

## **PREFACE - INTRODUCTION**

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### **Statement of Need**

School District Human Resources Management and Development Systems, Principal Certification, legal requirements for assessment of instructional personnel, and School Improvement Planning requirements, as well as the public's focus on accountability, have given new emphasis for improved performance appraisal systems for public school districts. With varying degrees of success, states, as well as individual school districts, have developed plans/models designed to improve performance of employees and, in some instances, reward high performing persons through salary incentives.

There was a clear need for the development of a performance appraisal system which could be uniquely adapted to individual school districts to avoid the duplication of research and development among districts. Therefore, the Florida Association of District School Superintendents (FADSS), with partial funding from the State Department of Education, determined to facilitate the development of a prototype performance appraisal system.

Accordingly, Educational Management Consultant Services, Inc. entered into a joint effort with the FADSS to produce such a system in an effort to minimize the fiscal impact on Florida school districts who elect to revise their system and use this prototype.

The study determined that the final product in each school district should address the following:

1. Districts should have or develop a management structure which includes the following components:
  - Defined organizational—communication charts.
  - Current job descriptions which identify essential functions.
  - Current mission—vision statement which creates a constancy of purpose that is broadly communicated and widely understood.
  - An organizational climate which promotes individual and organizational growth.
  - A written set of belief—value statements with operational parameters.
  - Sensitivity to conditions which influence employee morale such as compensation, training opportunities, and participation in the decision-making and implementation process.
2. Performance standards coordinated with essential job functions.
3. Comprehensive training components which align the development of essential performance functions and the district constancy of purpose.

4. Efficiency in administration.
5. Broad-based involvement of participants.
6. Clearly defined purpose(s) of the process.
7. Reduction in the challenges of time which arise out of the varying degrees of span of control of individual supervisors (number of persons directly supervised).
8. Process for rewarding high performers.
9. Systems thinking and actions in defining quality performance.
10. Minimize apprehension of evaluatees.
11. Consistency with the guidelines for performance appraisal adopted by the Department of Education and the Florida Legislature.
12. Individual and organizational development with a view toward growing a culture that begets quality.

This initial work was commissioned to address a void in practice and to coincide with a revision in the Florida Council on Educational Management Guidelines relative to the Human Resource Management Development appraisal component for school based and district level administrators. For the immediate past several years, a progressive trend of dissatisfaction has developed through the state with performance assessment programs.

Practitioners in the field are without a clear explanation of this trend inasmuch as these programs in each district received full approval and, without exception, appear to have met the procedural requirements of the previous guidelines. This is disconcerting from the perspective of the time, effort and fiscal resources devoted to these programs. In addition, the ground work of the Florida Council on Educational Management and the Department of Education in designing the Florida Performance Measurement System is known throughout the profession as being sound in principle and systematically anchored in research. From the foregoing, the following conclusions regarding the study methodology were reached:

- Review current literature.
- Form a focus group in at least five districts from each of the state regions to sample issues, successes and developmental needs.
- Use these focus groups to provide feedback in preliminary findings with reference to theory, practice, feasibility, and implementation strategies.
- Interact with various national professional groups to discern the state-of-the-art and best practices.

- Design, sample, and redevelop as necessary to reach a final product.
- Sample the broad field of management practices and literature from corporate America to determine congruency.
- In the absence of literature or research to the contrary, use simplicity, systems thinking and practicality as guiding principles.
- Design a prototype system which is uniquely adaptable to an individual district as opposed to a “one-size-fits-all model.”
- Remain sensitive to the strategic components such as purpose, mission, vision, rules, roles and relationships.
- Design a prototype which meets all requirements of the Florida Statutes and other controlling regulations.
- Design a system which is self-energizing and easy to learn.

Five school districts representing the various geographic regions of the state graciously consented to participate in the study. This initial work was completed in June of 1997 and has been continuously updated based on research, legal changes and/or issues in implementation training. During the course of the study, two of the participating districts chose to adopt the system for immediate implementation. Then a third school district completed its implementation of the program. These districts utilized the system primarily for management, technical and/or school-based administrators.

Following this developmental process, including the completion of the research, more than forty Florida school districts have implemented all or part of the new system. The study products in each district have been approved by the Department of Education pursuant to the requirements of Florida Statutes.

During the 1997 Legislative session, several new statutes were passed that affected the performance appraisal systems in the state. Particular emphasis was placed on assessment systems for school based administrators and instructional personnel which correlate with performance based compensation systems. Subsequent legislation has further defined the requirements for assessing the performance of instructional, administrative and supervisory personnel (Section 1012.34, F.S.) up to and including Race to the Top and the 2011 legislative session.

## SECTION 1 - LITERATURE REVIEW

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### Executive Summary

A significant work comes from a monograph *Toward a Unified Model: The Foundations of Educational Personnel Evaluation*. Andrew McConney, when he was at Western Michigan University, Center for Research on Educational Accountability and Teacher Evaluation, edited this document as a synthesis of four particular papers in the field. These papers are

- *A Unified Theory Approach to Teacher Evaluation* — Michael Scriven
- *Balancing Individual and Institutional Goals in Educational Personnel Evaluation: A Conceptual Framework* — James Stronge
- *Evaluation of Superintendent Performance: Toward a General Model* — Daniel Stufflebeam
- *The Connection Between Personnel Evaluation and School Evaluation* — William Webster

These four papers approach the development of an educational performance appraisal system from a different point of view which was in line with the research or practice of the author at the time of the writing.

Each gives emphasis to different aspects of evaluation systems (Scriven - merit versus worth, professional duties as generic standards; Stronge—balancing individual and institutional demands; Stufflebeam-applying systems standards; Webster-using objective student data to connect school and personnel evaluation) (McConney, preface).

Pursuant to the examination of these works, McConney discovered several major points which reflect common thinking.

1. An assessment of institutional needs, resources, and work environment must be an early step in any evaluation system.
2. A clearly delineated and comprehensive set of professional duties and responsibilities (the characteristics that make any one profession distinct from any other) must be the operational basis for defining performance evaluation criteria.
3. Valid systems must include exactness in specifying acceptable performance at the ground level. Together, needs/resources assessments and professional duties lists will allow the clear definition of performance criteria and facilitate the determination of criteria weight and acceptable levels of performance.

4. As in the principles of educational and psychological measurement applied to the primary clients of our schools, the measurement of performance for school professionals must utilize multiple data sources, and multiple instances of data collection.
5. Evaluation systems must serve both formative (professional development) and summative (accountability) purposes. While providing the professional the opportunity to improve so that he/she is in a better position to assist in achieving the school's goals, this ensures that students' and parents' rights to appropriate educational services are protected.
6. *The Personnel Evaluation Standards* of The Joint Committee on Standards for Educational Evaluation are the appropriate and authoritative guide for assessing evaluation systems for school professionals (McConney, iv).

These points represent a significant finding in our research because it was consistent with much of the feedback we received from the focus groups in the five participating districts. Also, our work in the field had begun to identify similar conceptual conclusions with emphasis on Stronge's work relative to the relationship between organizational and individual goals, as well as with the impact specificity of essential performance functions supported by performance standards. We have also found these conclusions to be most consistent with the literature from the broad field of management practice outside the field of education.

Finally, but equally important, these particular authors constitute what has been characterized as both an American and international "Brain Trust" in the field of educational performance appraisal. Their work is widely recognized as setting the standard against which other work should be measured.

Each in his own style has mastered the essence of educational practice in the capacity to develop, understand, and proceduralize theory into a form which is practical in its adaptation to the educational enterprise.

Early in the literature examination we were surprised at the overall lack of hard research from the educational field in the area of performance appraisals. This excludes a host of journals, articles, prescriptive manuals, and many educational books which devote a chapter or so to the topic but only as a part of a larger work. At the time of the writing, we found no longitudinal studies which could provide an impact measure of the practice. Naturally we turned to the broad field of management science to sample the essence of the contemporary literature.

Beginning with the works of Deming, we were more than pleased to discover an unusual parallel on common issues.

Mary Walton's book, *The Deming Management Method*, provides a synopsis with commentary of Deming's "fourteen points." The commentary selected was believed to be directly applicable to subject.

### **1. Create constancy of purpose for improvement of product and service.**

- Deming says management has two sets of problems; those of today and those of tomorrow, on the supposition that there is a tomorrow for the company that happens to stay in business.
- Because corporate managers change jobs every two or three years, their interests are short term.
- Companies believe they have a statement declaring the constancy of purpose - most are on the shelf covered with dust.

### **2. Adopt the new philosophy.**

- Quality must become a new religion.
- Deming often indicated the necessity to believe in quality as we once believed in progress.

### **3. Cease dependence on mass inspection.**

- Ensure quality by inspecting for the bad produce at the end of the line is too costly and too late - the new approach is to build quality in.

### **4. End the practice of awarding business on price tag alone.**

- Quality begets quality.
- Quality of a product going out can be a problem with manufacturing materials coming in.

### **5. Improve constantly and forever the system of production and service.**

- Improvement is not a one time effort.
- Meeting specifications does not improve quality it maintains the status quo.

### **6. Institute training and retraining.**

- It is difficult to erase improper training; it usually cannot be done.

*Example: If I teach myself a new practice some of it may be right and some of it may be wrong even though it may work. If I then teach a fellow worker, then neither the teacher nor the student will know what is right and what is wrong.*

## **7. Institute leadership.**

- Leadership is the responsibility of management to discover and correct the barriers that prevent workers from taking pride in their work.
- The job of the manager is to lead workers to do their job better. Workers who fail to perform usually are not malingerers, but simply have been misplaced.

## **8. Drive out fear.**

- The economic loss from fear in the work place is phenomenal.
- It should be okay for an employee to ask questions for additional instructions or to identify for management any condition which interferes with quality.

## **9. Break down barriers between staff areas.**

- Remember that people work within a system - management creates the system.

## **10. Eliminate slogans, exhortations, and targets for the work place.**

- Slogans generally create frustration and resentment.
- Don't skate on an oil slick. Why have the oil slick to begin with?

## **11. Eliminate numerical quotas.**

- Haste makes waste.
- If workers are charged for defective products, wouldn't it be preferable not to make them in the first place?

## **12. Remove barriers to pride of workmanship.**

- Employees often do not know what is expected.
- Standards change, sometimes too frequently.
- Workers often do not receive feedback from performance until evaluation time. Then it is too late.

## **13. Institute a vigorous program of education and retraining.**

- Educate and retrain. This is an investment in people and is required for long term planning.

## **14. Take action to accomplish the transformation.**

- It is not just constancy of purpose, but consistency as well.
- Understand mutually the other thirteen points.

On the subject of evaluations, Deming often commented that they leave employees bitter, despondent, dejected and even depressed, all unfit for work (Walton, 91). Care should be taken before we blame the employee for the workforce problem. Workers are responsible for only 15%; the system is responsible for the remainder. Systems are the responsibility of management. He often reminds us that “In God we trust. All others must use data” (Walton, 96).

**Clearly Deming recognized that to industry the greatest resource is its people. These resources then are to be nurtured, led by example, developed to an ever increasing capacity, empowered to act, endowed with resources and inspired by confidence and pride to the degree that performance appraisal becomes a redundant task. This profound statement represents even more truth for the profession of public education.**

Leadership literature also consumed a considerable portion of the review. To summarize the material adequately would require the space of the total document. However, it is important for the reader to be aware of the impact of several authors in the field, to mention a few, Peters, Covey, Drucker, Senge, Goodlad, Bradford, Cohen, McFarland, Senn, Childress, Baker, Fisher, Herman and Herman, Patterson, Schlechty, Iacocca, Marshall, Kouzes and Posner. Many of the authors have numerous publications impacting the status of contemporary leadership both in practice and as a science. There are a host of others who would be highly insulted (probably rightly so) that their names were not included. These just happen to be more recent and because of the content and style found to be directly on point with this particular project.

One of these, which we consider a must read for those interested in the subject, is titled *The Leadership Challenge* by James Kouzes and Barry Posner. The foreword written by Thomas J. Peters states that the vital themes are no longer “nice to do” or “ways to get better.” They are “must do” if the American economy is to survive as we know it. Peters goes on to say that for those who seek to be a part of the revolution in organizing as Kouzes and Posner write “...management is dead at least as we know it.” Peters disagrees. He states, “Sadly, management as we know it is not dead. But it darned well ought to be!” (Kouzes and Posner, xi-xii)

Much of the book can be captured by understanding what these authors label **five practices and ten commitments**.

### **Five Leadership Practices Common to Successful Leaders**

1. Challenge the process.
  2. Inspire a shared vision.
  3. Enable others to act.
  4. Model the way.
  5. Encourage the heart.
- (Kouzes and Posner, 8).

## The Ten Commitments of Leadership

### *Challenging the Process*

1. Search for Opportunities
2. Experiment and Take Risks

### *Inspiring a Shared Vision*

3. Envision the Future
4. Enlist Others

### *Enabling Others to Act*

5. Foster Collaboration
6. Strengthen Others

### *Modeling the Way*

7. Set the Example
8. Plan Small Wins

### *Encouraging the Heart*

9. Recognize Individual Contribution
10. Celebrate Accomplishments.

(Kouzes and Posner, 14)

Common throughout the literature and with emphasis on the work of Kouzes and Posner, the concept of developing and communicating a common vision is prominent and described as potent. According to Posner, managers who described their senior staff as effective in communicating the vision reported significantly higher levels of

- *Job satisfaction*
- *Commitment*
- *Loyalty*
- *Esprit de corps*
- *Clarity about the organization's values*
- *Pride in the organization*
- *Organizational productivity*
- *Encouragement to be productive*

(Kouzes and Posner, 108)

Consistent with the above, it is abundantly clear that the majority of employees expect their leaders to be credible and to know where they intend to lead an organization. There is a clear correlation between what leaders say they do when they are at their best and what followers say they admire and look up to in their leaders. The practice of inspiring others with a common view involves a dynamic forward thinking leader. **The practice of modeling these beliefs contributes to a culture that nurtures the growth and clarification of a set of institutional values. Leaders are trusted when their deeds and words match.**

Obviously, one of the early tasks is to solicit others to assist in the discovery of what the leader and the followers have in common. **No matter how honorable or noteworthy the purpose, if others cannot see it, they will not follow.**

In describing vision as a leadership tool, the authors of *21<sup>st</sup> Century Leadership* state

Identifying, understanding, and committing to a core vision is critical to the new leadership currency because vision is what guides our goals, strategies, decisions, and activities, and gives us a backdrop against which to measure our continuous empowerment. Vision is long-term yet very dynamic because, as we grow, new perspectives and greater clarity arise. Vision centers us on what we're here for, what our priorities are, and where exactly we're headed (McFarland, Senn and Childress, 111).

**The feeling evolving from the vision is more important than the logical assumption and conclusions in which it stands. "The vision, when broadly communicated and understood, naturally sparks dedication, commitment to excellence, and high performance."** (McFarland, Senn and Childress, 112)

Over time, we will discover the power that comes from aligning the visions of every individual, team, department and school with the overall organizational vision. "And when vision is discussed every day – repeated, recreated, and renewed by commitment - then it stirs and galvanizes people toward achieving it. They begin to actually 'live the vision.' This is when vision is converted into reality." (McFarland, Senn and Childress, 112)

Another ingredient necessary for quality enhancement is an organizational culture which is driven by identifiable values. Now that our social structure has moved into an era where there is less direction from authority figures or the bureaucracy, the essence of personal and institutional values play more of a major role. **The connection of the individual to values is at a very personal, emotional and spiritual level** (McFarland, Senn and Childress, 129). McFarland also speaks of the strong parallel between the principles of life effectiveness for an individual and the winning shared values that cause an organization to flourish.

The kinds of shared values contributing to a new culture include

- Integrity and honesty
  - Empowering leadership
  - Openness and trust
  - Teamwork and mutual support
  - Caring
  - Openness to change
  - Quality, service, and a customer focus
  - Respect for the individual and for diversity
  - Winning and being the best
  - Innovation
  - Personal accountability
  - A "can-do" attitude
  - Balance in life
  - Community involvement and social responsibility
- (McFarland, Senn and Childress, 129)

A new culture is said to re-energize an organization so that the employees may succeed in an ever changing environment. To grow in an exponential fashion, the culture must be communicated, understood, accepted and lived by the total organization.

One would also be remiss in a literature review not to mention the exceptional work of Merri Lynn Parker, "Leadership for a New Era in Florida Schools," a literature review.

This work was commissioned by the Florida Council on Educational Management as proposed by the five Management Development Networks. This is a thorough compendium of work which focuses directly on the Principalship in Florida public schools. This document traces the context of the principalship through the 1970s, 1980s and 1990s. Included are findings regarding leadership demands for the twenty-first century. Every page is packed with necessary readings and conclusions drawn from the literature. Management should hold this effort in high regard and use it as a core document in their resource library.

Because of the quality of this work and because our purpose was to focus on issues directly impacting the performance appraisal process, a deliberate decision was made not to duplicate the effort.

For purposes of this project, it is important to remember that the work of Parker, focused somewhat exclusively on the School Principal. This is also a fair characterization of the work from the Florida Council on Educational Management. This is certainly appropriate as they both were designed and intended to be so.

One over arching concern throughout the state which looms at times as insurmountable is, "What about the literally hundreds of other position classifications within the educational management community which surround the principal and are critical to their success?" While these positions could be collapsed into a few dozen larger classifications, the idea of repeating the years of developmental work which consumed hundred of thousands of hours of Human Resource developers and researchers time is completely unrealistic.

The obvious solution was to transfer the learnings from the Human Resources Management Development Program to the balance of the educational community and make them fit. District by district the success of this effort varies profoundly. Examples include the development of a common performance appraisal system for management and technical personnel which are derivations of the nineteen principal competencies and/or the major job dimensions from a job analysis conducted on the principalship. These have perceived applicability for the principalship or perhaps district instructional leader and others, but will not stretch to a Senior Systems Analyst, an Investment/Accounting Specialist, a Maintenance Engineer and the like. The Florida Performance Measurement System likewise contained significant and powerful research. It, however, was contaminated by the master teacher program, which several years later still generates sensitive and emotional reactions.

One of the single most prominent reasons given for performance appraisal is individual growth and development; then one must begin to question how measuring capacity (competencies) has specific relevance to the developmental needs of individuals filling the host of job classifications which are closer akin to their nonpublic counterparts than to the school instructional domain.

The clarity of these emerging issues serves prompt notice to understand why employees across the literature and research continue to lament

- “The Performance Appraisal System has nothing to do with my job.”
- “The system is frustrating, unrewarding, depressing and counter productive to quality.”
- “The system does not consider the job context or organizational context within which I labor each day.”
- “Abandon the process before it drains the last ounce of employee morale still alive in our district.”
- “Yes, it complies with the law, but it is nothing more than a perfunctory paper process of expected compliance.”
- “I see my supervisor twice a year. He/she must have a crystal ball or a magic mirror. They always write so much.”
- “The process is nonsupportive of systems thinking. It is disjointed and nonconnected with the goals of my job or the district mission.”
- “Nonthreatening and developmental - sure it is. I won the lottery yesterday! That’s why I’m still here.”
- “What happened to organizational alignment, growing a culture, operating from a set of institutional values, seeing the vision, celebrating success, focusing on quality or more simply, believing in each other and our organizational potential?”
- From a Superintendent in response to the question, “How do you know what I do everyday? I don’t need to know how to do your job because I know what the product of your performance should be.”
- “Fair? By whose standard? Equitable? Occasionally, but only if it does not impact my salary.”
- “To function, I must continue to believe in my capacity whether the system does or not.”

- “Regarding evaluations, the score is 93 to 95 and we are in the last few seconds of the final quarter. During the last time out the three point line was moved to half court.”
- “My Area Superintendent evaluates 31 other principals. I try not to take any more of his/her time than necessary.”
- “A little trust would help but please remember that the previous four superintendents served one term.”
- “Our School Board decided at a Board meeting to change the appraisal system. When they couldn’t agree, they gave the Human Resources Director until the next scheduled meeting to rewrite the system.”

The list continues. These are direct quotations from the literature and/or the interviews with district employees. The names are not included to protect the sincere. Having been a part of the design of several of these systems, we were a bit saddened by these perceptions. None the less, they are perceptions and represent truth to those who stated them.

We mentioned that one of the most prominent reasons given for performance appraisal systems was individual growth and development. Another is compliance with the law, and yet another is articulated to support accountability. These are confirmed by Duke, McLaughlin and Pfaiher, and Stufflebeam.

Often these purposes are described as incompatible or (Stronge on McGaghie) sometimes as cross purposeful, with one being served at the exclusion of the other. Such subsystems are no different than larger systems. For the system to work, it must be in balance. Accountability more often requires the need to determine competencies. These are pre-service capacity dimensions which may be used diagnostically during service. By their nature, they are more summative in form. Quality enhancement/delivery-individual growth/development are more formative. Comprehensive appraisal systems combining multiple purposes are not only desirable but necessary. Connectivity among purposes and to the district constancy of purpose constitutes the critical mass.

Fullen as quoted by Stronge noted **“Combining individual and institutional development has its tensions, but the message... should be abundantly clear. You cannot have one without the other.”** The essence of this discussion comes into sharp focus when one understands how inextricably intertwined these roles are with emphases on the dynamic relationship between the individual and the institution (Stronge, 19).

Castetter states “...that a performance appraisal has its genesis in the broad purposes of the organization” (Stronge, 18).

The literature of James Stronge is so rich in contemporary thought and wisdom that it becomes a significant charge just to select that which ought to be summarized in this paper. We have selected several passages for the following specific reasons:

- Early in this project and during the interaction phase with the participating districts, two districts requested that we begin developmental work immediately on their specific systems. This was prior to the completion of the research, but well into the conceptual framing activities. We, therefore, agreed and began to apply the new knowledge and much to our satisfaction, it met the test of systems thinking, being technically sound, self-energizing, simplistic, doable and practical.
- In the summer of 1995, we discovered the current works of Stronge and Helm and had the occasion to interact with them at the National Center for Research on Educational Accountability and Teacher Evaluation, Western Michigan University. The parallel with our work was both striking and very convincing that the prototype project was on a true course and one that needed to continue.

Accordingly, we have included Stronge’s seven steps toward developing an improvement oriented model for performance evaluations.

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| <p><b>Step 1:<br/>Identify System Needs.</b></p>         | <p>Each educational organization has specific needs that are related to the organization’s mission and that are met through the collective performance of all personnel. A systematic examination of the needs of the organization’s constituents will help clarify its mission and purpose....Determining the needs of the organization is a prerequisite for all remaining steps if the evaluation process is to be relevant to the organization’s mission and, ultimately, responsive to public demands for accountability (Castetter, Connellan, Goodlad, Locke, Patton, Phi Delta Kappa, National Study Committee on Evaluations).</p> |
| <p><b>Step 2:<br/>Identify Duties.</b></p>               | <p>Accurate and appropriate descriptions of professional duties and responsibilities can be developed only from clear statements of organizational goals and philosophies. Once organizational goals are determined, then it is only sensible to relate program expectations to position expectations.....</p>  |
| <p><b>Step 3:<br/>Select Performance Indicators.</b></p> | <p>Because job performance must be reflected in behavior in order to be evaluated, this step involves the identification and selection of behaviors (<i>i.e.</i>, performance indicators) that are reflective of key professional responsibilities....</p>  |
| <p><b>Step 4:<br/>Set Performance Standards.</b></p>     | <p>Setting standards involves determining a level of acceptable performance in all evaluation settings, while in others it also may entail determining performance that exceeds acceptable (<i>i.e.</i>, exemplary, superior, exceeds expectations)....</p>   |

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| <b>Step 5:<br/>Document Job<br/>Performance.</b>              | Documentation is the process of recording sufficient information about the individual's performance to support ongoing evaluation of the staff member and to justify any personnel decisions based on the evaluation. Documentation procedures need to rely on multiple data sources, including observation, questioning and analysis of artifacts of performance, for every position....  |
| <b>Step 6:<br/>Evaluate<br/>Performance.</b>                  | Evaluation is the process of comparing an individual's documented job performance with the previously established duties and acceptable performance standards. While this step clearly means an end-of-cycle summative evaluation, evaluating performance should also include periodic formative evaluation meetings....   |
| <b>Step 7:<br/>Improve/Maintain<br/>Professional Service.</b> | With an emphasis in the evaluation process on both improvement ( <i>i.e.</i> , formative) and accountability ( <i>i.e.</i> , summative), Step 7 brings the process full circle. Formative aspects of evaluation, intended to provide recognition for noteworthy performance, along with immediate and intermediate feedback for performance improvement and correction when needed, should be ongoing throughout the evaluation process... |

(Stronge, 24-26)

These seven steps leads one to the conclusion that career development through coaching and mentoring is essential. The literature indicates there are at least four constructs of masterful executive coaching.

- Coaching as Stewardship.
- Personal Transformation and Reinvention.
- Creating Communities of Commitment and Team Collaboration.
- Expanding People's Capacity to take Effective Action (Hargrove, 18-26).

## Coaching as Stewardship

One cannot contemplate stewardship without considering at a soul level **the essence of being**. The sociology of our contemporary society creates the concept that our sole purpose of being is to live our lives fully, successfully, and as happily as we possibly can. Few are endowed with the thought that our being carries the responsibility of passing to the next generation a world which is better situated than we found it. This goes far beyond passing on an accumulation of wealth. It implies the necessity to pass on a collective vision from a cornerstone of intrinsic values institutionalized in our communities, schools, social structure, and the very essence of being in practicing the art of living a constructive life.

Victor Frankl, an existentialist thinker, wrote a publication entitled *Man's Search for Meaning*. This publication summarizes his holocaust experiences which had a profound impact on his methodology and practice as a psychiatrist. Frankl believed that at the very

core of every being is the absolute will to exist. Our society has imposed the next layer and defines it as a series of accommodations designed to improve the quality of life. Unfortunately, in our society this translates quickly to an accumulation of wealth, the abundance of self interest, and accordingly, becoming a CEO in which, of itself, creates the view of being on the road to personal and organizational success. Stewardship will transform this layer from enhancing the quality of life to adding value to the essence of being. The question is then raised, “What does it take to accommodate this premise?” The answer is perhaps too lengthy for this publication, but it certainly includes dealing with purpose, choosing service over self interest, establishing a vision, nurturing the human spirit, seeing who we are and what we stand for, thinking creatively about the future, of people, institutions, and the world. “Ultimately, man should not ask what the meaning of his life is, but rather he must recognize that it is *he* who is asked. In a word, each man is questioned by life; and he can only answer to life by answering for his own life; to life he can only respond by being responsible. Thus, in responsibility one discovers the very essence of human existence.” (Frankl, 131) The alternative to this discussion may not be acceptable. Hargrove states that “...we are existing off the capital of future generations.” (Hargrove, 18)

The effective executive coach who truly understands the qualities of stewardship will stand out accordingly. These patterns of behavior will eliminate for employees the artificial boundaries between the things they care about at the office and things they care about as human beings. It will create a culture that encourages people to bring their total being to work. This will not only impact productivity but make a difference to the organization and the community.

## **Personal Transformation and Reinvention**

Executive coaching is about empowering people to visualize a future they truly desire by discovering what they passionately care about. Executive coaches have left a legacy in Fortune 500 Companies. Many CEOs have profited from coaches who encouraged them in this direction and so have the cultures that established their success.

Transforming contemporary organizations and leaders is not an event, but a continual process of discovering how to add value to the “essence of being.” In the field of public education, numerous executive leaders can articulate that which they passionately care about and are successful in building a shared vision within the organization. Upon close examination, however, many of these leaders have not been impacted by the realization that reinventing the organization cannot be separated from transforming and reinventing themselves. Executive coaching is not based on an intense analysis of what is wrong with an executive; rather it is the discovery of the context or frame that shapes the perceptions which influence decisions. Any organizational context is made up of the sum of employee’s specific perceptions and beliefs and perhaps assumptions that they believe to be true.

Executive coaching involves empowering people to transform who they are and reinvent themselves by helping them to see how their frames of reference, thinking, and behavior produce unintended consequences.

This work involves encouraging people to surface and question the way they have framed their points of view about themselves, others, or their circumstances with the idea of creating a fundamental shift. For example, a shift from self-interest to stewardship, from being control oriented to being creative and generative, from seeing conflict as embarrassing or threatening to seeing conflict as a leverage point for building a shared view. When people's frames of reference shift, it allows them to see things in new ways and to act in new ways. (Hargrove, 22)

## **Creating Communities of Commitment and Team Collaboration**

To eliminate the power, control, fragmentation, and piecemeal approach, many leaders, managers, consultants, and coaching practitioners from a variety of organizations are searching for metaphors to clarify this new science.

- Servant leadership.
- Beehive – a complete community.
- A living community of commitment.
- Productivity as a community of purposeful practice.
- A living organization with an unlimited diet of common purpose.
- A thinking culture with perpetual synergy that adds value to the very essence of human existence.

In this organizational culture, vision and purpose are shared. Employees have a sense that not only is the work worth doing but it is also deeply purposeful. Employees draw their identity from their individuality and from their specific connectivity to the whole. This is perfectly consistent with the nature of the human spirit. Most have a sincere desire to work with dedication, passion, and pride.

At CNN, the game is covering the planet in real time so as not only to produce information but also to impact opinion shapers and movers. At Swissair, it is flying people to hundreds of destinations with personal service touches that give everyone a sense of real worth. At Ben & Jerry's, it is making ice cream, like Rain Forest Crunch, with the intent of changing the world. (Hargrove, 23)

In public education, it is revitalizing curriculum and instruction according to Schlechty, Coble, and others by reformation and by building a new infrastructure that motivates every student to achieve extraordinary results.

Due care must be exercised not to confuse this discussion with the first or second waves of school reform. The first followed the publication of *A Nation at Risk: The Imperative for Educational Reform* in 1983. Most of these reforms resulted in omnibus education bills containing various incentives and regulations. Many state legislatures assumed that schools were more alike than different, and therefore reforms tended to be applied across the board in a one-size-fits-all syndrome. This bureaucratic tinkering generally resulted in teachers and principals being more accountable, but much less empowered.

The second wave of reform gained momentum in the mid to late 1980s. While the first identified teachers and principals as the problem, the second tended to see them as the solution. This new wave ushered in the bottom up approach and introduced the concepts of collegiality, participatory culture, empowering teachers with the sharing of decisions and with greater teacher autonomy. In return, schools were to be held to a higher standard with greater accountability. The outcome of these efforts has altered how teachers and principals are prepared and coached.

Moreover, one must be careful not to be overly critical of the level of effort exhausted at a district or school level. Most school executives and teachers are working harder than they have ever worked. We must also realize that this class of our current employees may be the best we will ever have. This fact being due to critical shortages and the competitive job market place. Therefore, the need for profoundly masterful executive coaching is approaching an all time high.

In the previously described community of commitment and purpose, leaders stand for what matters and leadership comes from throughout the organization. Communication and standards of excellence are focused, challenging, and rigorous. Employees visualize how they fit with a part of the organization that fits together to make a whole.

Executive coaching in the years ahead will increasingly transform the educational community. Leaders will offer guiding visions and values that will shift the culture from following orders to working on causal integrated relationships to purpose.

## **Expanding People's Capacity to Take Effective Action**

The fourth compass point of executive coaching is leading employees to take effective action. On occasion employees are working in job classifications that do not match their personal qualities or challenge them to excellence. Likewise, employees often set goals that are not creative, do not stretch their minds, or use their skills. This lacks the inspiration to achieve high levels of commitment. The research generally indicates that the majority of the work force truly desires to do an effective job. The key appears to be in finding the perfect match. The baffling aspect of this concept is that individual interests do not always follow their educational or their experiential background. Coaching people to be more effective starts with the explanation of what we were born to do and then finding the arena

that fits our value system and a job where we can do it. Accordingly, the level of effectiveness will be greatly enhanced.

It becomes immediately obvious that if the employees do not understand the prior premise then even if they happen upon a great job match they may not recognize it with particularity. Coaching in this area is deliberate and will produce amazing results when employees are motivated to be excited, really care about what they do, and have something at stake. This grows a culture where employees discover the core of their creativity, generate new ideas, and innovative solutions.

This brings us to the conclusion that strategic planning is an idea whose time has come for education. Daily, we make a plethora of operational decisions, often without as much as a glance at the strategic implications of where these decisions may take us. Examples are numerous - collective bargaining, curriculum design, facility construction, staffing patterns, budget development. Organizational purpose, values, alignment, culture, climate become secondary considerations to keeping the door open for business.

In summary, swift attention must be given to the significance of these findings. They permeate every major subsystem of every district, one of which is performance appraisal. Absent a definitive proactive orientation to believe the literature, almost any appraisal system will work by perpetuation, more of what we have.

To end this summary, an idea of Dr. Philip Schlechty is appropriate. We are doing a better job of doing what we have always done. The problem is that what we have always done is no longer good enough.

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## SECTION 2 - STUDY & METHODOLOGY

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### Study Context and Implications

A vital component of the methodology used in developing this performance appraisal system was the participation of five representative Florida school districts. In agreeing to participate in the project, the school districts of **Alachua, Lee, Monroe, Santa Rosa and Volusia** gave generously of their time, knowledge, and years of experience. Each of the districts formed a broadly representative focus group to work with the consultants. These groups were representative of the district management structure, including staff developers, school principals and various professional-technical representatives. Several meetings were held with each group.

The first meeting was largely devoted to an overview of the project and some of the current literature, components of a comprehensive job description with emphasis on essential functions, as well as discussion of the district's current appraisal system. The second meeting was held for the purpose of identifying elements which a valid appraisal system **should** and **should not** contain. Following the second meeting with the focus groups, the consultants met with the respective superintendents to solicit their thoughts and beliefs concerning employee performance appraisal. Summaries of these feedback sessions were prepared and distributed to the participants for review and comment.

We believe that the reader will agree that this summary represents a surprising depth of compatible knowledge regarding performance appraisal. Through thoughtful and deliberate articulation, the various participants shared the following with reference to that which a performance appraisal system should and should not include.

### AN EFFECTIVE SYSTEM SHOULD

- Promote continuous growth and development
- Have support/buy-in of all participants.
- Address the issue of competent but non-performing employees.
- Contain provisions for obtaining feedback from a variety of sources, peers in particular.
- Be based to a large degree on essential functions of the job.
- Focus on quality and strengths of people and overcome employee weaknesses through training, coaching, mentoring.
- Provide room for growth and security.
- Demonstrate what we profess to believe.
- Promote and support the constancy of purpose for the district.
- Be secondary to hiring the “right person” for “the right job”.
- Be almost entirely developmental.
- Require the evaluatee to be responsible for most documenting of performance including both formal and informal feedback.
- Require the evaluator to be knowledgeable of the **results** of a job, not necessarily the **how to’s**.
- Address the span of control issues on the part of the evaluator.
- Require a formal summative evaluation each two to three years, not every year.
- Support career development, but not drive it.
- Promote self appraisal as an important part of the process.
- Be viewed by all concerned as beneficial and an integral part of professional growth.
- Be a natural, flowing process rather than a layer of paper - a formative process rather than an event.
- Create a team concept of effort and mutual respect.
- Focus on the issues of growth and accomplishment rather than reappointment.
- Provide opportunity for dialogue among participants.
- Encourage all participants to be honest and up-front.
- Identify the true performance level regardless of who does the appraisal.
- Include a process of collecting feedback carefully designed to avoid unfair influence of pressure groups or personal bias.

### AN EFFECTIVE SYSTEM SHOULD NOT

- Be allowed to become “suspect” due to inconsistent application/results.
- Include performance pay until a reliable process can be perfected and sufficient funds are available - most “merit pay” systems have been used to increase noncompetitive salaries rather than reward exceptional performance.
- Allow a rating to be given without documentation.
- Be implemented until constancy of purpose and mission statements are developed and implemented within the entire district.
- Be implemented until complete and accurate job descriptions are developed and adopted.
- Be general and time consuming.
- Become an annual paper transaction which has little impact on employee growth and development.
- Include individual employee goals which are not attainable.
- Be expected to achieve success in an unhealthy organizational climate.
- Be allowed to deteriorate over time due to lack of training, the enthusiasm generated at the outset, and changes in personnel.
- Be allowed to focus on forms and mechanics.
- Allow individual goals to supersede district goals.
- Be used as a termination process – other procedures should be used for this purpose.

**These meetings and the data they provided were invaluable to the consultants. It is with sincere appreciation that we recognize that the participants not only gave of their time, they also gave of themselves. This is obviously the case when you analyze the risks, sensitivity and personal nature of the above renderings.**

A second aspect of the focus group process was to identify six management positions and ask each district to provide a listing of job tasks considered to be an essential or secondary function of the position. In this regard, participants were briefed on the requirements of the Americans with Disabilities Act and asked to work from either the approved job description or to solicit feedback from the incumbent group they represented. The six positions were

- Principal—Elementary School
- Principal—Senior High School
- Assistant Principal—Middle School
- Assistant Superintendent—Curriculum and Instruction
- Director of Maintenance
- Director of Management & Instructional Information Systems

The results somewhat confirmed what the consultants believed to be the status of job description development across the State. The material was returned with some variation by district and included or failed to include the following:

- Developmental Dimension International type job dimensions.
- Various derivations of the nineteen principal competencies.
- Prerequisite knowledge, skills and abilities written as job functions.
- Broad categories of service without the specificity of tasks.
- No apparent relational connection to the adopted appraisal system.
- No apparent connectivity to a job goal or to the district mission.

The training and development needs in this area are enormous. Significant work, district by district, must be accomplished prior to implementation of a comprehensive appraisal system. The importance of the job analysis and job description process will be identified in a separate section of this report.

## **Implications**

The feedback clearly reflects many years of experience with various appraisal systems which did not prove to be satisfactory for one reason or another. It is evident that all five focus groups and the superintendents want a system that works, but does not in itself add to already full schedules. These groups would seem to agree with Stronge who states that a sound evaluation system has two broad purposes:

- “It should be outcome-oriented, contributing to the personal goals of the individual and to the mission...and the total educational organization, and should provide a fair measure of accountability of performance...”
- “It should be improvement-oriented, contributing to the personal and professional development needs of the individual as well as improvement within the organization.”

Deming and others have emphasized the critical need for a “constancy of purpose” or the organization’s reason for being and from which come the mission and goals that may change from time to time, but not the purpose itself. Each of the five groups agreed that effective appraisal must support the organization’s constancy of purpose first and foremost; therefore, the recommended appraisal system includes the admonition that the district should have its strategic plan well established and implemented before beginning this appraisal system.

Still another implication that can be drawn from the focus groups is the need for well developed job descriptions which include clearly written and realistic essential and secondary functions. The designers of this system believe strongly that unless a job can be described accurately and completely, the employee’s performance cannot be appraised nor can the most meaningful professional development activities be planned to improve performance. The focus of appraisal, therefore, should be on functions of the job and the improvement of the incumbent’s capacity for executing these functions in a progressively proficient manner. Stufflebeam believes that the purpose of evaluation is not to prove but to improve performance. One performs best by carrying out meaningful job functions which are directed at carrying out the purpose and mission of the school district.

From most every group came comments concerning time requirements and span of control of the evaluator; in other words, the system should be sensitive to both how much time is required to perform each evaluation as well as the number of persons the evaluator is assigned. Often, because of time required to complete the “paperwork and ensure *the* process is carried out,” there is a tendency to wait until time permits which in the public school enterprise does not always come; therefore, the evaluation process becomes an event completed just before the deadline doing little to promote the growth of the district and the individual. An effective performance appraisal system should be a continuous part of the cooperative interaction among participants and should be based upon a variety of tools and sources which document performance. Much of the documentation of performance should be the responsibility of the evaluatee. For most employees, a formal comprehensive summative appraisal is not needed each year, and just as certain tasks, objectives, or goals cannot be accomplished in one year, an accurate measure of performance cannot always be completed in a single work year.

The feedback also has strong implications for the system's accuracy and wide support: It should have similar results regardless of who does the appraisal; it should be based on mutual respect among the participants who understand its purposes and process and promote continuous dialogue and improvement in a healthy, nonthreatening climate. These characteristics, if maintained, should ensure the system's support and longevity.

One conclusion that may be drawn from the focus groups' input is that the evaluator should not necessarily know **how** to perform the functions of the job being evaluated, but he/she should be expected to know the **results** of those functions. A misconception which often exists in the appraisal process is that "if you have not walked in my shoes, you cannot accurately assess my performance." A more accurate premise is "I need to be able to recognize and properly trace the foot prints of your work." Another implication to be drawn is that the employment and placement process should not be overlooked as a component of performance appraisal. No matter how well-crafted the system, it cannot compensate for innate ability and the will to be successful. Employing the right people for the various roles will do much to ensure the success of the organization and its performance appraisal system.

## SECTION 3 - JOB DESCRIPTION DEVELOPMENT

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### Job Descriptions

In the spring of 2011, the Dixie County School District commissioned a project for job descriptions for all employee classifications in the member districts. At the beginning of the development of the job descriptions a process was initialized by the consultants to review current job descriptions to determine direct congruence with a performance appraisal system. This review also included an examination to determine compliance, accuracy and usefulness as a significant contributor to the study. The job descriptions were generally found to be in need of additional detail. To supplement this data, a comprehensive analysis was completed on each targeted position by an EMCS associate.

This component was considered vital to the study due to the critical nature of the data and the impact of the Americans with Disabilities Act. This federal act is one of the most far reaching civil rights laws of our time. An estimated 43 million disabled persons are provided protection by this legislation.

Job descriptions are impacted by this law because many of the legal protections are affected by the content and uses made of these documents. As such they provide a primary source of data. Accordingly, they influence several major development components identified below:

- Position Value - By identifying and examining the essential functions of a position and by comparing these from one job to another, a relative position value can be established.
- Employee Performance Appraisal - Briefly stated, it is difficult to hold employees accountable, appraise their service and compensate them accordingly until the employer's expectations are defined and reduced to a written document. Such enhances mutual understanding of essential functions. Well-written job descriptions provide for this standard.
- Job Groups-Families - In any organization employing multiple incumbents in multiple positions, jobs tend to take on similar characteristics. This is particularly true when the organizational mission and goals are defined, understood and followed. Therefore, job descriptions provide a basis for classifying positions into groups and/or broad families.
- Salary Rankings - In the design methodology of most compensation systems, benchmark rankings are commonly used. It is difficult to compare job codes, titles and functions from one agency to another unless the job description library is well established.

- Organizational Development - This is the time when “down-sizing, right-sizing, and re-sizing” is common place in private and public entity employment. This cycle will likely continue in the ever-changing economic base of our free enterprise system. Organizational design and development will not efficiently occur unless essential job functions are specifically defined and broadly understood. Through the analysis process leading to the development of appropriate job descriptions, duplicated job functions, as well as staffing deficiencies may be identified. In addition, data on the specific job contribution to the organization and its inherent value is typically clarified.
- Recruitment - In order to fill positions, most employers post vacancies throughout the recruitment area. These announcements draw their information from the job description. The selection process is enhanced by using a fit and match screening procedure with reference to essential functions, training and experience, as well as skill and knowledge.
- Developmental Services - Employee orientation, entry training and backup position cross-training are essential in most organizations. These services limit downtime with new hires and in situations where employees are ill, on vacation or unavailable for work. In short, job descriptions are an outstanding training tool. Also, by identifying baseline experience, education and training requirements, they provide an excellent source of information to employees who are considering career changes.

## **Job Analysis and Documentation**

The development of a comprehensive set of job description requires several methodical steps.

- |  |   |
|--|---|
| ▪ Job analysis   | ▪ Comparison of job goal to agency purpose  |
| ▪ Job documentation                                      | ▪ Determination of prerequisite knowledge, skills, abilities, experience and supporting qualifications. |
| ▪ Validation interviews with position incumbents         | ▪ Maintaining the record  |
| ▪ Drafting the description                               |   |
| ▪ Comparison with generally accepted tasks in the field. |   |

Defensibility, decision-making, performance development and compensation system design are enhanced through the application of these steps. Two of the more significant are discussed in some detail.

Job analysis, simply defined, is collecting and evaluating relevant information about jobs. The first step in the job analysis process is to determine specifically what information is to be collected. The data collected should clarify the nature of work being performed,

including essential tasks, duties, and responsibilities, as well as the level of work being performed. Data should include the extent and types of knowledge, skill, mental and physical effort, and responsibility required for the work being performed.

Most organizations use written job descriptions to document job content. Job descriptions may be defined as narrative statements of the nature and level of work being performed by persons occupying a job.

Job documentation is useful in evaluating job content and should be prepared with the evaluation criteria in mind. Before the relative value of jobs in an organization can be determined, the nature, purpose and organizational level of the jobs must be understood clearly. Primary duties and responsibilities, skill levels, mental and physical effort required, as well as the conditions in which the work is performed, likewise must be understood clearly. A common shortcoming of job-evaluation systems is the lack of quality information about the jobs.

Job documentation also provides accurate data for making comparisons with other organizations. As an example, to gather and analyze salary survey data, a determination must be made as to whether jobs described in the survey are comparable to jobs in the organization. If so, it is valid to use the survey data. If no documentation exists or if it is inaccurate, incomplete or outdated, then invalid comparisons and decisions may result.

Job documentation is also used to provide classification, control and developmental services. In sound systems, employees are assigned to classifications or job titles that are descriptive of their job duties. Thus, employees are classified on the basis of actual work performed, rather than personal background or characteristics.

Job documentation with clear definitions of job content provides an effective communication vehicle, so both employees and supervisors know what is to be accomplished. The identification of these tasks may be accomplished through the completion of a comprehensive questionnaire which requests data on every major job component. The questionnaire results must then be validated through incumbent interviews which sample the groups. Employees in each one of a kind position must also be interviewed. The interviewers should be certified job analysts. This will provide a primary source of data for developers to use in the design and review of the job description component. An example is included.

The descriptions development process as described focused on the direct input of incumbents. Generally speaking, the data is more accurate and the results have greater acceptance when the employees are heavily involved in the job evaluation process.

The resulting job descriptions for the targeted classifications are enclosed as a separate document.

## SECTION 4 - DISTRICT CULTURE-CLIMATE RESEARCH

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### District Culture and Climate

To understand why and how an organization behaves as it does, one must have a knowledge of its culture and the climate within it. *Culture* is the totality of the beliefs, values, behavior patterns, institutions, and products common throughout a community or organization developed over time through the social interaction of its members. Public education in America has a culture different from that of the automobile manufacturing industry. For example, a plant manager will behave differently than a school principal because the beliefs, values and products are different. While both roles may require similar management skills, they must be applied and directed toward different combinations of resources and end products.

*Climate* is the combination of physical and social conditions within an organization which describe the perceptions people have of “what it is like to work here.” The climate strongly influences how people perform their tasks, interact with each other and their individual and collective commitment in working toward the goals of the organization. While each member contributes to the climate, it is the leaders of the organization who have the major influence and responsibility in developing a climate in which there is a collective commitment to achieving the goals of the organization and in which people believe “it is great to work here.”

Public school districts are part of the same culture, but it is their individual climates which is one of the most distinguishing characteristics among them. Although human and fiscal resources play a role, the degree of commitment of people to achieving the organization’s goals is the major reason some districts are more successful than others. A healthy climate begets strong commitment which, in turn, begets success.

For a number of years the Florida Association of District School Superintendents (FADSS) and Educational Management Consultant Services, Inc. (EMCS) has provided a service to school districts of conducting reviews of the organizational alignment and management practices. An important component of these reviews is the assessment of the climate of the district. This assessment is made by employees who complete a ninety-item instrument by which ten different climate dimensions are measured. The respondent rates each dimension on a scale of 1 to 10 with 10 being high. Each of these dimensions is described below. The responses are tabulated and are supplemented by personal interviews with the respondents. From the results, a description of the district’s climate is developed and used in making recommendations concerning various management practices, roles and relationships.

To demonstrate variations in climate, we selected ten districts in which these climate assessments have been reported in the Organization and Management Reviews conducted by FADSS. These districts vary in size, community characteristics, geographic location, and

fiscal resources. A number has been substituted for the district name to avoid comparison and conclusions being drawn without benefit of complete data and appropriate analysis.

The reader and other researchers should be aware that while the survey instrument has not been normed, it has been field validated and used successfully for more than thirty (30) years in ninety (90) or more school districts. A score of 6.0 or lower on the positive dimensions is viewed as undesirable in an organization that aspires to be high performing. This instrument is used as a measure of the organizational health of the agency being served, not as a comparison to the numerous other districts who have participated in a similar study process. The validation of the instrument results is treated in each study as an independent component. All survey participants are interviewed, one to one, as part of the on-site visit. Any variation to the survey results is analyzed as a team effort and, when necessary, adjustments are made. Accordingly, this instrument and process is viewed as a valid descriptor of a district's organizational climate.

**The data is sorted as a district aggregate; administrative and nonadministrative; district level versus school based; by gender, and by experience categories 1–3 years, 4–10 years, over 10 years. For the purpose served in this study, we have chosen to use only the district aggregate for illustration. The reader should remain aware, however, that significant variations in perception occur between gender groups, district and school level groups and with emphasis— the experience categories.**

As you examine the data, district by district, allow your analysis to process the various potential combinations of survey dimensions which, when examined together, may or may not support the concepts of organizational values and culture, vision and purpose, collaboration, risk taking, empowerment, nonthreatening, developmental, climate, systems thinking, quality enhancement, management of change and the list continues.

Following each table we have included several significant characteristics of the district and the current status of the performance appraisal system. We think that you will find the parallel remarkable.

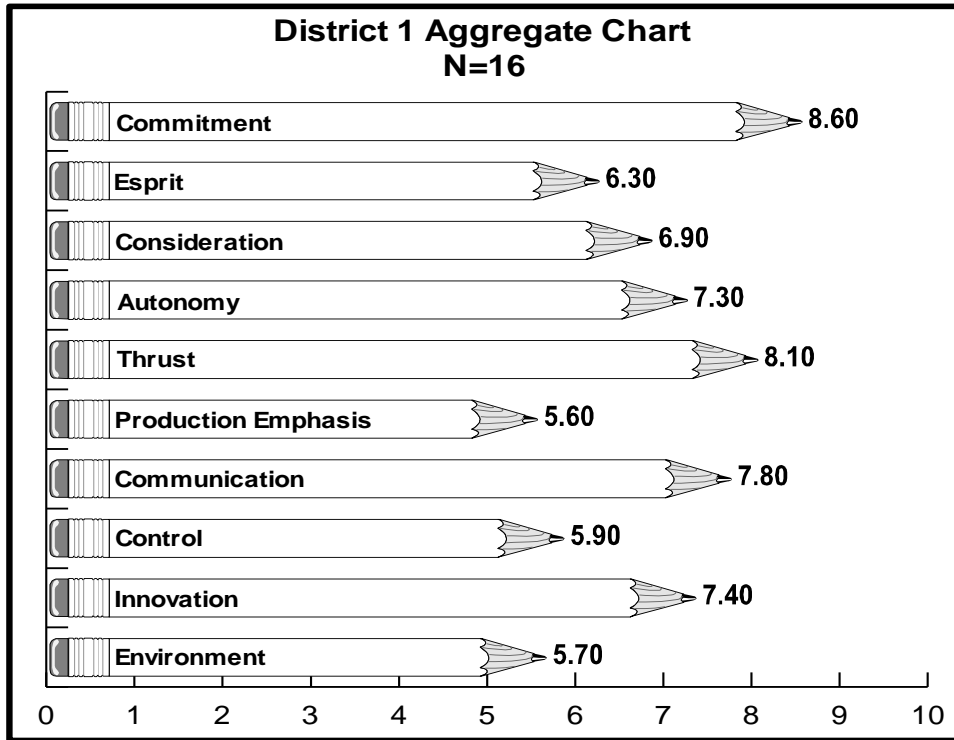
Following is a description of the climate dimensions, and a series of tables which summarize the results of the survey for each district.

| <b>Climate Dimensions</b>    |  |
|------------------------------|--|
| <b>+ Commitment</b>          | Shows how much employees may be concerned about and committed to their jobs.   |
| <b>+ Esprit</b>              | Shows how much support employees give each other toward the achievement of the goals of the organization and the satisfaction of employee needs. |
| <b>+ Consideration</b>       | Indicates the level of support from management and the level of encouragement given to employees to be supportive to each other.                 |
| <b>+ Autonomy</b>            | Shows the level of encouragement from management to employees to be self-sufficient.   |
| <b>+ Thrust</b>              | Indicates the degree of emphasis on efficiency and planning.   |
| <b>- Production Emphasis</b> | Shows the degree of pressure related to work production and time management.   |
| <b>+ Communication</b>       | Indicates how explicitly rules and policies are communicated and implemented.  |
| <b>- Control</b>             | Shows the influence of rules and regulations by management to keep employees under control.  |
| <b>+ Innovation</b>          | Indicates amount of change, variety and emphasis on new approaches.  |
| <b>+ Environment</b>         | Indicates the extent to which the work area is perceived as pleasant.  |

**+ = Positive Climate Variable** (High scores desired)

**- = Negative Climate Variable** (Low scores desired)

A high score in a negative climate variable may indicate an area for concern. Conversely, a low score in a positive climate variable may indicate an area for concern.

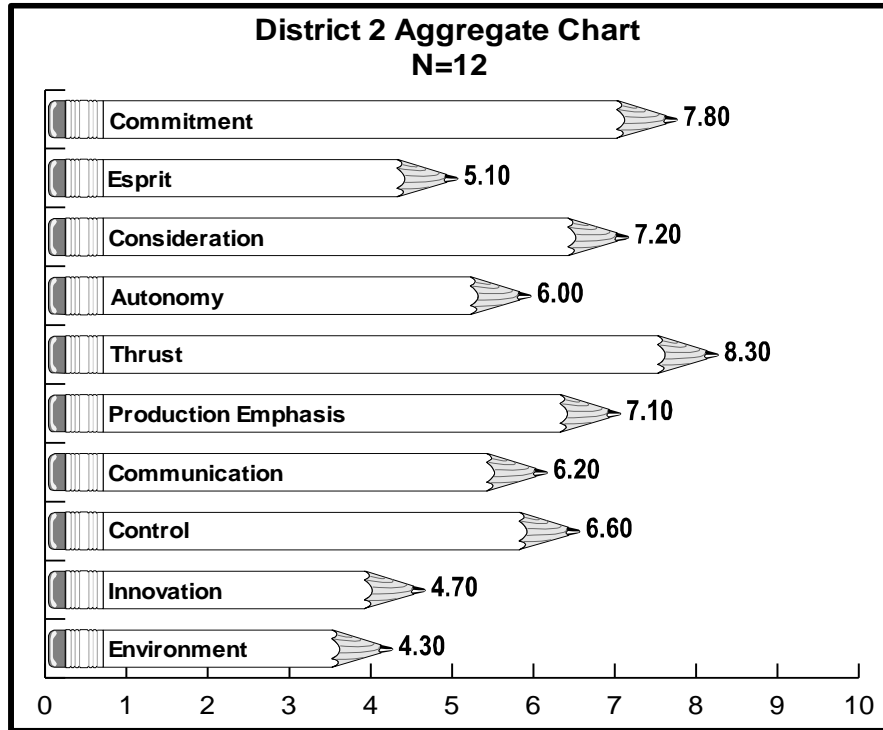


#### District Characteristics

- Elected Superintendent
- Medium to small student membership
- Rural but emerging community
- Steady growth of new residents seeking stronger and stable community with traditional values
- Setting is near major urban area
- Previous superintendent-retired after several terms-considered strong and visionary

#### Performance Appraisal System Characteristics

- Approved as meeting FCEM and DOE guidelines
- Contains some innovative practices
- Used as required
- Limited impact on organizational growth
- Job descriptions meet contemporary standards

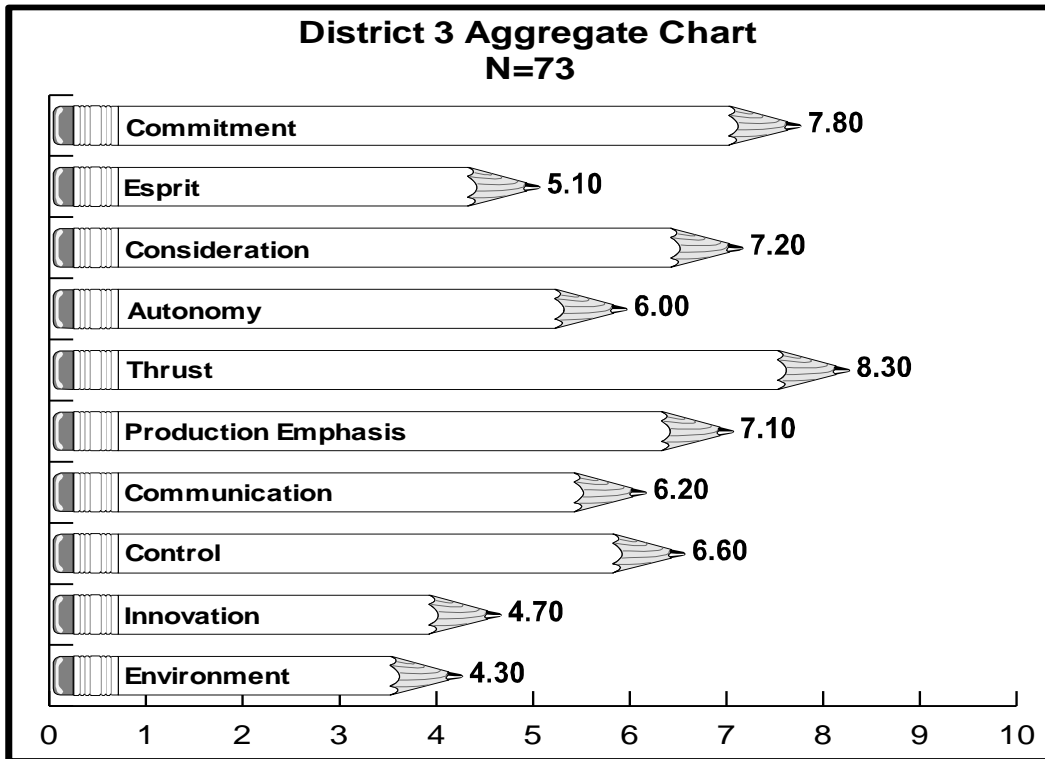


### District Characteristics

- Elected superintendent
- Small but traditionally stable student population
- Remote community-residents make a deliberate choice to live there and like it as it is
- Local economy unstable
- Several superintendents over last 20 years
- Historically strong School Board, occasionally at odds with superintendent
- No strategic plan

### Performance Appraisal System Characteristics

- Previously approved as meeting former FCEM and DOE guidelines
- Not yet updated to meet new guidelines
- No principal evaluations conducted in four or more years
- Members of district staff not evaluated in more than 20 years
- Job descriptions - non current
- No linkage between institutional and individual goals

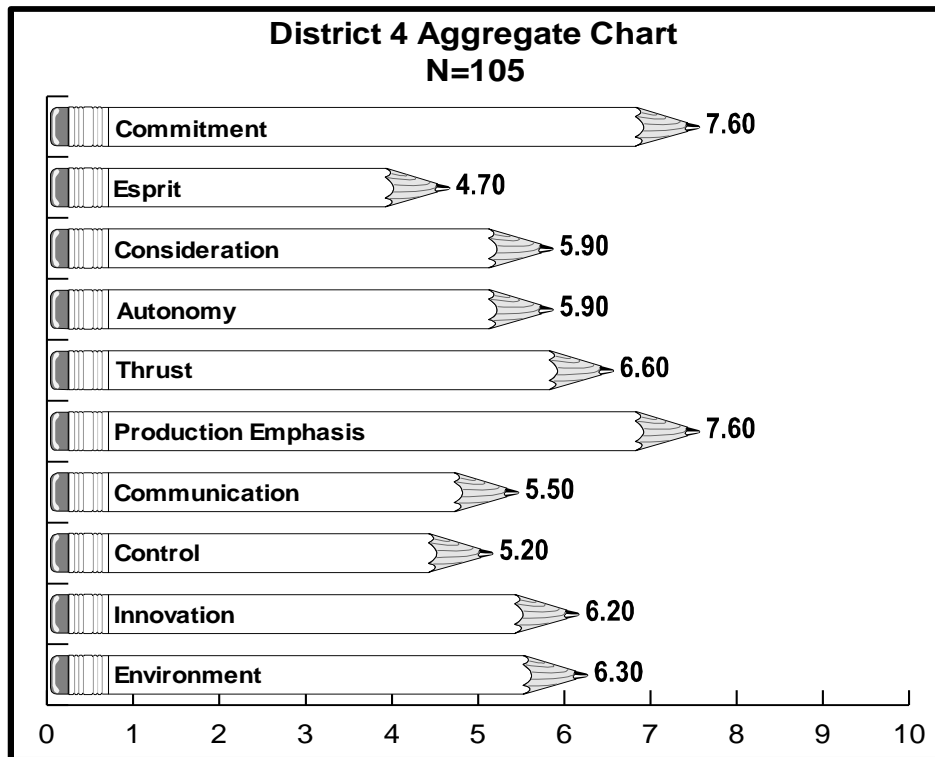


### Districts Characteristics

- Elected superintendent
- Medium to large student population
- Growing student population (+1500/year)
- Dramatic community changes due to growth
- Historically strong School Board previously at strong odds with the superintendent and at times the mainstream community
- Serious financial issues with emphasis on facilities
- Several superintendents over last 20 years.
- Political process alive and flourishing
- Strategic plan - formative steps

### Performance Appraisal System Characteristics

- Developmental work well underway to meet new guidelines
- Current plans have full FCEM and DOE approval
- Job description development above average
- Process completed annually as required
- Span of control a major issue
- Survival more important than development
- Climate is threatening and non developmental
- Limited organizational context connectivity

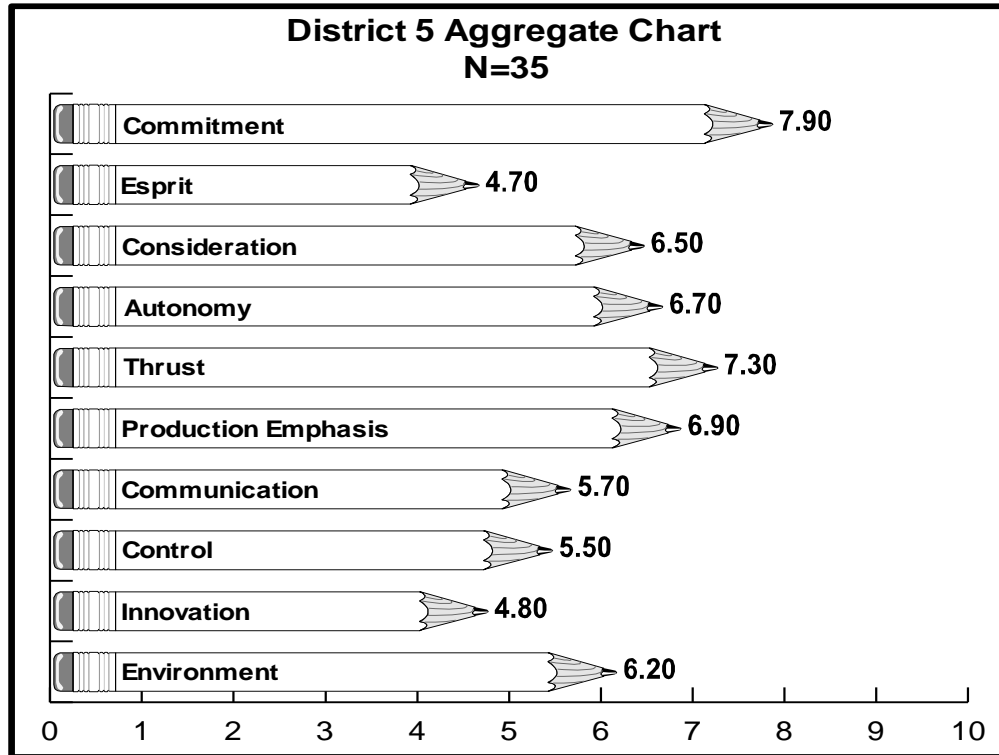


### Districts Characteristics

- Appointed Superintendent
- Medium to large student population
- High student growth impact
- Tourism and supporting service industries having major community impact
- Several superintendent changes over last 20 years
- Strong School Board characterized by two recent management studies as micro managing the district
- High profile school district struggling internally with numerous alignment issues
- Several downsizing efforts

### Performance Appraisal System Characteristics

- Current revised systems have full FCEM and DOE approval
- Visionary staff development leadership producing an overall enviable service program
- Employees feel threatened and characterize trust at an all time low
- Job description development (prior to study) - outdated
- High individual growth from staff development efforts but no organizational context connectivity from Performance Appraisal System due to state of climate

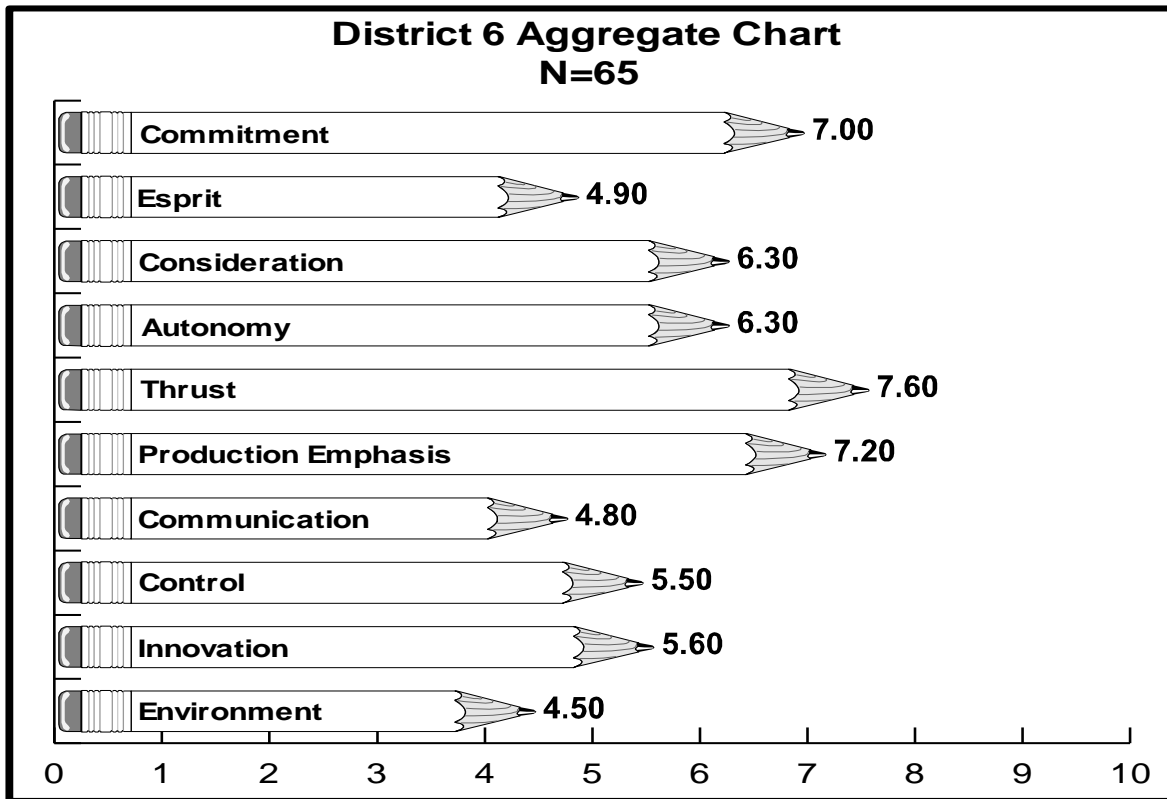


#### District Characteristics

- Elected superintendent
- Emerging suburban community
- Severe financial issues from over-staffing and other practices
- No strategic plan
- Medium size student population with significant growth combined with shifting of membership within the district
- Three superintendents over the last 20 years
- Strong School Board and Superintendent with general mutual respect of the appropriate roles
- Moderate political climate

#### Performance Appraisal System Characteristics

- Current revised plans have full FCEM and DOE approval
- Job descriptions (prior to study) outdated
- Completed annually with some individual growth indicated
- Limited organizational context connectivity due to lack of strategic emphasis

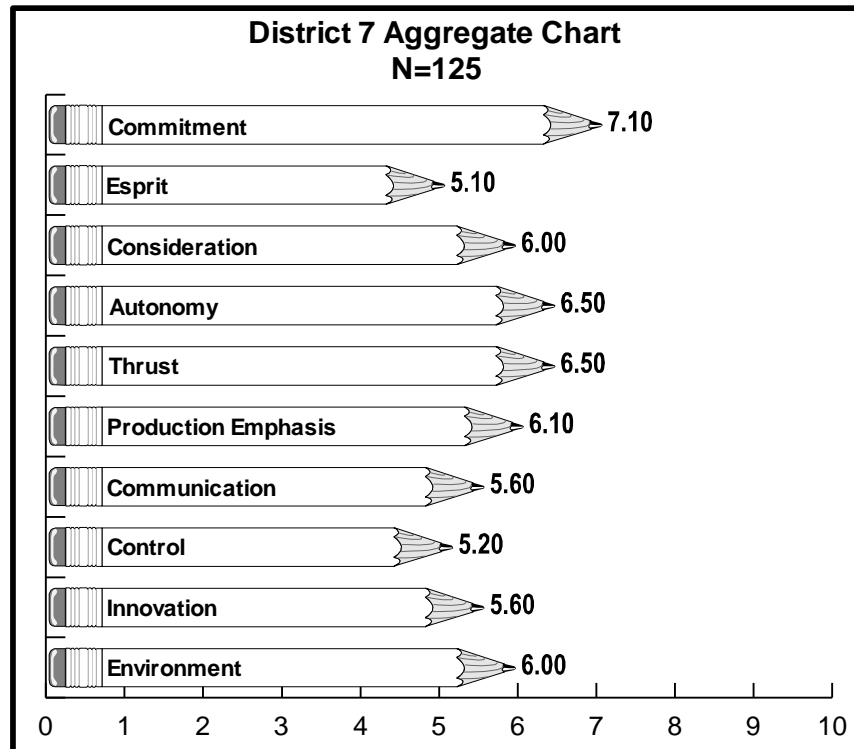


#### District Characteristics

- Elected Superintendent
- Medium size district in student population
- Slow but steady population increase with some inter district shifts in student membership
- High profile district with years of a state wide following-high student performance and system expectations
- Two superintendents over last 20 years
- Change of superintendent and School Board resulted in a dysfunctional relationship with profound impact on organizational context and numerous related issues
- No current strategic plan

#### Performance Appraisal System Characteristics

- At the time of the study the appraisal systems had full FCEM and DOE approval
- Comprehensive system which met with district wide acceptance
- Completed annually as required
- Employees could not articulate a direct relationship between their individual developmental needs and those perceived necessary for the organization
- Job descriptions outdated

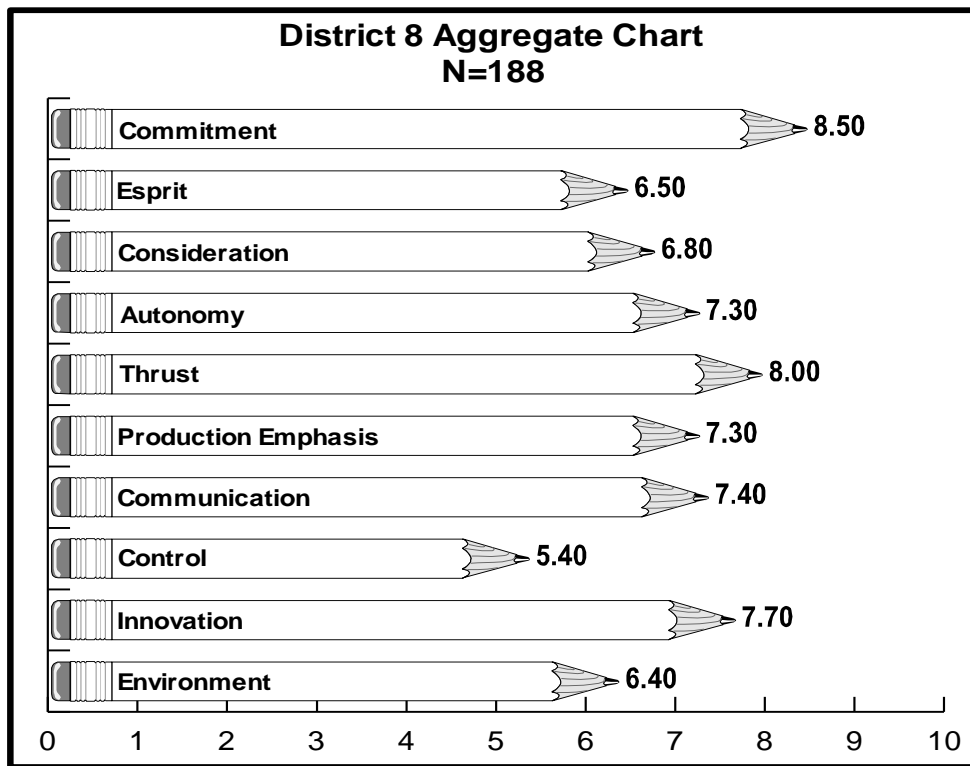


### District Characteristics

- Medium size district-soon to be larger due to the massive growth in student membership
- Heavy tourism impact - dramatic changes in community and infrastructure
- Elected Superintendent-recently changed to appointed
- Several Superintendents over the past 20 years
- School Board over past 20 years changed several times, at times at odds within itself and on occasion, volatile relationship with Superintendent
- Progressive forward thinking staff

### Performance Appraisal System Characteristics

- Current revised plans have full FCEM and DOE approval
- Comprehensive plan utilized annually
- Training and development connected to compensation for support personnel
- Job description development, current and exemplary
- With more strategic connectivity can become an outstanding system of appraisal
- Individual goals and long term system needs relationship, evident but not complete

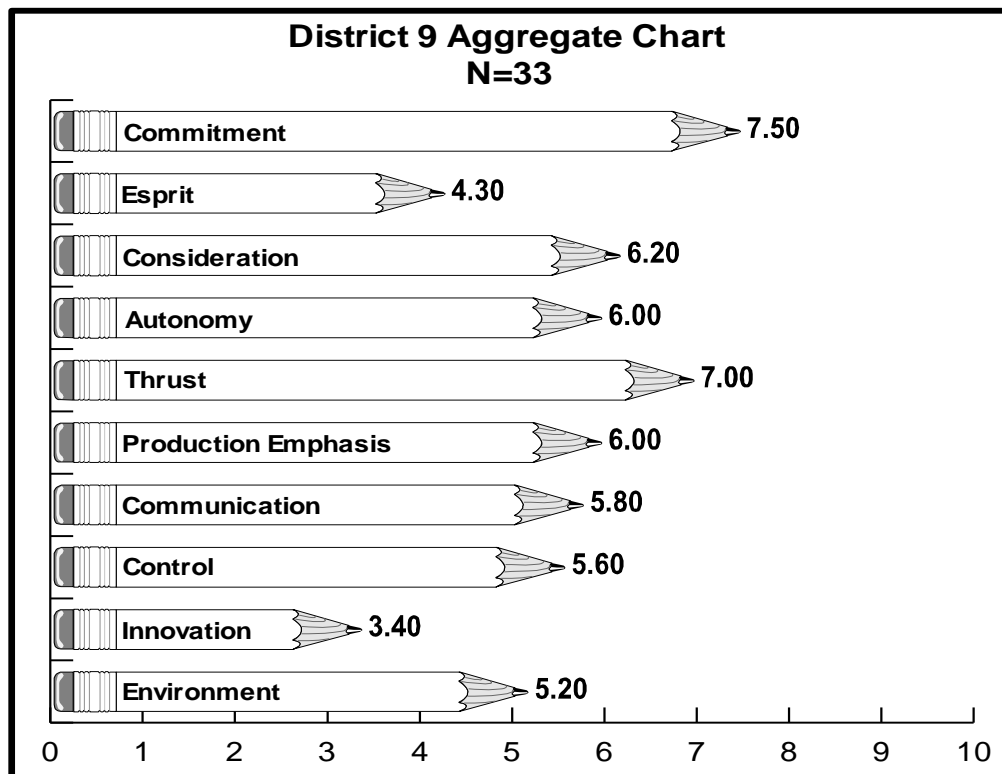


#### District Characteristics

- Elected superintendent
- One superintendent past 20 years
- Strong supporting School Board
- Highly visible visionary leadership available throughout the system
- Comprehensive planning system incorporating a long term quality enhancement program, which is followed
- Medium to large district in student membership
- Student population growth highly significant for several years and projected to continue

#### Performance Appraisal System Characteristics

- Newly developed to be more compatible with quality enhancement services
- Goal oriented connecting individual growth and district needs
- Visionary system which shows great promise
- Current systems have full FCEM and DOE approval
- District long term needs determination evident but needing enhancement
- Supporting training components under development

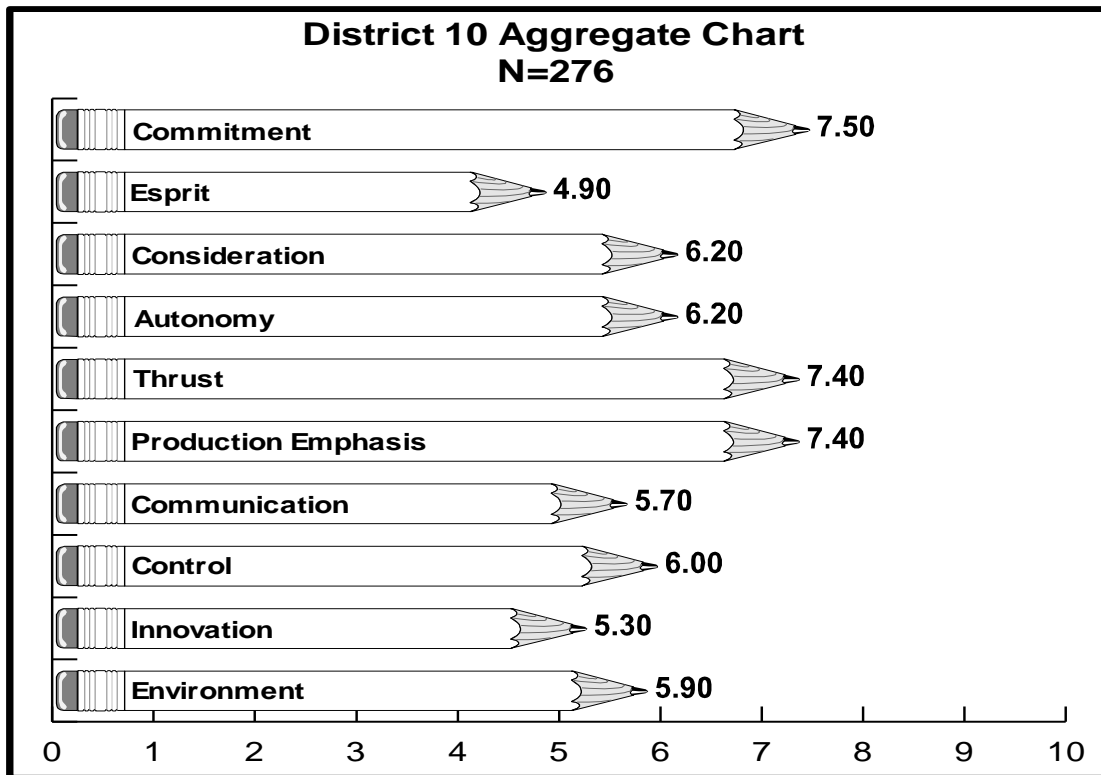


### District Characteristics

- Elected superintendent
- Medium to small district in student membership
- Rural slow growth community which citizens generally describe as living with traditional family values combined with the strong expression of interest for the district to remain that way
- Two superintendents over the past 20 years
- Strong supportive School Board
- No strategic plan
- Developing financial issues with emphasis in facilities

### Performance Appraisal System Characteristics

- Revised and comprehensive appraisal systems with full state approval
- Heavy emphasis in due-process issues of Performance Appraisals
- Strong training and supporting components
- Annually utilized and appropriately filed
- No long term district leadership needs determination
- Job descriptions outdated
- Limited or no connectivity between district organizational context and individual developmental needs and aspirations



#### District Characteristics

- Elected superintendent
- Large and growing school district
- Many diverse community segments from agriculture, heavy industry, tourism, to small and suburban
- Several superintendents over past 20 years
- Strong and generally supportive School Board
- Recent changes in leadership combined with reductions and downsizing have created uncertainty for employees and a threatening climate
- Strategic plan is in transition

#### Performance Appraisal System Characteristics

- Previous system considered as premier in the State with emphasis on the performance appraisal component
- Current systems have full FCEM and DOE approval
- Job descriptions outdated
- Annually utilized and filed appropriately
- HRMD system not currently a district focal point due to organizational changes and the leadership style of the outgoing administration
- Annually utilized and appropriately filed
- District leadership needs determination not evident
- Limited connectivity between organizational context and individual goals and aspirations

This instrument has been revised over time. The new Organizational Climate Surveys have been developed based on research (Miles, Halpen, Copeland, Hulse, Rogers) that identify factors or Domains found to contribute to a healthy organizational climate. Survey items are presented in a Likert-type format where the respondent strongly agrees, agrees, disagrees, strongly disagrees or has no opinion to a specific statement. Each Domain contains 6 to 10 statements that are associated with a specific concept area. Survey responses are assigned a numeric value, and aggregated for each Domain. The following Domain areas have been identified for these Organizational Climate instruments:

**Goal Focus** – degree that goals of the organization are clearly defined and accepted; goals are established that are achievable with existing resources; the degree that goals are congruent with the demands of the environment.

**Communication** – the degree that communication within the system is distortion-free in all directions: vertically, horizontally and across boundaries; degree that the organization has information needed to function effectively.

**Optimal Power Equalization** – distribution of influence is relatively equitable across the organization. Inter-group struggles are kept to a minimum.

**Morale** – degree that individuals feel a sense of well being, satisfaction and accomplishment; support is given to individuals to achieve the goals of the organization.

**Innovation/Adaptation** – degree of change, variety and emphasis on new approaches; ability of the organization to invent new procedures to accomplish goals.

**Autonomy** – degree of independence to make effective decisions; degree of self-sufficient behavior in daily functions.

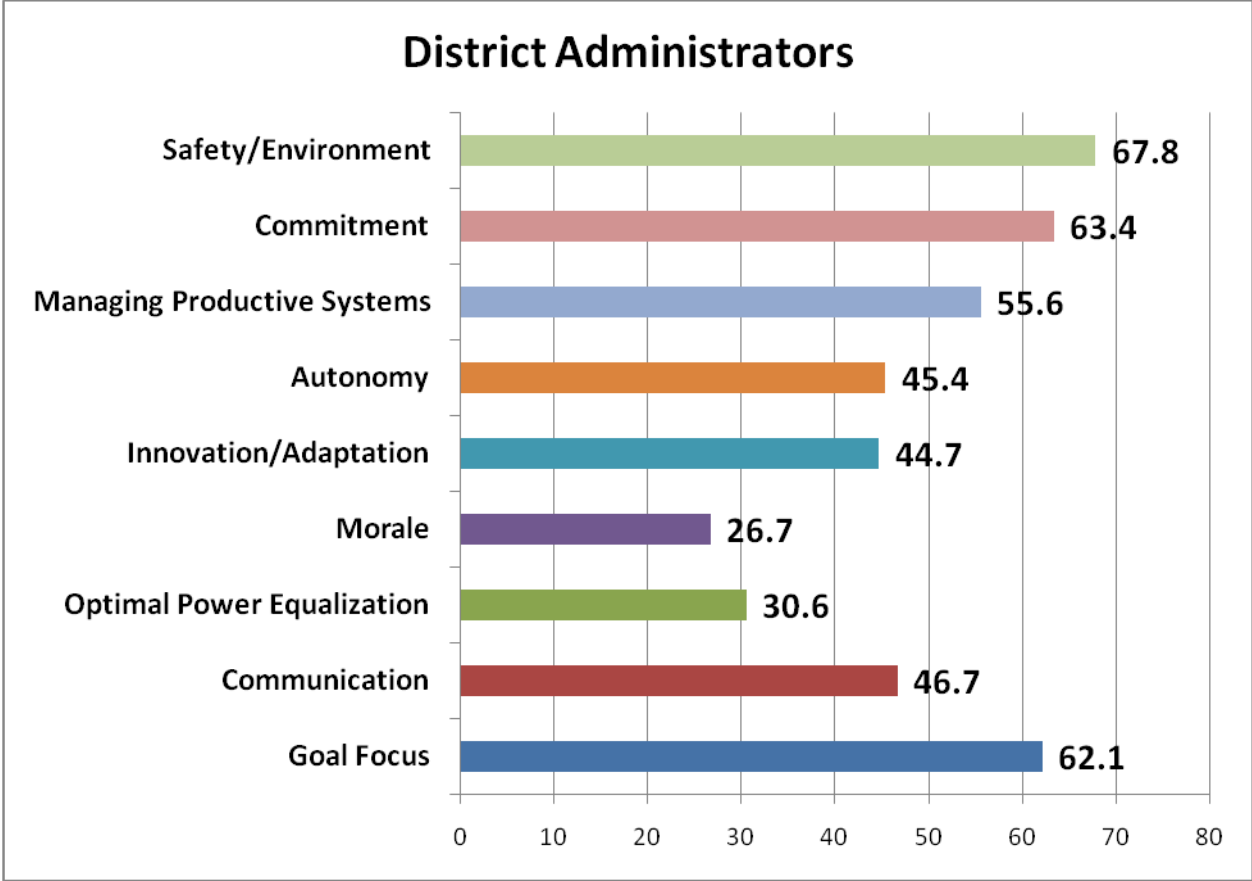
**Managing Productive Systems** – process and methodology of decision making; level of productivity and control; establishment of accountability systems.

**Commitment** – degree of concern and commitment to organization; sense of identity.

**Safety/Environment** – degree of satisfaction with working conditions; establishment of an orderly, safe and secure learning environment.

**Achievement** – degree of emphasis on student achievement.

For demonstration purposes **only**, we have chosen to include a fairly recent climate survey from a southeastern United States school district. Due to the nature of these climate results it is highly unlikely that a new system of any type will be implemented successfully until several climate domains are addressed and corrected. This is particularly true with regard to employee performance appraisal systems that are connected to performance pay. **The numbers of survey participants have been altered to prevent the identification of this school system. It would not be appropriate to draw conclusions from this survey without the benefit of the entire organizational management study.**

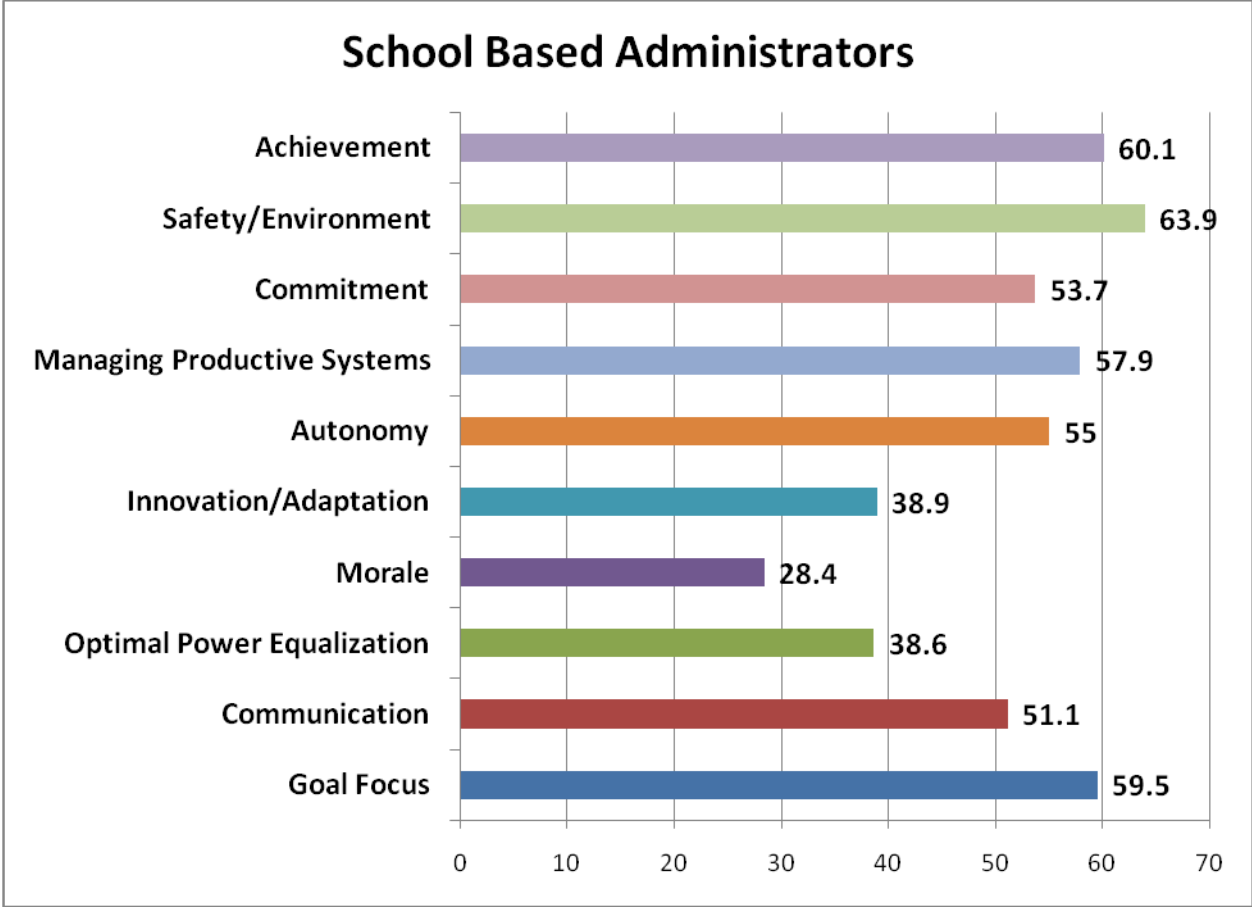


**N = 140**

(Scale range from 0 – 100; areas below 30 should receive focus)

### DISTRICT ADMINISTRATOR SURVEY RESULTS

| Domain                      | Average | Rating        |
|-----------------------------|---------|---------------|
| Goal Focus                  | 62.1    | Average       |
| Communication               | 46.7    | Average       |
| Optimal Power Equalization  | 30.6    | Below Average |
| Morale                      | 26.7    | Below Average |
| Innovation/Adaptation       | 44.7    | Average       |
| Autonomy                    | 45.4    | Average       |
| Managing Productive Systems | 55.6    | Average       |
| Commitment                  | 63.4    | Average       |
| Safety/Environment          | 67.8    | Above Average |

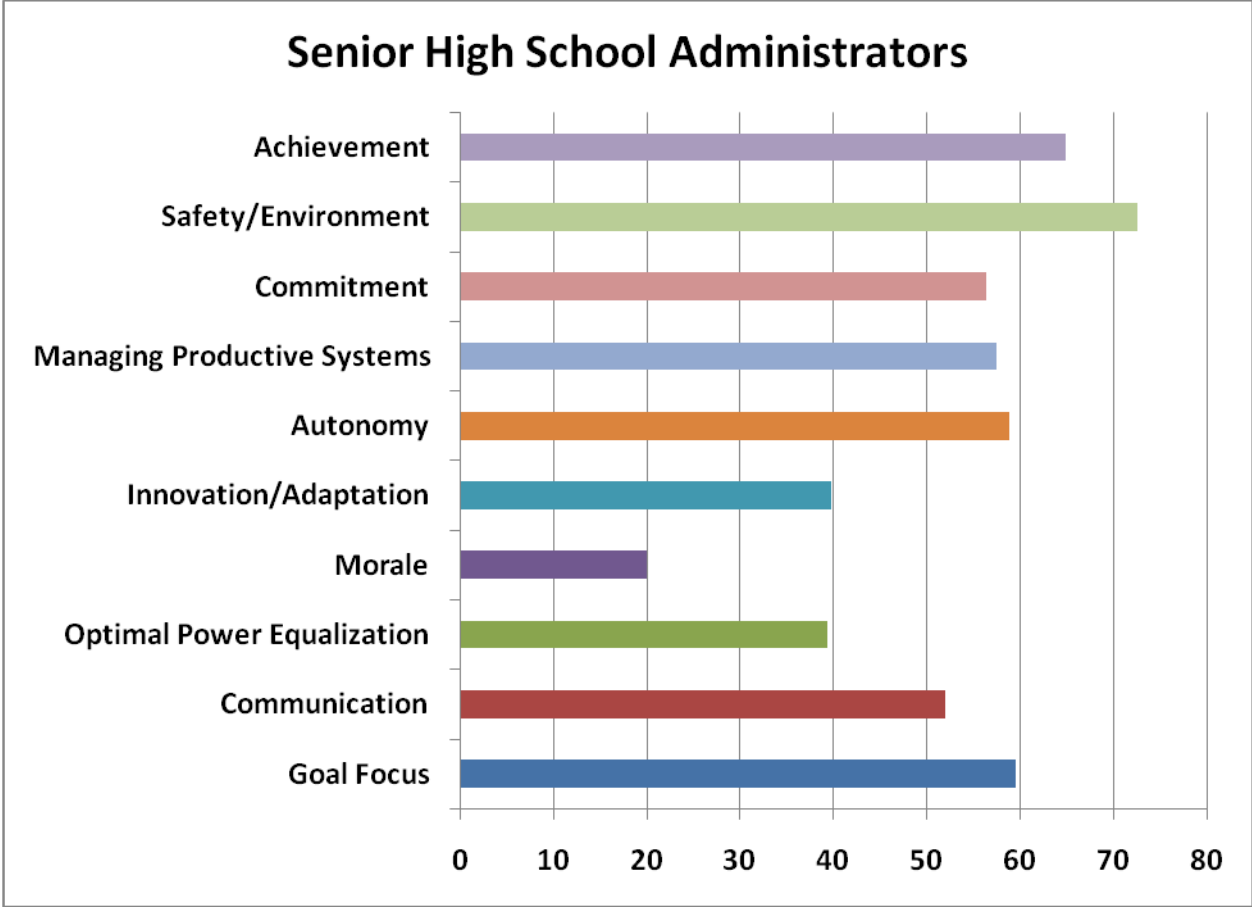


N = 268

(Scale range from 0 – 100; areas below 30 should receive focus)

### SCHOOL BASED ADMINISTRATORS SURVEY RESULTS

| Domain                      | Average | Rating        |
|-----------------------------|---------|---------------|
| Goal Focus                  | 59.5    | Average       |
| Communication               | 51.1    | Average       |
| Optimal Power Equalization  | 38.6    | Below Average |
| Morale                      | 28.4    | Below Average |
| Innovation/Adaptation       | 38.9    | Below Average |
| Autonomy                    | 55.0    | Average       |
| Managing Productive Systems | 57.9    | Average       |
| Commitment                  | 53.7    | Average       |
| Safety/Environment          | 63.9    | Average       |
| Achievement                 | 60.1    | Average       |

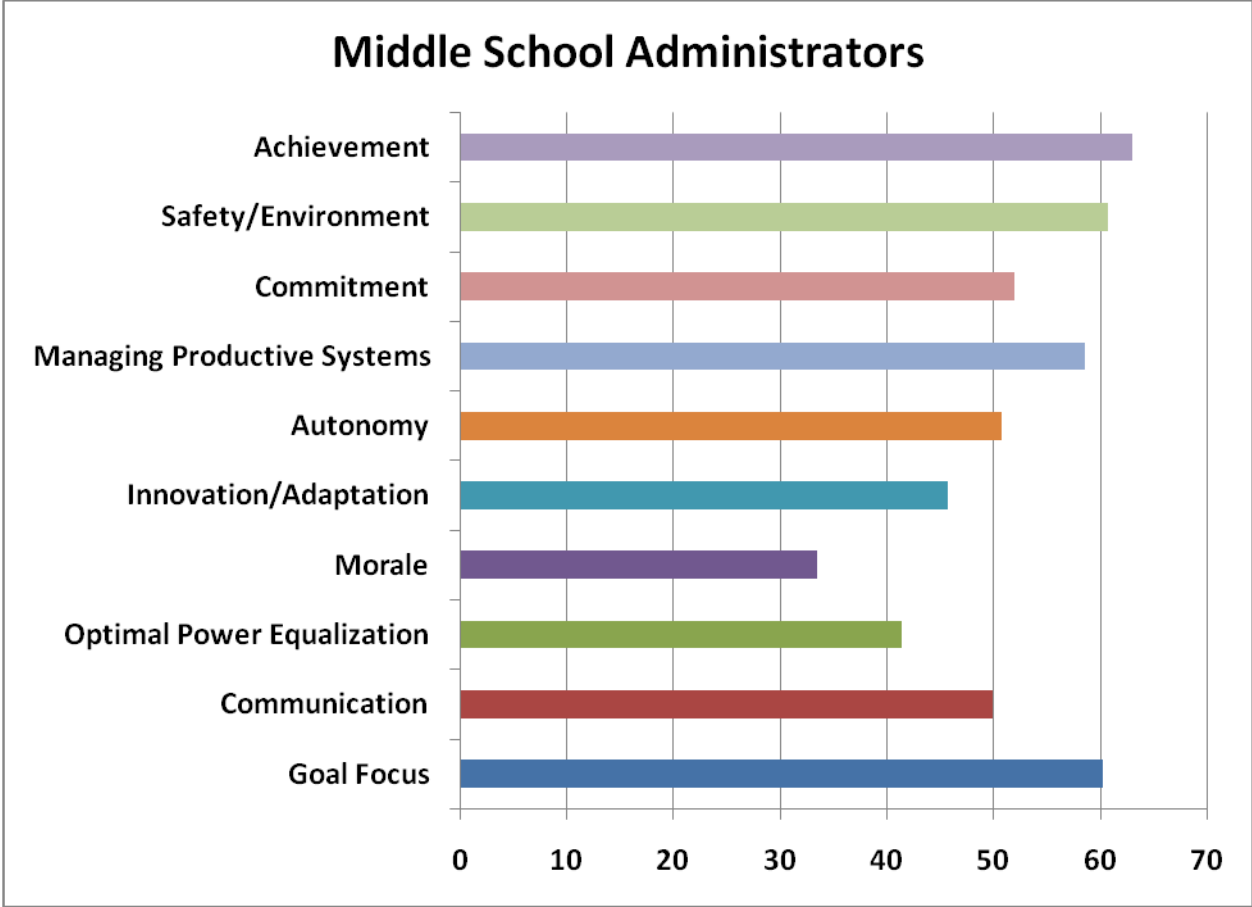


N = 69

(Scale range from 0 – 100; areas below 30 should receive focus)

### SENIOR HIGH SCHOOL ADMINISTRATORS SURVEY RESULTS

| Domain                      | Average | Rating        |
|-----------------------------|---------|---------------|
| Goal Focus                  | 59.5    | Average       |
| Communication               | 52.0    | Average       |
| Optimal Power Equalization  | 39.3    | Below Average |
| Morale                      | 20.0    | At-Risk       |
| Innovation/Adaptation       | 39.7    | Below Average |
| Autonomy                    | 58.8    | Average       |
| Managing Productive Systems | 57.5    | Average       |
| Commitment                  | 56.4    | Average       |
| Safety/Environment          | 72.5    | Above Average |
| Achievement                 | 64.8    | Average       |

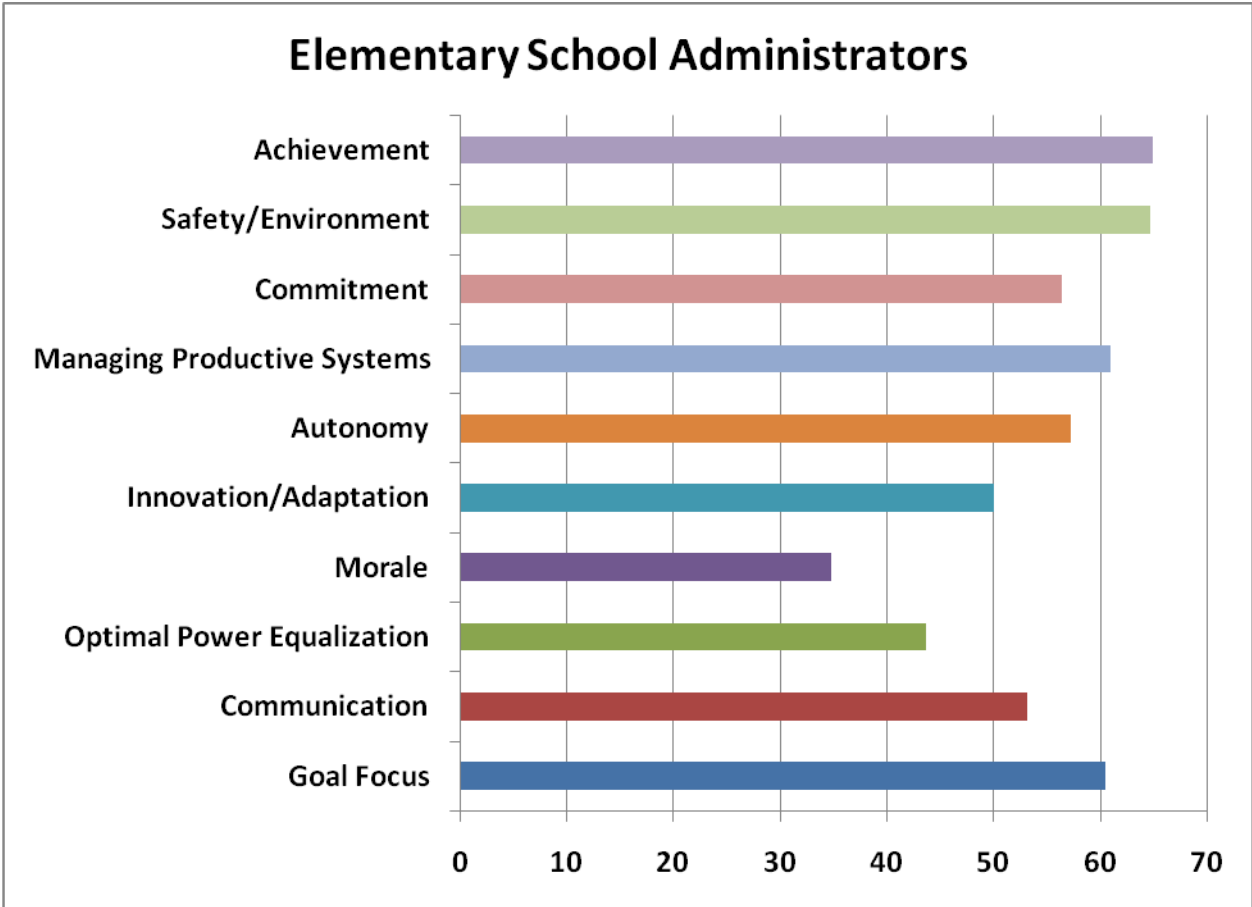


N = 58

(Scale range from 0 – 100; areas below 30 should receive focus)

### MIDDLE SCHOOL ADMINISTRATORS SURVEY RESULTS

| Domain                      | Average | Rating        |
|-----------------------------|---------|---------------|
| Goal Focus                  | 60.2    | Average       |
| Communication               | 49.9    | Average       |
| Optimal Power Equalization  | 41.4    | Average       |
| Morale                      | 33.5    | Below Average |
| Innovation/Adaptation       | 45.7    | Average       |
| Autonomy                    | 50.8    | Average       |
| Managing Productive Systems | 58.5    | Average       |
| Commitment                  | 52.0    | Average       |
| Safety/Environment          | 60.7    | Average       |
| Achievement                 | 63.0    | Average       |



**N = 103**

(Scale range from 0 – 100; areas below 30 should receive focus)

### ELEMENTARY SCHOOL ADMINISTRATORS SURVEY RESULTS

| Domain                      | Average | Rating        |
|-----------------------------|---------|---------------|
| Goal Focus                  | 60.5    | Average       |
| Communication               | 53.2    | Average       |
| Optimal Power Equalization  | 43.7    | Average       |
| Morale                      | 34.8    | Below Average |
| Innovation/Adaptation       | 50.0    | Average       |
| Autonomy                    | 57.2    | Average       |
| Managing Productive Systems | 61.0    | Average       |
| Commitment                  | 56.4    | Average       |
| Safety/Environment          | 64.7    | Average       |
| Achievement                 | 64.9    | Average       |

## SECTION 5 - CONCLUSIONS

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This section is designed as a quick reference compendium to the research conclusions and findings. The ones identified are considered over-arching in nature and must be addressed in any future design of appraisal systems holding the promise of success.

There were numerous other implications which space and time would not provide for amplification. Many of these will be addressed in a future publication to be titled, *The Art, Science and Practice of Performance Development in the Educational Management-Technical Community*. We anticipate this work to be published soon.

### Conclusions

- Connectivity to mission, vision, purpose and strategic plan is critical.
- District must conduct and maintain a comprehensive district-wide leadership needs determination.
- Employees must experience a comprehensive individual development inventory including a calendar for implementation.
- Adopted system must reflect its organizational culture - beliefs, mission and purpose.
- Districts must conduct a job analysis and establish a clearly delineated comprehensive set of essential performance functions with job specificity connected to the performance appraisal systems process.
- Districts must determine performance measurement criteria within the organizational context.
- Performance appraisal systems must include formative and summative components with a clear focus on development.
- Assessment data must be collected from multiple sources.
- The system must meet predetermined standards.
- The system must recognize the employee's role in assessment.
- The entire system must be based on the concept of no surprises.
- The organizational contextual domains and the individual employee developmental program must become parallel.

## Other Relevant Research Findings

- The agency organizational context and the individual work site context are keys.
- Attitudes, actions and practices in performance appraisal will only change when combined with a genuine commitment to development.
- Leadership development and other staff development components must be focused on the alignment of the individual and organizational needs.
- Continuing organizational sensitivity to issues such as organizational climate, character, morale and trust are critical.
- Effective performance development may be characterized as a continuing, developing conversation in an atmosphere of mutual respect and trust.

## Required Appraisal System Components

This page is included as a summary of performance appraisal system components considered crucial for inclusion in the new systems designed by districts.

The development of training components should be addressed accordingly. Districts are encouraged to take full advantage of existing training modules which meet these standards.

- Comprehensive district-wide needs determination
- Comprehensive individual development, inventory and calendar
- Establishment of organizational culture - beliefs, mission and purpose
- Periodic or annual assessment instrument
- Comprehensive assessment
- Goal setting or problem resolution
- Professional development assistance plan
- Employee coaching
- Career development
- Mentoring
- Due process
- Appraisal management system

## Basic Management Practices

One area which the consultants determined to be often left to chance is the broad field of day-to-day management and leadership practices. The prevailing concept is that as other contemporary systems emerge and the supporting culture grows, such practices will change in due time and as a matter of course. This is probably true, but it takes time, time and more time which is something according to Schlechty, McFarland, Posner, *et al*, that we may not have.

In an effort to identify practices which have a direct impact on change, an organizational study team under the leadership of Dr. Luther R. Rogers, Associate Executive Officer of FADSS, participated in a brain storming session on the subject. The effort was such a rich experience and so essential as an agent of change, the product is included for reference. School districts would be well served to govern themselves in practice, as well as in training and development initiatives accordingly.

## **MANAGEMENT AND LEADERSHIP PRACTICES**

### **Delivery System(s) Observable Behaviors**

| <b>From non-correlated and limiting</b>                           |               | <b>To aligned and maximized</b>                             |  |
|---|---------------|---|--|
| Convenience   | <b>versus</b> | Competence - Strength                                       |  |
| Random  | <b>versus</b> | Organized-Coordinated                                       |  |
| Power   | <b>versus</b> | Strategy Development and Collaboration                      |  |
| Fiefdoms  | <b>versus</b> | Teamwork  |  |
| Disorder Chaos  | <b>versus</b> | Systems – Rules   |  |
| Spasmodic Interaction   | <b>versus</b> | Roles – Relationships                                       |  |
| Decisions are random, situational and controlled by past practice | <b>versus</b> | Decisions are structured, strategic and data driven         |  |
| Mission and Vision are variable and political                     | <b>versus</b> | Mission and Vision are focused and constant                 |  |
| Relationships are social and disjointed as influenced by politics | <b>versus</b> | Relationships are interactive, driven by direct leadership. |  |