

CHAPTER II

REVIEW OF RELATED LITERATURE AND STUDIES

Much has already been written about the principalship. In fact, a body of specialized knowledge has gradually accumulated through the experiences of successful principals. In recent years, the principalship has been the focus of widespread attention and well-financed research. It is well to describe these undertakings as a trenchant thrust in a profession that is struggling to mature. Since the principalship is a broad subject, this review mainly deals with the principal's key position in the education milieu, the skills, competencies, and performance requirements for the position, and the necessity of principal evaluation.

The Principal's Need for Evaluation

The school principal is considered by Gentry and Kenney as a hybrid executive with a diversity of demands made on his time and that his efficiency in performing his duties is the criterion by which his success as an administrator is measured by his superiors, by the lay public, and particularly by his own teachers.¹

¹ Harold W. Gentry and James B. Kenney, "The Performance of School Principals as Evaluated by Principals and Teachers," Journal of Educational Research, LX, 20 (1966), 62.

Wiles considers the principal's need for evaluation as both personal and professional. Although self-evaluation is very important, the principal must also obtain the judgment of others in determining the revisions he will make in his procedure.²

Pederson mentions Halpin who states that the problem of determining administrative effectiveness is primarily that of developing suitable criteria of effectiveness. Further he notes that the evaluation of administrative effectiveness depends upon the expectations, perceptions, needs, and frame of reference of the different referent groups.³

Moresch in dealing with the importance of evaluation in his book stressed the following guidelines or principles for its effectiveness: (1) comprehensive, (2) correlated with planning, (3) has validity, reliability, objectivity, practicality, and appropriateness, (4) flexible, (5) participative and cooperative, (6) dynamic or creative.⁴

² Kimbal Wiles, Supervision for Better Schools (Englewood Clipp, New Jersey: Prentice Hall, 1953), p. 315.

³ Monroe Pederson. "Effective and Ineffective Actions of the High School Principal," Journal of Secondary Education, (XLV, 6 (October 1970), p. 260.

⁴ Angelo Moresch, Aministracione delle scuole (LAS, Rome,)p,65.

The Educational Research Service (ERS) Circular # 6, 1971 was a result of a survey on the purposes of evaluation of administrative/supervisory personnel. The survey turned out the following results with the number of school system reporting:

| <u>Purposes</u> | <u>Number of Systems reporting</u> |
|---|--|
| 1. Identify areas needing improvement | 77 |
| 2. Assess present performance according to prescribed standards | 70 |
| 3. Establish evidence for dismissal | 60 |
| 4. Help evaluate established relevant performance goals | 60 |
| 5. Have records to determine qualification for promotion | 55 |
| 6. Determine qualifications for permanent status | 35 |
| 7. Determine qualifications for salary increments | 9 |
| 8. Comply with Board policy | 8 |
| 9. Determine qualifications for merit pay | 3 |
| 10. Comply with state law/regulations | 3 |
| 11. Point out strengths | 2 |

Appraisal, it points out, is a means not an end in itself. It should motivate both self-improvement and help from superiors so that quantitative and qualitative performance effectiveness may occur.⁵

⁵ Educational Research Service, "Evaluating Administrative Supervisory Performance" (ERIC Document), ED 058 155.

Requirements, Skills and Competencies of the Principalship

In exploring the principalship, several studies reveal that there are common requirements, competencies, skills, and behaviors needed for assuring success in the position. They also point to the fact that as they key person in the improvement of educational opportunities for school children, the principal must possess an accumulation of tested facts, skills, and an abundance of relevant theories and principles. Others deal with the identification of areas of performance or competence very vital to the principal.

Pederson for one, shows that the most frequently (48 per cent) Identified effective behavior of the high school principal according to students are those acts in which the principal lavishes friendship, humor, courtesy, consideration, sincerity, praise, encouragement, interest, and support of pupils and faculty in all phases of the school program.⁶

Smith's study in analyzing and synthesizing the findings of twenty-six studies came up with a comprehensive description of the effective and ineffective behavior of the school principals. The results show the effective behaviors as follows: (1) develop positive relations with supervisors and the board of education; (2) work and plan cooperatively with their staff; (3) facilitates mutual communication and understanding between the home and the school, (4) stimulate personal and professional growth and development of their staffs; (5) develop emotional climates

6

Pederson, "Effective and Ineffective Actions," p. 260.

with in their school which foster security and self respect for the staff members; (6) support teachers; (7) incorporate the combined judgments of those available and those concerned with effective action; (8) conduct themselves in a professional manner; (9) build organization unity and cooperation within their staffs, (10) work toward the continuous development and improvement of the educational program; (11) promote working relations with patrons and community organizations; (12) provide instructional leadership in their schools; (13) demonstrate competence and administrative abilities in school administration; (14) maintain desirable student behavior patterns and resolve individual and group discipline problems; and (15) relate successfully to students.⁷

Brandt assumes that every administrator wants to succeed. The path of success is not an easy one, he says, yet there are qualities which could help administrators achieve success. These include sincerity, empathy, inspiration, and a basic respect for people. These qualities if not innate, should be developed for greater success in relating with teachers and students.⁸

⁷ Harold Smith, "The Effective and Ineffective Behaviors of Principals" (unpublished Doctoral dissertation, Dissertation Abstract International, Ann Harbor, Michigan: Xerox University Films, XXXV, 4, Oct., 1974), p. 1935 A.

⁸ Robert Brandt, "Administrator Attributes for Success," NAASP Bulletin, November, 1973, pp. 37 - 39.

Franset in an article concludes that teachers do not consider supervisors who do not show interest in people and who are not able to foster desirable productive relations very useful.

The desirable qualities he mentions are: (1) they are democratic; (2) they are more people-oriented than task-oriented; (3) they can see situations as others do; (4) they practice group-centered leadership; (5) they are well informed; (6) they have a scientific attitude; (7) they help others use energy creatively.⁹

Cubberly, in writing on what a school administrator should be, brings home the point that

He must be clean both in person and mind; he must be temperate, both in speech and art; he must be honest and square, and he must be possessed of a high sense of personal honor. But he must also be more than the executive officer of the Board of Education. He must be a man of affairs, possessed of good common and business sense, and good at getting work out of other people, but keeping himself as far as possible from routine services so as to have time to observe, to study to think, to plan, to advise, to guide and to lead.¹⁰

⁹ James Franset, The Modern Teacher (U.S. Office of Education), XXI, 3 (September, 1972), 166.

¹⁰ Elwood Cubberly, Public School Administration (Boston: Houghton Mifflin, 1961), p. 29.

In a study of the opinions concerning supervisory and administrative activities and traits of principals and teachers of Regensburg, Furnrohr recommended the following: (1) Principals should always encourage potential leaders to progress; (2) Teachers should always encourage potential leaders to enrich their background; (3) Teachers should be given the chance to participate in the improvement of the educational program; (4) Attending seminars and workshop and encouraging further studies are preferred as encouragement to enrich professional growth; (5) Principals should be broad-minded enough to accept criticism, or reasons advanced by teachers to defend themselves.¹¹

Jacobson and others find it is very important that the principal possess good health and that he is free from physical deformities and defects in speech or hearing.¹²

It can always contend that education is a distinct and delicate field. Hence, in a school the administrator's effectiveness has to be maximized. This includes his personal effectiveness as an educational manager. Donnelly, Gibson, and Ivancevich in identifying two qualitative pre-requisites in selecting capable managers state that:

A manager must have a history of striving for personal betterment and a high level of energy/drive/motivation for application to the problems he faces.

¹¹ Heinrich Furnrohr, Supervisory and Administrative Traits, (Hoeder, Regensburg 1978) p. 80.

¹² Jacobson, et al., The Effective Principal, p. 509.

Second, an effective manager must have a high fund of experience. He must have seen life and business (education) from a variety of perspectives. ¹³

Concluding, the authors stated: " It is the bright, well-educated, highly motivated, committed self-starter who is the odds-on favorite as the future manager, and the more of these qualities he possesses in abundance, the more likely he is to advance. ¹⁴

Managers behave purposively, and Besset contends that managers fail not from the lack of drive or energy but from a sheer lack of useful behavior patterns. He stresses that managers must develop and practice proficiency in many or most of the following trait actions if he intends to stay in the race: (1) relating to individuals; (2) relating to the organization as a whole; (3) controlling the technical aspects of the job; (4) solving problems; (5) setting priorities; (6) recognizing motivational cues in the behavior of others; (7) dealing with emotional situations; (8) handling of his emotions and being objective when necessary; (9) supporting other members of the organization when required; (10) managing conflict; (11) negotiating effectively; and (12) synthesizing styles and skills into an integrated whole. ¹⁵

¹³ James Donnelly, James Gibson, and John Ivancevich, Fundamentals of Management, Selected Readings (rev. ed. ; Dallas, Texas: Business Pub., Inc., 1975), p. 206.

¹⁴ Ibid.

¹⁵ Glenn A. Besset, Management Style in Transition (New York: American Management Association, Inc., Book Press Inc., 1966), p.196.

Gaynor recapitulating his article on performance criteria in administrative behavior of principals listed the most vital point as:

1. The effective principal maintains effective communication with information sources concerning a wide range of perspectives on the school.
2. The effective principal builds trust in widely diverse constituencies, trust which increases the validity of the information he is able to collect and the accuracy with which he can assess needs and define potential problems well in advance of crises.
3. The effective principal builds his own future vision in a continuous exchange between his own personal values and the perspectives of others as they are communicated to him.
4. The effective principal stimulates structures through which multiple perspectives are continuously channeled, needs are assessed, and problems are defined, and through which action is continuously taken to achieve the organization's vision of the future.
5. The effective principal works primarily to build an organization which defines and works toward long range goals.¹⁶

16

Allan K. Geynor, "Preparing the Organization for Effective Response," In Performance Objective for Principals, Chapter III, by Culbertson, et al., p. 63.

Stanley on the quality of tomorrow's administrator, states that he is expected to be a recognized scholar, a competent teacher, a natural leader, a dynamic expert in human relations, and an individual who has sensitivity, imagination, and courage, as he relates the educational program to the school milieu. On his capabilities rest the performance of the school faculty and their disposition to accept and initiate experimental change to achieve new horizons of teaching and learning that lead to quality education. ¹⁷

De Vaughn, working for the Mississippi Educational Service Center identifies fourteen standards which should be included in an evaluation instrument for administrators. The standards stated in behavioral terms are: (1) directs a major portion of his time toward improving instruction; (2) demonstrates knowledge in general education and his specialty adequate to his role as an educational leader; (3) plans well; (4) organizes his work well and assists others to organizational tasks in an effective manner; (5) gives evidence of originating and developing constructive ideas; (6) shares the decision-making role with his staff; (7) understands the dual role of the administration, that of leader and executive, and does not confuse the two, while recognizing that both roles obviously often blend together in a given problem; (8) communicates decisions to all concerned; (9) supervises the ancillary or auxiliary services with effectiveness; (10) realizes the importance of student participation

17

William W. Stanley, Educational Administration in the Elementary School - Task and Challenge (New York: Holt and Pinehart and Winston, 1964), p. 144.

in leadership and decision making; (11) arrange in-service experiences for his staff members as needs become apparent; (12) with the staff initiates budget-planning, projection of enrollment and nature of pupil population, and assessment of school-program needs, support-service needs, and resulting personnel requirements; (13) with the staff, plans means of maintaining open communication with the "Publics" of the school; (14) evaluates staff members individually each year and makes firm recommendations.¹⁸

Categories or Dimensions of Principal Performance

Principals assume different roles or at least are expected by those around them to perform different roles. It is best that these roles be examined because the proposed method will identify areas or dimensions where the principal's performance is considered vital and critical.

Ruiz considers the role of the high school principal as that of a : (1) communicator, (2) coordinator, and (3) instructional leader, while that of the grade school principal as: (1) organizer, (2) morale builder, and (3) civic leader.¹⁹

¹⁸ Everette de Vaughn, " Making Evaluation Effective " (ERIC Document), September, 1971, ED 058 612.

¹⁹ Macario Ruiz, Foundation of Administration and Supervision for Philippine Schools (Manila : Abiva Publishing Company, 1972) p. 277 - 278.

Deweke formulated the PEEL (Performance Evaluation of Educational Leader) definition and came up with seven areas of administrative competence. The areas include (1) leader and director of educational program, (2) coordinator of guidance and special education, (3) member of the district and school staff, (4) link between school and community, (5) administrator of personnel, (6) member of a profession, and (7) director of support management. The instrument consisted of 212 behavioral evidences or trait-actions. The instrument, Deweke stresses, is not intended for use in "emphasizing conformity to singular patterns of behavior. To be competent, the principal like the truly cultured person must set his own style. The unique abilities and personalities of principals will determine the approach to their responsibilities ... The areas mentioned, though seeking to describe basic factors that contribute to the principal's competence, purposely encourage a kind of unity in diversity."²⁰

The findings of a large scale research project called "Determination of the Criteria of Success in School Administration" (DCS) were published in June, 1962, under the title Administrative Performance and Personality. The study, which was centered at Teachers' College, represents a most comprehensive examination of the administrative behavior of elementary school principals now available. The study was based on a national sample of 232 principals and had three main purposes:

20

Howard J. Deweke, "Guidelines for Evaluation: The School Principalship-Seven Areas of Competence" (ERIC) Document, 1971), ED 057 479.

1. To determine dimensions of performance in the elementary school principalship, and thus to develop a better understanding of the nature of the job of the school administrator.
2. To provide information helpful in the solution of the problem of selecting school administrators.
3. To provide materials for the study and teaching of school administration.

In this study, eight factors or dimensions were discovered which have an apparent bearing on the principalship: Factor A, exchanging information; Factor B, discussing with others before acting; Factor C, complying with suggestions made by others; Factor D, analysing the situation; Factor E, maintaining organizational relationships; Factor F, responding to outsiders; Factor G, directing the work of others.

In addition, there are two secondary factors: Factor X, preparing for decision, and Factor Y, amount of work.²¹

21

John K. Hemphill, Daniel Griffiths, and Norman Frederickson, "Administrative Performance and Personality: A study of the Principal in a Stimulated Elementary School" (New York: Bureau of Publications, Teachers' College, Columbia University, 1962), as mentioned by Paul B. Jacobson, William K. Heavis, and James D. Logsdon, The Effective Principal (New Jersey: Prentice Hall, Inc., 2nd ed., 1963) pp. 501 - 506.

Rosenberg enumerates a 100 statement-checklist for the teachers to evaluate principals effectiveness. These statements fall under eight general headings with corresponding behavioral evidences: school organization-seventeen; instructional program-fifteen; relationship with students-fourteen; relationship with staff members-seventeen; relations with the community-fourteen; relation with central administration and other school units-six; plants and faculties-seven, and other management matters-ten. The instrument considers that the principal's total function is to coordinate and integrate the elements of instruction to provide the finest possible educational opportunities for all the children who attend the school. ²²

Savoie using the same premise but employing the Critical Incident Method, arrived at Critical Requirements of the Principalship. This includes incidents reported by public elementary school teachers in Canada and contains the following categories: (1) building community interest and support, (2) administering school personnel, (3) demonstrating personal effectiveness, (4) improving instruction, and (5) handling administrative functions. There were eighteen subcategories in all and a total of eighty-two trait-actions. ²³

²² Max Rosenberg, Leadership Action Folio # 9 (New London, Conn. : Crafts Educational Services, Inc., 1972).

²³ Gilles Savoie, " The Critical Requirements for the Principalship from an Analysis of Critical Incidents as Reported by Public Elementary School Teacher "

Hamel²⁴ in his study adopted Martin Haberman's instrument for evaluating educational administrators. The categories are: (1) decision making, with five statements; (2) communications, with eight statements; (3) personnel relations, with nine statements; (4) professional values, seven; and (5) attitude toward change, four. There are twenty-eight statements which have the corresponding negative equivalents.

BPS Form 8B considers supervisory competence, educational leader and executive ability, and personal and social qualities as the main categories. It contains twelve questions with forty-eight suggested answers representing trait-actions.²⁵

Kenney and Gentry considered four management processes as the key areas of administrative performance. Eighty-two administrative practices were selected and classified under four major functions of administration. These functions are: (1) planning, (2) organizing, (3) actuating, and (4) evaluating. These functions were selected because of the frequency with which they appeared in the professional literature. Of the eighty-two practices, forty-six were selected and those thirty-six which did not have 75 per cent agreement by the panel of experts were excluded. Nine of them were placed under planning, twelve under organizing, seventeen under actuating, and eight under evaluating function.²⁶

²⁴ Paul Hamel, Role Performance of Administrators, (unpublished document 1973 - 1974) FLA.

²⁵ BPS Form 8B - Evaluation of the Performance of Public School Principals and Supervisors.

²⁶ Gentry and Kenney, "The Performance of School Principals," pp. 62 - 67.

ESSO Commissioned P.W. Maloney to come up with an instrument that would evaluate the performance of supervisors of the company. The result was the "A New Tool for Supervisory Self-Development." The following are the main categories containing seventy-two evidences: (1) check list of person traits; (2) check list on results; (3) check list on job methods; and the (4) summary evaluation containing opened questions. ²⁷

Likert likewise gives dimensions of organizational characteristics some of which could be attributed to the principalship. The profile includes: (1) leadership processes, (2) character of motivational forces, (3) character of interaction influence processes, (4) character of decision-making processes, (5) character of local-setting and ordering, and (6) performance goals and training. ²⁸

Methods of Evaluation, Development, and Validation

The following studies have some bearing on the methodology and anticipated results of the current research.

Mjolness, in developing a model to appraise the performance of secondary principals, used the critical incident method of Flanagan. His findings were (1) There were 292 incidents collected and they were categorized by eleven judges into the technical, conceptual, and human skill areas, (2) over-one-half (56 per

²⁷ P.W. Maloney, "A New Tool for Supervisory Self-Development," ESSO Research and Engineering Company, (n.d.).

²⁸ Ransis Likert, "A Profile of Organizational Characteristics," *The Human Organization: Its Management and Value* (New York: McGraw Hill, Inc., 1967), Appendix II contains the instrument.

cent) of the incidents collected were classified under technical skills. (3) The second most often mentioned behavior involved skills. (4) Supervisors and principals reported more effective behaviors on the part of the principal (93 per cent) than did teachers (49.4 per cent). (5) Of the ninety-seven incidents reported by teachers, fifty-four involved human skills. (6) It seems tenable that the perceptions of what constitute effective behaviors on the part of the principal varies among reference groups. Therefore the frame of reference needs to be identified when a perception is made. (7) The constructs in the performance appraisal model are based on the behavioral incidents collected in the study. The model is a basic framework upon which an appraisal instrument would include behaviorally-based job essentials taken from the list of critical incidents and categorized in the three-skill approach namely: conceptual, technical, and human.

This same study came up with the following recommendations: (1) The results should be combined with the findings of other studies of similar nature to form a more comprehensive picture of the job of the principal. (2) Frames of reference should be identified when perceptions of a particular job are determined. (3) The types of skills indicated as critical to the performance of the principal's job should be considered in the in-service training and evaluation of a principal. (4) An evaluation instrument to appraise the performance of secondary principals should be developed and tested by empirical research. ²⁹

²⁹

Daniel Morgan Mjølness, "Development of a Model to Appraise the Performance of Secondary School Principals" (unpublished Doctoral dissertation, University of Minnesota, 1969), Dissertation Abstract International, Ann Harbor, Michigan: Xerox University Films, XXX, 10, 1970, p. 4198 A

Campbell conducted a similar study which produced an instrument equally effective for elementary and high school principals. This instrument came out with nine standards and eighty-two behavioral evidences gathered from a study of writings in educational administration, the principalship and numerous instruments used for central office evaluation of school principals in the public school system. The second phase of the study consisted of a validation process. The developed teacher-use instrument was completed by ten teachers in each of twenty-eight suburban Atlanta schools. The teachers, randomly selected, rated the principals from their own schools. It was concluded that the instrument developed in this study was moderately reliable for use by principals in obtaining the assessment of their teachers for use in self-improvement programs. ³⁰

Metzger determined the content-validity of the PEEL (Performance Evaluation of the Educational Leader) definition of administrative competence, developed by Deweke. ³¹

³⁰ Charles Campbell, "The Development and Validation of an Instrument for Use by Teachers in Assessing the Effectiveness of School Principals" (unpublished Doctoral dissertation, School of Education, Georgia State University, 1974), Dissertation Abstract International, XXXV, 4 (October, 1974), 1897A.

³¹ Howard Deweke, Guidelines for Evaluation: PEEL (ERIC Doc.) ED 057 479. C.M. Metzger, "Content-Validity of the PEEL Definition of Administrative Competence" (unpublished Doctoral dissertation, Xerox University Films, 1971), Dissertation Abstract International, XXXIX, 4 (1971), 2132A.

A sample of 964 school administrators stratified into four groups (superintendency level staff, secondary principals, junior or middle school principals, and elementary principals) was selected by a multistage systematic random sampling from all districts in the United States with student population of over 10,000. Utilizing a Likert Scale of strongly agree, agree, undecided, disagree, and strongly disagree, the PEEL definition of administrative competence was formulated verbatim into an instrument. Data were processed and using the one-way analysis of variance, seven hypotheses were tested at .05 level of significance.



ศูนย์วิทยทรัพยากร
จุฬาลงกรณ์มหาวิทยาลัย