacher
  - 2 Number of strengths or deficiencies seen in the teacher
  - 3.5\* Organizational climate in the school
  - 3.5\* Principal's credibility as having "expertise" re effective teaching
  - 5 Principal's credibility as having "expertise" re content areas (e.g., math, music, PE, reading, etc.)
- (\* Tied for third place.)

Respondents also added several new factors:

- (a) Years in the building
- (b) Trust by the staff as a whole
- (c) Time necessary for summative evaluations
- (d) Principal's perception of role as one addressing students first through staff
- (e) Teacher's acceptance of self as part of problem and solution
- (f) Credibility of principal with secondary training

85. Please indicate your personal rank order for the five items which showed the greatest amount of consensus in Round #2, using #1 for the factor you feel is the most important in determining whether role conflict exists or how intense the conflict is.

- \_\_\_\_\_ Degree of trust between principal and teacher
- \_\_\_\_\_ Number of strengths or deficiencies seen in the teacher
- \_\_\_\_\_ Organizational climate in the school
- \_\_\_\_\_ Principal's credibility as having "expertise" re effective teaching
- \_\_\_\_\_ Principal's credibility as having "expertise" in content areas

86. If you feel any of the other originally suggested factors (listed below in question 86) or any of the suggestions from respondents belong in this list of the top five factors, write that factor(s) here:

\_\_\_\_\_

87. The other originally suggested factors were these:
- \_\_\_\_\_ Principal's perceptions of the evaluation processes in general
  - \_\_\_\_\_ Principal's perceptions of his responsibilities in the two roles  
(formative evaluation and summative evaluation)
  - \_\_\_\_\_ Degree of effort by the teacher to change
  - \_\_\_\_\_ Principal's interpersonal competencies

The respondents' suggestions were these:

- \_\_\_\_\_ Years in the building
- \_\_\_\_\_ Trust by the staff as a whole
- \_\_\_\_\_ Time necessary for summative evaluations
- \_\_\_\_\_ Principal's perception of role as one addressing students first  
through staff
- \_\_\_\_\_ Teacher's acceptance of self as part of problem and solution
- \_\_\_\_\_ Credibility of principal with secondary training

Combining these into one list, rank order them (using #1 as your most important factor) within this combined listing. Cross out any item you rewrote into question #86.

***Round #2 asked you about the expectations you feel others have for you and that you have for yourself in your summative and formative evaluation roles. Your responses are included within the questions which follow.***

88. The responses which follow are those you submitted as expectations you feel **others** have for you in your **SUMMATIVE** role. Circle the **TWO** expectations that you feel most strongly. (Numbers in parentheses after each item indicate that an item was suggested by the group of respondents more than once.)

Be honest (2)  
Communicate subjective and objective decisions  
Communicate in a reasonable length of time  
Be exact and specific in feedback to teachers  
Never be neutral  
Recognize good or bad teachers (3)  
Be fair and accurate (2)  
Recognize abilities of teachers  
Make judgments based on observation of performance  
Weed out bad teachers; refuse to accept incompetence (3)

Provide opportunities for growth and change (2)  
Reward good teachers  
Know people, human nature  
Be direct but caring and empathetic  
Be accessible  
Know and follow district/state evaluation system protocol (4)  
Know students and their needs, and whether they are being met  
Possess the skills to recognize quality teaching or poor teaching  
Emphasize summative evaluation  
Find the best people

89. The responses which follow are those you submitted as expectations you feel **your have for yourself** in your **SUMMATIVE** role. Circle the **TWO** expectations that you feel most strongly. (Numbers in parentheses after each item indicate that an item was suggested by the group of respondents more than once.)

Communicate subjective and objective decisions  
Possess effective communication skills  
Communicate to staff about goals, research and effective instruction  
Be a good listener  
Communicate accurately  
Be specific in summative evaluations  
See that each teacher has a fair evaluation  
Weed out bad teachers; refuse to accept incompetence (2)  
Possess skills in human relations

Be encouraging and supportive  
Know and follow district/state evaluation system protocol (3)  
Recognize quality teaching or incompetence (2)  
Maintain my professional knowledge  
Maintain a sense of perspective about the evaluation system to that it is not perceived as a "witch hunt"  
Find the best people  
Focus on the formative, with the knowledge that summative is also important

90. The responses which follow are those you submitted as expectations you feel **others** have for you in your **FORMATIVE** role. Circle the **TWO** expectations that you feel most strongly. (Numbers in parentheses after each item indicate that an item was suggested by the group of respondents more than once.)

Visit classrooms (3)  
Communicate with teachers and give feedback  
Communicate well  
Know the traumas teachers are enduring  
Listen to frustrations  
Be able to diagnose inadequacies  
Be able to recognize all abilities of teachers  
Never be neutral  
Provide help for all teachers (strategies, programs, resources, materials) (3)  
Inspire self-actualized learning

Provide methods to address inadequacies  
Support change with presence and resources  
Control amount of teacher release time which keeps staff out of classrooms  
Use formative process to keep implementation of strategies or curricula moving forward  
Possess good human relations skills  
Diagnose teaching behaviors, inadequacies, strengths (3)  
Know what is going on in classes, changes being made, traumas being endured

91. The responses which follow are those you submitted as expectations you feel **your have for yourself** in your **FORMATIVE** role. Circle the **TWO** expectations that you feel most strongly. (Numbers in parentheses after each item indicate that an item was suggested by the group of respondents more than once.)



Communicate accurately and honestly (3)	Gain trust of all staff regardless of teacher competence
Communicate well	Possess good human relations skills
Observe more in classroom and give feedback more frequently	Be able to do all that others require of the role (3)
Recognize strengths and inadequacies (2)	Give exact, specific, honest feedback
Provide resources for teachers (2)	Spend time doing staff development to provide a role model for use of strategies
Encourage teacher leadership and expertise so that others can be part of the formative process and be resources for their peers	Maintain a broad enough view of professional growth so that both individual and schools needs are met
Be helpful, encouraging and supportive	Continue to develop personal repertoire of formative skills
Be accessible as a resource	

*One of the original purposes of my study was to determine what the thinking of practicing elementary principals is in relation to the directions our profession should be going in the areas of summative and formative evaluation.*

92. What practices do you believe should be the priority ones which should be incorporated in the future into the repertoires of administrators in order to preclude or reduce role conflict between summative and formative roles? (Please use a separate sheet of paper.)
93. What trends do you predict for the future in the field of supervision and evaluation? (Please use a separate sheet of paper.)
94. To complete the demographics of my study, I would appreciate your indicating your ethnic background:
- |  |  |
|--|--|
| a. <input type="checkbox"/> White (not of Hispanic origin) | d. <input type="checkbox"/> Asian/Pacific Islander         |
| b. <input type="checkbox"/> Black (not of Hispanic origin) | e. <input type="checkbox"/> American Indian/Alaskan Native |
| c. <input type="checkbox"/> Hispanic                       | f. <input type="checkbox"/> Other _____                    |
95. How long did it take you to complete this survey? \_\_\_\_\_  
(Average time for Round #2 was 61 minutes.)

**NEXT:** I am very indebted to you for your contributions of time and energy to my project!! I am scheduled to defend my dissertation in June and graduate in August. This fall, I will condense information into a format which might be useable and interesting to you and will send you a copy of the complete results. I have also indicated to your superintendent that I would send the same to him or her as well. I shall be in contact with you once again if I need to complete the prioritizations on questions 92 and 93. Then I hope to meet you along the way ... to share more impressions ... lunch ... or coffee! In the meantime, I thank you very much for your help!!

APPENDIX K

ROUND #4 SURVEY

## RESOLVING THE EVALUATOR/NURTURER ROLE CONFLICT OF THE ELEMENTARY SCHOOL PRINCIPAL

DISSERTATION RESEARCH  
Portland State University 1990-1991  
Judy Taccogna

### ROUND #4 SURVEY

#### PURPOSE OF ROUND #4 SURVEY

My last two requests !! In questions 92 and 93 of Round #3, you made some suggestions about priority practices you thought administrators of the future should be able to do and about trends you saw emerging in the field of supervision and evaluation. I now need to let you all know what your ideas were and to ask you to **PRIORITIZE** the thoughts of the entire group.

I would appreciate it very much if you could  
return this survey on a shorter than usual timeline ... by  
**MONDAY, MAY 13.**

**YOUR NAME:** \_\_\_\_\_ (Please print.)

#### *Your Round #3 Responses to Question 92 re Priority Practices*

*The question was: "What practices do you believe should be the priority ones which should be incorporated in the future into the repertoires of administrators in order to preclude or reduce role conflict between summative and formative roles?"*

96. All of the bulleted items below are the ideas you submitted. I have put them into the categories (printed in outline capital letters). Please rank order the categories, using # 1 for the category of practice in which you feel it would be most important for a future administrator to possess strong skills in order to preclude or reduce role conflict between summative and formative evaluation roles.

(a) The numeral in parenthesis after each of my category titles shows the number of specific contributions made in this category; some respondents made the same suggestion as another respondent or they made several suggestions within the same category.

(b) The smaller number outside the parentheses shows the number of different respondents who mentioned an item in that category; this would show you how strong that category was among all of the participants.

#### \_\_\_\_\_ **COMMUNICATIONS (9) 5**

- Possess and use good oral & written communication skills
- Provide open communication
- Have many informal interactions with staff
- Possess and use empathy and strong people skills

- Show concern for staff, in and out of classroom
- Be visible to staff, parents, students
- Provide feedback frequently, positively and in a variety of ways
- Provide a menu of observation/data collection techniques to meet teacher needs

#### \_\_\_\_\_ **SUPERVISORY LEADERSHIP (7) 4**

- Possess skills for working with staff through peer coaching
- Promote peer coaching
- Spend time talking about and researching the best practices ourselves; be critiqued on what we do
- Be the "first line of supervision" for the staff
- Possess skills in working with summative and formative roles
- Have knowledge of teaching strengths and weaknesses
- Possess skills in clinical supervision

#### \_\_\_\_\_ **INSTRUCTIONAL LEADERSHIP (5) 4**

- Be the instructional leader of the building (knowledgeable in curriculum and instruction)
- Model good instructional practices
- Lead by example
- Learn and practice with teachers
- Know new or innovative strategies and techniques so you have alternatives to recommend to staff

#### \_\_\_\_\_ **TRUST BUILDING (5) 4**

- Take time to develop trust
- Build a trust relationship
- Be part of the staff
- Recognize teacher leadership, creating an educational team ... reducing the hierarchy ... (and the) role conflict

#### \_\_\_\_\_ **OBJECTIVITY (4) 3**

- Know your own position
- Have the ability to stay objective
- Provide appropriate ground work to prevent role conflict
- Make the evaluation (summative) system include more objective analysis and be more "closed" (rather than "general and subjective"); respondent felt little support "through the process of my intuitive evaluation of individuals. Whether my evaluations will support the teacher or identify problems is determined intuitively rather than through the data gathering system."

#### \_\_\_\_\_ **EVALUATIVE LEADERSHIP (3) 3**

- Possess skills in working with summative and formative roles
- Have knowledge of district/state evaluation procedures
- Maintain or increase the required number of formal observations (to maintain the level of priority of the task)

**Your Round #3 Responses to Question 94 re Trends:**

***The question was: "What trends do you predict for the future in the field of supervision and evaluation?"***

97. All of the bulleted items below are the ideas you submitted. I have put them into the categories printed in outline capital letters. Please rank order the categories, using #1 with the category of trend which you feel is the most likely to materialize.

(a) The numeral in parenthesis after each of my category titles shows the number of specific contributions made in this category; some respondents made the same suggestion as another respondent or made several suggestions within the same category.

(b) The smaller number outside the parentheses shows the number of different respondents who mentioned an item in that category; this would show you how strong that category was among all of the participants.

\_\_\_\_\_ **GREATER USE OF PEERS (7) 5**

- More peer coaching
- More peer evaluation
- Growth of state mentor program
- Peer evaluation will be implemented to "help reject or support the administrative assessment"... making it "become a much more meaningful and useful process"
- A differentiated model of supervision so we can look at levels of expertise, need, training and experience as factors that help us determine levels and types of supervision
- Teaching working in groups on performance goals directed toward curriculum integration and cooperative learning

\_\_\_\_\_ **TIGHTER ACCOUNTABILITY SYSTEMS (4) 3**

- Teachers setting measurable goals and being held accountable for attaining them
- A much more specific accountability system will emerge
- Unfortunately ... teacher evaluation based on student achievement outcomes

\_\_\_\_\_ **MORE PRESSURE TO ELIMINATE INCOMPETENCE (3) 3**

- Parental/business pressure to eliminate weak/incompetent staff will increase
- A much more specific accountability system will emerge
- Unfortunately ... teacher evaluation based on student achievement outcomes

\_\_\_\_\_ **REDUCTION IN SUMMATIVE ROLE (3) 3**

- Summative every other year for teachers who exceed standards
- More time being the "coach"
- A much closer working relationship between principal and teacher

\_\_\_\_\_ **STRONGER PRINCIPAL/TEACHER RELATIONSHIPS (2) 2**

- More time being the "coach"
- A much closer working relationship between principal and teacher

\_\_\_\_\_ **BROADENING OF CONTENT AND METHODS (2) 2**

- Teachers setting measurable goals and being held accountable for attaining them
- Greater use of technology for data collection

\_\_\_\_\_ **INCREASE IN SUMMATIVE/FORMATIVE ROLE CONFLICT(1) 1**

- An increase in the conflict between the two roles ... due to the increasing challenge in maintaining morale of staff and in meeting needs of students

\_\_\_\_\_ **LESS ADMINISTRATIVE SUPPORT (1) 1**

- A widening gap between theory/philosophy and actual practice (e.g. ideas such as "differentiated staffing, staff development specialists, assistant administrators will be spoken to, but financial constraints will not allow for implementation ... without some sort of pseudo-administrative coordination, it will be difficult ... [for these ideas] to be sustained."

98. Now that you have prioritized all items in question 97, reevaluate the categories of trends to determine whether you believe the trend will actually materialize. List here any trend(s) that you do NOT feel will actually take place:

---



---

99. How long did it take you to complete this survey? \_\_\_\_\_  
(Average time for Round #3 was 64 minutes, among the six respondents who provided information on this.)

100. YOUR COMMENTS: If you wish to comment on how I have categorized anything or how I interpreted your last suggestion in order to categorize it, please add your comments here or on a separate sheet.

**AGAIN, THANK YOU SO MUCH  
FOR ALL OF YOUR WORK ON MY PROJECT THIS YEAR !**