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THE UNIVERSITY OF ALBERTA

TEACHER EVALUATION POLICY IMPLEMENTATION

by

JOHN MICHAEL BURGER

A THESIS

SUBMITTED TO THE FACULTY OF GRADUATE STUDIES AND RESEARCH IN  
PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE DEGREE OF  
DOCTOR OF PHILOSOPHY

DEPARTMENT OF EDUCATIONAL ADMINISTRATION

EDMONTON, ALBERTA

FALL, 1988

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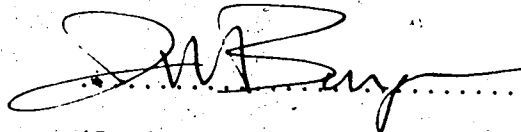
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## ABSTRACT

This study was an investigation of the degree of teacher evaluation policy implementation in Alberta, the events which influenced policy adoption, the variables which affected policy implementation, and the utility of a policy implementation model in explicating the implementation process.

The first phase of the study consisted of semi-structured interviews with nine individuals who influenced the development of policy on teacher evaluation at the provincial level. A primary purpose of this phase was to research the background, to define the purposes and intents of teacher evaluation policy, and to determine the policy makers' perceptions of the implementation of the policy.

A teacher, a principal and the superintendent or designate from each of thirty of the 146 active Alberta school jurisdictions were randomly selected for inclusion in the second phase of the study. Respondents were interviewed for their perceptions of the teacher evaluation policy process. These second phase interviews with policy implementors were structured by findings from the first phase interviews with policy makers and by the variable clusters from the Van Horn and Van Meter policy implementation model. The study also included a document analysis of teacher evaluation policies and teacher evaluation instruments from the 30 jurisdictions involved in the study.

The findings revealed that provincial education officials characterized teacher evaluation policy adoption as a long term process extending over a period of 16 years; however, the implementation was greatly facilitated by a single, high profile event centering on an Alberta teacher's decertification for unacceptable teaching standards.

In addition, teachers who were provided with opportunities for input into the design of teacher evaluation policies at the local level generally were found to have little effect on the policy development process.

Further, principals and superintendents exhibited a level of expectation for full implementation of teacher evaluation policy which exceeded provincial education officials' expectations.

Fourteen recommendations for adjusting future teacher evaluation policy implementation were identified in the study.

The study confirmed that a multiple-variable policy implementation model can serve as an effective heuristic device in designing and evaluating a complex policy implementation process.

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## CHAPTER 1

### Introduction to the Study

Societal and governmental concerns for excellence and accountability in education are evidenced by renewed attention to evaluation at classroom, school and district levels.

Numerous reports and studies in recent years, the most notable being A Nation At Risk (National Commission on Excellence in Education, 1983), A Nation Prepared: Teachers for the 21st Century (Carnegie Task Force, 1986) and Tomorrow's Teachers (Holmes Group, 1986), have raised questions about the capabilities of teachers and the effectiveness of schools. A number of Canadian provinces, including Alberta, have produced reports which have focused on student achievement levels (Alberta Education, 1979; Radwanski, 1987), on teacher education (Alberta Education, 1984a; Fullan and Connelly, 1987) and on teacher evaluation (Alberta Education, 1984b).

Concerns regarding the quality of education are often translated into policy initiatives by state or provincial departments of education. Policy adoption, however, does not guarantee implementation. Recent research on policy implementation by numerous authors has revealed the process to be complex, interactive and fraught with numerous barriers. Policy implementation studies based on comprehensive models hold promise for explicating and clarifying the processes

important to implementing policies intended to achieve educational reform. The study which is the subject of this report was designed to yield insights into the processes associated with implementing a specific policy within a particular context.

#### Statement of the Problem

This study investigated the implementation of teacher evaluation policy in Alberta. More specifically, the purposes of the study were to examine the events which influenced the adoption of a teacher evaluation policy at the provincial level, the variables which influenced the implementation of the policy at the local levels, and the utility of a particular model in structuring an investigation into a policy implementation process.

The problems and subproblems addressed were as follows:

1. What events affected the adoption and implementation of teacher evaluation policy in Alberta?
  - a. What were the practical policy intents of the policy makers?
  - b. What were the anticipated ideal policy intents of the policy makers?
  - c. How did social structures or informal networks affect the policy process?

d. What were the policy makers' perceptions with respect to the current status and possible future outcomes of teacher evaluation policy?

2. What were the policy intents as perceived by policy implementors? Were the perceptions of intents held by policy makers and by implementors similar?

3. How have policy standards and resources affected teacher evaluation policy implementation?

4. How have communications, enforcement strategies, characteristics of the implementing agencies, political environments, and the socio-economic environments affected teacher evaluation policy implementation?

5. In what ways did the disposition of the policy implementors affect policy implementation?

6. What were the policy effects as perceived by the policy makers and by the policy implementors, and to what extent were these similar?

7. How similar were the expectations of policy makers and policy implementors regarding the degree to which there would be full implementation of teacher evaluation policy?

4

8. What future adjustments to teacher evaluation policy implementation processes were perceived to be desirable by policy makers and policy implementors?

9. What were the similarities and differences evident in Alberta school jurisdictions' teacher evaluation policies and instruments?

Finally, the utility of the Van Horn and Van Meter (1977) policy implementation model for analyzing the implementation of teacher evaluation policy was investigated.

#### Background to the Study Problem

In 1984, the Alberta Department of Education adopted a policy which required school jurisdictions in the province to develop and adopt local policy on teacher evaluation. Teacher evaluation policy development was a local jurisdiction responsibility, but local policies had to meet provincial guidelines, especially with respect to the due process criterion. Each Regional Office of the Alberta Department of Education was responsible for receiving policy statements from school systems in its zone, but not all policy elements could be assessed from an a priori review of policy documents. Several items which the Regional Offices attempted to survey, such as, "How well is the process communicated?", "What resources or personnel are available to assist?", and "What is

the importance of teacher and supervisor commitment to follow up on the findings of ongoing evaluation?" needed to be assessed during implementation of the policy. Consequently, a comprehensive evaluation of the policy implementation process, conducted in the field in a randomly selected sample of school districts had the potential to further clarify the policy implementation process.

Teacher evaluation was one aspect of a broader policy on evaluation specified in the Alberta Department of Education's Management and Finance Plan (MFP). Included in this administrative approach was the requirement for evaluation of five levels of school jurisdiction operation: student, teacher, program, school and school system.

The purpose of teacher evaluation in Alberta was first elaborated formally in the Department of Education's 1984 Program Policy Manual (1984b:69) which stated "use [of] the results of evaluations [is] to improve further the quality of education. . . ." Policy regarding teacher evaluation as specified in the Program Policy Manual (1984b:72) read as follows:

The performance of individual teachers and the quality of teaching practices across the province will be evaluated to assist in the provision of effective instruction to students and in the professional growth and development of teachers.

The complete provincial policy on teacher evaluation is presented in Appendix A.

Several organizational levels were involved in various aspects of the teacher evaluation policy processes. The provincial Department of Education developed and adopted policy at the provincial level which established requirements for local school jurisdictions to develop and adopt local teacher evaluation policies. School jurisdictions were primarily responsible for implementation, but the province was involved through monitoring the process. School based personnel were only peripherally involved in policy development and had little or no opportunity to affect the local policy adoption process, but were heavily involved in implementation by virtue of their proximity to the level of implementation. These relationships are summarized in Figure 1.1 below.

Figure 1.1 Organizational Level Involvement in Policy Processes

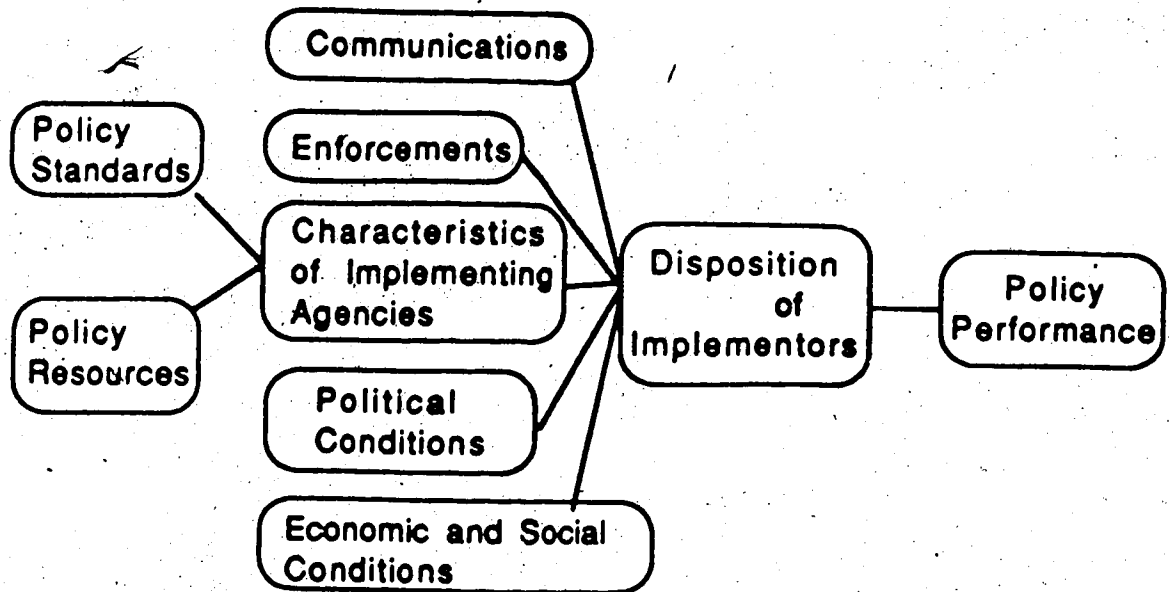
	Department of Education	School Jurisdictions	Schools
Policy Development	High	High	Low
Policy Adoption	High	High	Nil
Policy Implementation	Low	High	High

## A Policy Implementation Model

Van Horn and Van Meter (1977) developed a conceptual model of the policy implementation process which has been adapted for purposes of the present study. In developing their conceptual model, Van Horn and Van Meter (1977:101) stated that they "were guided primarily by organizational theory literature; and more specifically, by the work in the area of organizational change (innovation) and control." While their model was intended to guide analysis of federal government policy implementation at the state and local levels, the concepts should apply equally well to provincial policy implementation at the local level.

The model was also simplified. Van Horn and Van Meter suggest the variables which comprise the model are characterized by a complex set of inter-linkages. These inter-linkages were de-emphasized because the most critical component of the model in this particular study was the disposition of the implementors variable. The revised model of policy implementation as adapted from the Van Horn and Van Meter (1977) conceptualization is diagrammed below.

Figure 1.2 An Adapted Model of Policy Implementation



Source: Adapted from Carl E. Van Horn and Donald S. Van Meter, "The Implementation of Intergovernmental Policy," Policy Studies Review Annual, Vol. 1., Stuart S. Nagel, ed. Beverly Hills: Sage Publications, 1977.

Policy implementation is described by Van Horn and Van Meter (1977:103) as "encompassing those actions by public and private individuals (or groups) that affect the achievement of objectives set forth in prior decisions."

A distinction is made by Van Horn and Van Meter (1977:103-104) between policy impact studies, which examine the linkage between specific program approaches and observed consequences and answer the question "What happened?", and policy implementation studies, which highlight the forces or activities which affect the rendering of service and answer



the question 'Why did it happen this way?' In other words, policy implementation is a necessary, but not a sufficient condition for policy impact.

As depicted in Figure 1.2, Van Horn and Van Meter's (1977:105-107) model is composed of eight "variable clusters" including: 1) policy resources, 2) policy standards, which have been interpreted as input variables; whereas, 3) communications, 4) enforcements, 5) economic and social conditions, 6) characteristics of implementing agencies, 7) the political conditions, and 8) the disposition of implementors are process variables which affect local implementation efforts to achieve policy performance. The disposition of the implementors variable is largely affected by the actions of the other seven variables. Policy performance is the output variable in this systems theory based model.

Policy resources are simply the funds and incentives allocated to the policy initiative. Policy standards are defined by Van Horn and Van Meter (1977:107) as policy inputs which "establish requirements, in varying degrees of specificity, for how those [policy] goals shall be implemented." An example of policy standards is the due process requirement of the Department of Education associated with teacher evaluation policy implementation in Alberta.

The communications variable cluster relates to the clarity with which policy standards are communicated to

implementors, so they will know what is required of them, and to the interpretations implementors place on the program and acceptable local performance (Van Horn and Van Meter, 1977:108-109).

Enforcements are of three types: norms, incentives and sanctions. These correspond to Etzioni's distinction among normative, remunerative and coercive forms of power. Van Horn and Van Meter (1977:110) caution that "agencies with competent staffs and leadership require different enforcement approaches than those that are poorly staffed and led."

Characteristics of the implementing agency relates to expertise and refers essentially to "the experience and competence of the staff to perform the tasks required of them" (Van Horn and Van Meter, 1977:114).

The political environment relates to a crucial process variable cluster associated with policy implementation and is defined by Van Horn and Van Meter (1977:114) as "the extent of support for or opposition to the policy objectives. . . ."

Economic and social conditions refer to environmental conditions affecting the implementation process. Van Horn and Van Meter (1977:115) suggest that "the types of economic resources within the community will influence the kinds of services that can be offered and their importance."

Disposition of implementors refers to elements of the implementors' response which may affect their ability or willingness to implement, i.e., their cognition or

comprehension of the policy standards; the direction of their response toward them; and the intensity of their response (Van Horn and Van Meter, 1977:113).

The Van Horn and Van Meter (1977) conceptual model assists in defining the key variables and processes of policy implementation. Van Horn and Van Meter (1977:116) suggest their conceptual model should be viewed as a heuristic device. The model was used in this study to define data collection on teacher evaluation policy implementation. For example, "enforcements" related to the rewards and incentives used to induce teachers, principals and superintendents as policy implementors to comply with provincial policy on teacher evaluation. "Communications" related to the extent to which the policy implementors understood what was expected and required of them in implementing the policy. "Characteristics of the implementing agency" defined the skills and expertise requisite for district and school personnel to put the policy into practice. In summary, the definitions of the eight variables of the conceptual model assisted the process of defining the questions to be asked of the policy implementors in order to describe their perceptions of teacher evaluation policy implementation.

### Significance of the Study

This study has significance in extending the research on policy implementation and in the potential contribution it might have for theory development on the implementation process. In addition, the study holds implications for practicing administrators in assisting them to better understand policy implementation in educational settings.

### Research and Theory

Policy implementation is defined by Scheirer and Rezmovic (1983:620-621) as largely a political decision process likely to be influenced by non-rational factors. They suggest policy intents must first be defined through consultation with legislators, policy administrators and local policy implementors as a means of translating the policy problem into researchable terms. Other authors, including Newcombe and Conrad (1981), Hansen (1983), Elmore (1979) and Van Horn and Van Meter (1977), also argue for a divergent analysis of policy implementation and suggest that multiple perspectives, such as organizational behavior, planned change and educational politics are useful frameworks for analyzing policy implementation.

Several authors, among them Dror (1981), Berman (1978), and O'Toole (1986), have focused on the need for multivariate models to facilitate policy research. There seems to be

increasing support among policy researchers for multivariate models of policy implementation which are necessary in order to account for the complexities of policy implementation processes. O'Toole (1986:183-184) examined more than 300 policy studies covering almost all major fields of policy and suggested that while researchers do not agree on the outlines of a theory, nor necessarily on the specific variables crucial to implementation success, the possibility of building more convergence regarding what variables are important exists.

Research focusing on potential policy implementation variables may have general, if not universal, applicability to divergent policy environments. Such research may build on the foundations of policy implementation models and indicate which models are most effective in explicating a context bound policy implementation process. The present study, based on the Van Horn and Van Meter (1977) model, is intended to provide information to both policy makers and policy implementors regarding the value of the model as a heuristic device in a study of teacher evaluation policy implementation.

#### Potential Contributions to Practice

Teacher evaluation policy implementation can have positive, negative or negligible impacts on the quality of teaching. The impact of a policy initiative is partly a function of the implementation process. Well implemented

policies have a greater potential for achieving a positive, desired impact than do poorly implemented policies. An implementation study may provide information that could assist policy makers and policy implementors to make needed adjustments to policy implementation.

According to the Department of Education's Program Policy Manual (Alberta Education, 1984b) teacher evaluation policy outcomes were intended to have a positive impact on the quality of teaching. And yet, poorly implemented teacher evaluation policy can conceivably have the opposite effect. Popham (1986:56) believes "the implementation of large-scale teacher evaluation systems may, in the long term, have an adverse effect on the quality of education." An implementation study which provides timely information can assist in identifying adjustments to teacher evaluation policy which may be needed to assure the impact of policy is positive.

Policies, Rubin (1984:8-9) notes can outline an action plan, identify specific goals, establish mandates, provide guidelines, outline a problem-solving strategy, sanction behavior or achieve consistency. Teacher evaluation policy in Alberta encompasses all of the elements Rubin mentions. The complexity of this policy initiative supports the value of a policy implementation study. The effective implementation of teacher evaluation policy requires a long term commitment as well as coordination and cooperation among all groups with a

vested interest in teacher evaluation. An analysis of the political, bureaucratic and technical dynamics of implementing policy on teacher evaluation was expected to assist in exploring the relationships among the groups involved in policy implementation.

Numerous policy researchers support the need for policy implementation studies as a means of improving social programs. Furthermore, a study of teacher evaluation policy implementation in Alberta may have implications for similar attempts at implementing teacher evaluation policies in other educational settings.

#### Definitions

Critical terms used in this study are defined below in order to clarify their contextual meaning.

Policy development - the activities and processes which supported and guided the identification of need for teacher evaluation policy and which defined the form and content of draft policy at both the provincial and local levels.

Policy adoption - the activities and processes involved in formally accepting teacher evaluation policy as a part of the mandate of the Department of Education and of local school jurisdictions.

Policy implementation - the activities and processes involved in taking teacher evaluation policy initiative from the policy adoption phase to a stage where the intents of the policy are achieved in practice. Teacher evaluation policy implementation was largely, but not exclusively a local school jurisdiction responsibility which required extensive involvement of school based personnel.

Policy implementation study - a process evaluation which provides information on policy implementation to policy makers and program personnel in order to allow adjustments to the implementation process prior to conducting a product or impact evaluation.

Policy impact - changes in behavior or attitudes that result from policy implementation and which may or may not reflect the initial policy intents.

Teacher evaluation - all activities and procedures directed to formally assessing the performance or competence of teaching personnel in elementary and secondary schools.

Management and Finance Plan - a program policy document prepared by the Alberta Department of Education to define policies and guidelines for financial and program initiatives of the Department of Education.



Due Process - includes the criteria that teacher evaluation policy: applies to all teachers, is fair and consistent in application, permits consultation with teachers in the development of local policies, provides for copies of the evaluation to the teacher, is consistent with the principles of natural justice, and provides for an appeal mechanism..

#### Delimitations

This study was delimited to ascertaining the state of teacher evaluation policy implementation in Alberta in 1986-87, through interviews with policy makers, administrators and teachers in school jurisdictions, and through the analysis of jurisdiction-based policy documents and instruments used in the evaluation of teachers.

#### Assumptions and Limitations

The following assumptions and limitations apply to this study:

The Alberta Department of Education required school districts to have policy on teacher evaluation in place by June, 1985; it was therefore assumed that the sampled jurisdictions would have begun implementation of teacher evaluation policy and that policy implementation had proceeded to a stage at which a study such as this was warranted.

Events affecting teacher evaluation have been occurring historically for many years. Historical events are not being addressed in this study; rather the study focuses on events in the 80's as influenced by recent events of the 70's.

The exploratory nature of the study through interviews was assumed to be the most effective method of researching the process of teacher evaluation policy implementation. Interviews permit an interactive, exploratory opportunity not available through single stage survey methods.

Furthermore, the case coding scheme used to define first phase interviews with policy makers and the policy implementation model used to structure second phase interviews with policy implementors were assumed to be valid means of defining the reality of teacher evaluation policy adoption and implementation processes.

Since only 90 policy implementors in 30 of the 146 Alberta school jurisdictions were interviewed, limitations due to sampling error are possible.

The potential for interviewees to experience perceptual error and inaccuracy in describing teacher evaluation policy processes may have limited the accuracy of the research.

### Organization of the Thesis

The background to the study, the problems and subproblems the study addresses, the conceptual framework supporting this

study, a definition of the Van Horn and Van Meter (1977) model of policy implementation, and the significance of the study for theory and research were discussed in this chapter. Furthermore, terms relevant to the study were defined, and delimitations, limitations and assumptions associated with the study were noted.

Chapter 2 is a review of related literature. Chapter 3 details the study research design and methodology. The findings with respect to the first problem and associated subproblems are discussed in Chapter 4. The findings related to the second and third problems are presented and discussed in Chapter 5 and those related to problem four are discussed in Chapter 6. Problems five through eight are dealt with in Chapter 7, the ninth problem is covered in Chapter 8, and the tenth problem is presented in Chapter 9.

## CHAPTER 2

### Review of Related Literature

The purposes of the literature review were to examine 1) the theoretical organizational processes having implications for teacher evaluation policy implementation, 2) the general societal context of teacher evaluation in Alberta, 3) recent studies of teacher evaluation processes, 4) the role of policy studies in addressing policy implementation problems, 5) the need for development of policy implementation models, and 6) support for development of policy implementation models.

### Organizational Theory and Teacher Evaluation

The theoretical perspectives which Mintzberg (1979) and Meyer and Rowan (1978) discuss provide useful perspectives for assessing the political and bureaucratic aspects of teacher evaluation policy. Specifically, Mintzberg presents a conceptualization of the teaching profession which explains the capacity of the profession to resist change imposed exogenously, such as demands from a department of education for teacher evaluation. Meyer and Rowan introduce the concept of the "Logic of Confidence" which, similar to Mintzberg's conceptualization, also explains how the teaching profession can successfully resist change.

The teaching profession can be described as a professional bureaucracy (Mintzberg, 1979). Professional bureaucracies are characterized by autonomy which Mintzberg (1979:371) suggests "allows the professionals to perfect their skills, free of interference." This suggestion assumes that the professional accepts responsibility for self-directed skill development and that the aura of the professional bureaucracy is not eroded. An inherent characteristic of the professional bureaucracy lies in its internal, self-reliance for professional ethics. The crucial components of democracy and autonomy represent, according to Mintzberg (1979:372), "all the major problems of the Professional Bureaucracy." When there are few or no external controls on the work from outside the profession, there is also "no way to correct deficiencies that the professionals themselves choose to overlook." Professional discretion is a double edged sword which "allows professionals to ignore needs of clients and the organization" (Mintzberg, 1979:374).

When the public and government perceive client needs as not being adequately served, Mintzberg (1979:376) suggests that problems are seen

as resulting from a lack of external control of the professional, and his profession. So they do the obvious: try to control the work with one of the coordinating mechanisms. Specifically, they try to use direct supervision, standardization of work processes, or . . . of outputs.

Mintzberg (1979:377-378) argues that the nature of the professional bureaucracy makes attempts at external controls difficult. He argues that complex work cannot be effectively performed unless it is under the control of the professional who performs it, and that "technocratic controls" lessen professional conscientiousness with the result that innovation can suffer.

Rather than forcing external control on the professional bureaucracy Mintzberg (1979:379) argues that other strategies might be more effective. Specifically, he states, "change seeps in by the slow process of changing the professionals - changing who can enter the profession, what they learn. . . and thereafter how willing they are to upgrade their skills."

Mintzberg's conceptualization of the professional bureaucracy is an effective framework for describing the internal structures of the teaching profession and the interactions the profession establishes with its environment. External demands for teacher evaluation interact with the characteristics of freedom and autonomy which are inherent in the professional bureaucracy. Freedom and autonomy are necessary to carry out the work of the professional, but paradoxically, at the same time they create the space for error and abuse of teacher responsibilities to occur. Furthermore, the unique relationship between professional teacher and student do not submit well to standardization,

thus making external evaluation a difficult process to establish with validity and reliability.

The technical difficulties of creating effective teacher evaluation processes within a professional bureaucracy are also addressed by Strike and Millman (1983:397). They comment, "the central issues of designing an effective and functional system of evaluation concern how to embed technically respectable methods of evaluation into a complex social and institutional environment."

Strike and Millman (1983:390-393) suggest several questions relative to a research agenda on teacher evaluation. For example, research might address whether differences in the legal rights of tenured and non-tenured teachers are sufficient reasons for different evaluation practices between these two groups. In addition, what constraints do political considerations place on the technical aspects of teacher evaluation? Are teacher evaluation practices congruent with teacher views and teacher roles? And, what administrative structures are required relative to administrative support, teacher involvement, an expertise base, and a generally recognized need for change in the teacher evaluation process?

Authority in the professional bureaucracy is based on the power of expertise. Trust is placed in the professionals by clients, partially because of this perceived expertise, but organizational structures can also provide a basis for trust in professionals. Meyer and Rowan (1978:81) note that there

is low control over the internal instructional activities, in educational organizations because of the loosely coupled structure of schools. However, certain formal structures such as certification of teachers, allocation of funds, and curriculum design, are tightly organized. These tightly controlled formal structures are defined as "ritual classifications" by Meyer and Rowan (1978:95) which provide order for schools and provide an additional basis for trust in the professionals. Meyer and Rowan (1978:100) note that the ritual classification structures are decoupled from the internal instructional activities of the school and that this "decoupling protects the ritual classification scheme [because] . . . measuring what teachers are actually teaching introduces unnecessary uncertainty . . . and creates doubts about the effectiveness of . . . the categorical rules that define appropriate education."

Meyer and Rowan (1978:101-102) suggest that this decoupling is a mechanism for maintaining support for the organization in a pluralistic environment and the "logic of confidence" created is a process for maintaining the legitimacy or trust placed in the organization itself. They conclude that "The most visible aspect of the logic of confidence in the educational system is the myth of teacher professionalism [which] . . . helps to justify the confidence placed in teachers" (Meyer and Rowan, 1978:102).



Meyer and Rowan (1978) link the mythical aspects of professionalism to the logic of confidence which results from the decoupling of the formal, ritualistic classifications of the organization from the internal instructional operations of the school. This decoupling allows teacher professionals to operate in relative isolation from potentially critical environments. Mintzberg (1979), as discussed above, views professionalism as also based in bureaucratic structures such as standardization and decentralization, but links professionalism directly to the complex nature of the professional technologies.

These two views are complementary. The logic of confidence placed in educational organizations helps to explain how professional bureaucracies can buffer themselves from their environments. Conversely, demands for external teacher evaluation policies and accountability can be explained as an erosion of the logic of confidence. Teacher evaluation policies create changes to the ritual classification structures of the school; the internal processes are more closely coupled to the formal structures and the buffering capacity of the organization is lessened. Demands to couple formal, ritualistic classifications with the internal processes of schools result when the professionals fail to maintain their credibility, perhaps as a result of being buffered too completely, for too long. Teacher

evaluation, mandated by governments is a logical consequence of such dynamics.

This investigation of the implementation of teacher evaluation policies mandated by the Alberta Department of Education provides an opportunity to assess the effectiveness of efforts by a government agency to question the logic of confidence, to change the ritualistic classification structures and penetrate the mystique of the professional bureaucracy which traditionally has characterized teaching.

#### Societal Contexts of Teacher Evaluation

A rapidly changing social environment over the last two decades has created potent forces which have resulted in demands for policies addressing evaluation of school systems. A review of these social forces and their relationship to demands for teacher evaluation is presented below.

Iannacone (1977:282) argues that professionalism has "removed education from an arena with conflicting value systems and placed it in the realm of science." Assuming the development of disparate value bases between teacher professionals and external groups, the ultimate result of professionalism controlling the educational agenda may be an unavoidable conflict with groups in the external environment. The inevitable powerlessness external groups experience when professionals inside the organization control too many of the

processes of education may create a power struggle.

Iannacone (1977:277) suggests that "a fundamental source of tension . . . arises over the issue of the relative power of professionals and lay citizens over educational decisions."

Educators and school boards may have been short-sighted in creating an aura of professionalism around schools and in not opening schools sufficiently to public input. Lutz (1977:59) cautions that "in exercising power we must not only be aware of the immediate power outcomes but also of the effects that the patterning of power has on the future of the political system itself." Also, Mann (1977:91) warns that school boards are too insulated from their publics and that they essentially fail to represent the publics or to control schools with the result that the "task of representing the wishes and welfare of the public fall to the professional educators . . . [who] stress . . . professional autonomy, often at the expense of the communities' expressed preferences."

Iannacone (1977:271) discusses this phenomenon and argues that "privatization," or professionalism in this case, detaches the governing process from the political order or the environment. He suggests that no system can afford to be isolated when the environment is experiencing change. The costs of isolation can include reduced resources and lowered credibility.

Iannacone (1980:194) notes that the political environment in which educational organizations operate has changed in the

past ten years. Consequently, the power relationship between the environment and educational organizations is undergoing change currently. Previously, Iannacone suggests, there was an atmosphere of greater trust in educational professionals. Policies mandating teacher evaluation demonstrate this trust deficit as well as the political dynamics of educational policy formulation. Iannacone (1980:207) states that, "policy flow is not simply hierarchical but represents the outcome of complex interactions among interdependent but separate structures of power and authority."

Goodlad (cited in Housego and Downey, 1984:1) in his Blueprint for Reform argues that "The province should set the expectations, the mandate for schools. It should then empower districts and schools to meet the expectations, and hold them accountable for doing so."

In other words, following this line of reasoning, state or provincial governments should determine the ends and local jurisdictions should determine the means. This prescription has some similarity to the Management and Finance Plan (MFP) and the related evaluation policies of the Alberta Department of Education, in which the Department has specified the ends of teacher evaluation, but has left the means of evaluation to the local jurisdictions.

Iannacone (1980:205) suggests that policies (such as the MFP) are the result of interactions between sub-structures with divergent interests. He states that,

two aspects are critical. . . . in any interpretation of legislative policy impact. One is the degree of independence found in local school districts, and the other is a split within the local districts between the school board/central office level and the principal/teacher/student level of decision making.

This observation has interesting implications for the resource dependency model of educational organizations (Weeres, 1984:9) which specifies that organizational autonomy is linked to the degree of resource independence the organization enjoys, and for March's 1981 doctoral dissertation on the locus of control over decision making between departments of education, central office level and school level decision making. March (1981:209) found a trend toward centralization in Alberta, but coupled with increased control at the school level. He also observed that centralizing influences tended to be associated with factors external to educational organizations, such as the political and economic climate, whereas decentralizing factors tended to be related to internal school operational matters.

Certainly, in Alberta government imperatives that school boards adopt and implement teacher evaluation policies were tied to a resource dependency model of implementation when the then Minister of Education went on record (King, 1984) suggesting that failure to implement could result in a loss of funds to the school board.

Paulston (cited in Papagiannis, 1982:246) provides further elaboration of the political nature of educational change; he notes that, "Ideology, power, and perceived group self-interest . . . [are] key factors influencing planning and implementation of basic educational reforms."

Deeply rooted, basic and extensive imperatives for change have affected education in the past two decades. Iannacone (1980:192) suggests that, "Research in the politics of education was largely stimulated by the increasing political controversies about education since the late 1950's." Iannacone (1980:204) cites declining student achievement scores and the observation that "policy makers began to recognize that the gap between policy making and implementing it was widening," as two key factors which destabilized educational politics. He further suggests that the schools "are in an era of pervasive and increasing political controversies . . . including their mission, structure of governance, instructional delivery systems and fundamental ideology" (Iannacone, 1980:194).

A changing educational environment holds implications for teacher evaluation. Societal change has been popularized by Naisbitt (1984) who focused attention on societal shifts from an industrial to an information society characterized by a global economy, decentralization and networking. Ingram (1985:4-7) considers specific societal pressures for change in Alberta and notes increased diversity in school jurisdictions

and school programming, concerns for justice, tolerance and excellence, accountability and involvement as potential social forces in the province. Educational management has already been involved in one paradigm shift, Ingram (1985:10-12) observes, from scientific management to a more humanistic model. Ingram (1985-19-23) suggests that recent review initiatives by the Alberta Department of Education and the introduction of the Management and Finance Plan (MFP) are evidence of a "potential" new paradigm shift in educational management, but questions whether value bases have actually shifted sufficiently in Alberta to support a true paradigm shift.

Iannacone (1977, 1980), Mann (1977), Lutz (1977), Weeres (1984), March (1981) and others reviewed above elaborate the importance of political and environmental phenomena in affecting educational change. Similarly, political and environmental variables are cited frequently in the policy implementation literature (Van Horn and Van Meter, 1977; O'Toole, 1986; Mazmanian and Sabatier, 1981).

Political and environmental variables comprised an important focus for the investigation of policy implementation that will be explored further in the data collection and analysis stages of this study.

### Recent Studies of Teacher Evaluation

The recent studies of teacher evaluation reviewed in this section provide insights into effective teacher evaluation processes as well as an indication of important factors which tend to be associated with successfully implemented teacher evaluation programs.

Duncan's (1984) study of teacher evaluation practices in Alberta indicated that respondents believed evaluation was a high priority but felt that little time was available to carry it out. The majority of evaluations were done routinely to improve instruction or to provide data to make decisions regarding permanent contracts or certification. However, a startling finding was that only 4.5% met the minimum criteria for due process and only 1.3% met criteria for improvement of instruction. A follow-up study by the Alberta Department of Education (1985:1) concluded that "formal evaluation practices by principals in Alberta did not change from 1983-84 to 1984-85." Duncan's study underscores the amount of change necessary in the Alberta context in order to support the mandated teacher evaluation directives of the Department of Education.

Townsend (1984) investigated the implementation of teacher evaluation policies and practices in five Lethbridge, Alberta secondary schools involving 107 teachers and 16 administrators. Townsend (1984:20) noted that the time demand



of supervision for administrators greatly exceeded expectations, which negatively affected teacher evaluation implementation. Other inadequacies Townsend (1984:24-31) noted in his study include the following: teacher rejection of evaluations done for administrative purposes; decline of teacher confidence in skills of evaluators; information to teachers regarding the process was lacking; teacher training regarding evaluation purposes and process was insufficient; administrative leadership with respect to evaluation was weak; time demands were not met adequately; district office support was felt to be inadequate; and, divergent models of teacher evaluation were not considered.

The inadequacies Townsend (1984) noted underscore the importance of communications, disposition of the implementors, teacher training, evaluator expertise, adequate resources, and enforcement strategies as important variables to consider in any teacher evaluation initiative.

Mireau (1986:13), the author of a set of teacher evaluation inservice materials sponsored by the Alberta Department of Education, commented that

The most frequent excuses for providing only a minimal amount of teaching supervision - or for avoiding the task altogether - include lack of time and the risk of destroying good rapport with teachers. I think, however, that the basic reason is that we have a great deal to learn about recognizing and promoting effective teaching practices and about conferencing strategies which can pave the way to open, supportive, and practical feedback to teachers.

Hildebrandt (1986:122-123) investigated principals' attitudes toward teacher evaluation policies, procedures and guidelines in a large urban school jurisdiction in Alberta. She found that although principals expressed high levels of agreement with most policy statements, substantive disagreements were found regarding several specific policy requirements, including the involvement of vice-principals in teacher evaluation, requirements that teachers be evaluated in their first year and once every three years, the specified performance criteria, use of evaluators from outside the school, writing of the evaluation report, writing of recommendations for improvement, and the "on review" phase.

These authors and their studies suggest that the state of teacher evaluation in Alberta may not be adequate to support comprehensive implementation of the teacher evaluation policy initiatives taken by the Alberta Department of Education. Given a potential lack of evaluation expertise in the field, questions about the viability of a values based paradigm shift, questions about the adequacy of model development and infrastructure preparation, and the existence of specific points of disagreement with local policy, teacher evaluation policy implementation in Alberta may experience barriers to successful implementation.

Hickcox (1982:1) cites Scriven's description of teacher evaluation as a "disaster" and makes the point that

"sound research on the topic, particularly on implementing. . . has not had a high priority in the universities." Hickcox (1982:6) provides four recommendations with respect to teacher evaluation process:

- 1) evaluation procedures should be cooperatively developed;
- 2) evaluation should be considered a continuous process;
- 3) teachers should know in advance the steps to be followed, the appeal process and the judgement criteria; and
- 4) policies and procedures should be under continuous review.

The Connecticut approach to teacher evaluation is advanced by Hickcox (1982:12), which has some similarity to the Alberta approach, as a sound process. He states,

It is mandated that every school system in the state develop an evaluation system. While there are broad parameters, there is considerable flexibility. . . the system is monitored by an independent board consisting of representatives from various constituencies . . . the state provides funds to assist in the development of plans to provide in-service training. . . it was recognized that any real change will not occur without nurturing, training experiences and support. . . through cooperation between the state, the universities, and the teachers, the evaluation system itself is systematically evaluated. . . nothing is written in stone.

Administrators are not comfortable in their new roles as systematic evaluators of teaching, Duckett (1985:v) argues, and he further suggests that little in their academic background prepared them for rigorous, empirical evaluation of teachers.

Manatt (1985:11-12) suggests the competent evaluator must know: 1) self, 2) elements of effective instruction, 3)

clinical supervision, 4) how to develop a "use-tailored" teacher evaluation system, 5) how to infer, 6) conference techniques, 7) due process, 8) how to work with the marginal teacher, and 9) what teachers want from performance evaluation. Manatt (1985:13) further comments

One presumes that principals, department heads, and supervisors would be well-acquainted with the research on teaching and techniques of clinical supervision. In the U.S. such is not the case generally. . . . Canada, incidentally is generally ahead of the United States in this regard.

A number of factors for successful teacher evaluation are identified by Manatt (1985:18-30) which can be linked to teacher evaluation policy implementation variables, including the attitudes or dispositions of implementors toward evaluation, enforcement strategies including posturing by top executives as a motivator for principals, extensive inservicing, the power of sponsorship and modeling, participative planning without haste, rigorous training during the adoption year, clear communications to teachers regarding what is expected of them, and multiple classroom visits to every teacher every year. Manatt (1985:33) concludes,

The foot draggers will say 'Yes-but-it takes too much time!' . . . Ineffective schools take too much time, 13 years for your children and mine. Ineffective teachers cost too much. A 23 year-old teacher granted tenure despite his or her low quality teaching will cost a school well over a million dollars before he or she retires. Good performance appraisal doesn't cost, it Pays.

Wise, et al (1985) conducted a comprehensive survey of teacher evaluation practices in 32 United States school

districts and completed intensive case studies in four districts in an effort to identify factors which are important for successful implementation of teacher evaluation. They discovered that generally, "relatively few school districts have highly developed teacher evaluation systems and even fewer put the results into action" (1985:63).

A critical perspective based in the Wise; et al (1985) study is that the teacher evaluation policy selected for a school district must be finely tuned to that district's needs, purposes and context. These authors (1985:65-66) propose four perspectives or theoretical frameworks for analyzing teacher evaluation: 1) teaching as 'labor' assumes effective teaching practices can be concretely determined and specified; 2) teaching as 'craft' assumes general rules for applying specific techniques; 3) teaching as 'profession' assumes standards of professional knowledge and practice are enforced to assure competent teaching; and 4) teaching as 'art' assumes intuitive, creative, improvisational teaching. Wise, et al (1985:93) suggest that these four perspectives may be thought of as a continuum, with each perspective requiring unique evaluation policies. They (1985:66) contend that the teacher as artist perspective requires that teachers exercise considerable autonomy in the performance of their work, a perspective closely resembling Mintzberg's conception of the professional bureaucracy, and that contextual variables

increase in importance as one moves from teaching as labor to teaching as art.

Wise, et al (1985:78) noted that the case study results from the four districts which had experienced successful teacher evaluation implementation identified four critical implementation factors, including: 1) top-level leadership and institutional resources for the evaluation process, 2) evaluator expertise, 3) administrator-teacher collaboration to develop a common understanding of teacher evaluation goals and purposes, and 4) compatability with district overall goals and organizational context.

These four factors may be universally necessary conditions for successful implementation of teacher evaluation policy.

Collectively, these authors describe teacher evaluation as a complex, multi-faceted, dynamic process, which requires high levels of commitment in order to work toward successful implementation. The perspectives presented support use of a multivariate policy implementation model capable of analysing resources, communications, political and social-economic environments and the skills and dispositions of implementors in order to investigate the teacher evaluation policy implementation process.

### Policy Implementation Studies

Policy studies focus extensively on political, organizational and technical aspects of policy innovation, adoption, and implementation. Furthermore, the human dimension and dynamic environmental context of policy implementation introduce complex patterns of interaction into policy research which require multi-dimensional models of policy implementation if the variables relevant to a specific policy implementation problem are to be identified and measured. A number of authors have indicated the role of policy studies in addressing the implementation of educational policies.

Riffel (1987:2) comments on processes of school improvement and suggests "we will always be faced with the complex and never-ending human processes that go with [school improvement program] implementation." He (1987:2) argues for approaching school improvement from the perspective of a developmental process which generates tension and requires school personnel to confront issues with appropriate skills and motivation.

The complexity of policy implementation is reflected in Williams' (1975:555) comment that "Viewed from [the interpersonal motivational perspective] the implementation question is primarily one of the dynamics of interaction." Williams (1975:531) also comments on the importance of

implementation studies. He notes that "lack of concern for implementation is currently the crucial impediment to improving program operations, policy analysis, and experimentation in social policy areas."

Keeler (1986:54), reflected the Alberta Teachers' Association's reaction to teacher evaluation policies. He stated: "While some of the [teacher evaluation] policies were generally acceptable, none were without flaws. A fairly significant number of the draft policies represented quite free borrowing . . . sort of an eclectic scrapbook approach -- without apparent concern for the inconsistencies." Keeler further commented: "Certainly, the new improved policies that have been put in place across the province will comprise a relatively meaningless exercise unless those who are called on to evaluate learn how to do it well."

Implementation of teacher evaluation policy presents technical challenges, however, as Keeler's comments demonstrate, and as Williams (1975:545) notes, "technical questions often seem almost trivial when compared to such issues as whether or not political jurisdictions will cooperate or whether a teacher's union will be in favor of implementing a new idea."

A rationale for conducting an implementation study on teacher evaluation policies before a product or impact evaluative study is undertaken on outcomes is presented by Scheirer and Rezmovic (1983). They (1983:623) identify



several questions that need to be addressed in implementation studies and suggest that an implementation study should

start with an explicit description of the components of the innovative equipment, program or policy. Who will do their work differently under conditions of full implementation? What new activities will be done by each type of worker? . . . What supporting changes in the organization are likely to be necessary to permit the components of the innovation to be implemented?

In addition to providing process information regarding the implementation of teacher evaluation policy, an implementation study, Scheirer and Reznovic (1983:625) note, can serve as documentation for product evaluations and can provide a body of findings about policy implementation processes in general.

Smith (1973:208) recommends that "in assessing policy implementation the patterns of the idealized policy may not materialize, or the outcome of the change process may crystallize patterns of resistance to the idealized policy's program and goals."

Bleecher's (1976) study of teacher resistance to accountability models in Michigan lends credibility to Smith's caution and supports the need for implementation studies.

Popham (1986:56) also cautions that implementation of large scale teacher evaluation systems can have an adverse effect on the quality of education, if high costs for evaluation are not met with results, if policy makers become complacent after

initial implementation, or if teachers become stultified due to teacher evaluation pressures.

Policy studies hold much promise as a means of exploring and clarifying changes that affect education. Gove, Wirt and Walker (1985:187) maintain, "the study of policy making in education is growing rapidly. . . [and] this will probably increase as the costs of schooling rise and as alternatives are sought for traditional educational structures." Newcombe and Conrad (1981:576) suggest that, "Three research frameworks - the complex organization, the planned change and the political - provide powerful analytic lenses for studying different stages of the [policy] implementation process."

The importance of the role of leaders in government and the implementing organizations for effecting successful policy implementation is emphasized by Newcombe and Conrad (1981:563). They suggest, "Effective implementation . . . is frequently contingent upon an intervention [or interventions] that create a climate in which change is perceived by influential leaders as being important."

Edwards and Sharkansky (1978:294) argue that, "The study of implementation is largely (although not entirely) a study of bureaucracy."

Factors which impede successful policy implementation as suggested by Edwards and Sharkansky (1978:295-305) include: poor communication transmission; unclear or vague implementation instructions; inconsistent implementation

orders; inadequate resources or staff; inadequate information regarding the policy issue; and, inadequate authority to enforce policy commitments.

None of the potential barriers to implementation, Edwards and Sharkansky (1978:321) suggest, "can be ignored by policymakers who are sensitive to the problems of implementation."

The multi-dimensional nature of policy implementation studies present both challenges and the potential for insight into study of the implementation of teacher evaluation policy. Clearly, policy studies which focus on and isolate variables important to the process of implementation are useful to policy makers and implementors alike in providing timely information to make needed adjustments to improve the chances of successful and effective policy implementation.

#### Need for a Policy Implementation Model

A wide divergence of views is evident regarding how policy analysis might be structured. Hansen (1983:14) defines policy analysis as "an explicit, focused, systematic analysis on the outputs of governments and their effect on society." Hansen (1983:15) suggests that policy analysis may be viewed differently, depending on one's analytical perspective. She (Hansen, 1983:20) points out that policy analysis may occur from the perspective of organizational theory in which "the

emphasis instead is on the consequences of specific structures and decision rules (majority rule, decentralization, interorganizational communication) on policy outputs."

Elmore (1979:602) suggests that policy implementation research "requires offering a logically ordered sequence of questions that policymakers can ask, prior to making a policy decision, that will provide prescriptions for action."

Dror (1971:293) presents a strong case for improving policy analytical techniques as a means of producing better policy to address growing educational dilemmas. In a later text, Dror (1981:96) comments on the importance of including the rules of change in respect to policymaking as a central task for policy sciences. Dror (1981:98) specifically argues that

The enumeration, classification, and elaboration of policy instruments constitute another very important subject for policy science. . . .to arrive at as exhaustive lists as possible of the different variables which can be used as policy instruments, and to study their domains of applicability. . . .

Among the multiple domains of policy processes, the political nature of evaluation or policy implementation studies seems inescapable. Cronbach, et al. (cited in Borich, 1983:63) comment on the context of policy decisions as follows:

Only when a large confluence of data becomes available is a 'decision' actually made, and even then the decision is made interactively over a long period of time by a large number of persons . . . . who make up what constitutes a 'policy shaping community'.

The controversy which Cross (1985), Vold (1985) and Podemski and Lohr (1985) describe surrounding the issue of teacher competency testing in the United States is indicative of the political nature of teacher evaluation policy implementation.

Boyd (1983:3-4) comments on the political dynamics of teacher evaluation policy, "Any erosion of the logic of confidence is sure to increase the politicization of education . . . and [facilitate] the creation of a 'credibility gap'." Boyd (1983:12) believes the challenge of policy implementation is to "maintain governmental arrangements and policies that strike a desirable balance between the advantages (and disadvantages) of centralization and decentralization."

The political context is also addressed by Tuohy (1981) when she discusses the erosion of professional power by government regulation in the past decade. A report of the Alberta Legislature (1973:19) stressed the priority of public interest over professional self-regulation which demonstrates the relevance of Tuohy's claims.

Chikombah's (1979) study of the policy processes related to the adoption of the extended practicum in teacher education in Alberta also underscores the importance of the political environment. He (1979:15) commented, "The political systems model has been selected . . . because it seems to account best for the interaction that occurs between the political system and the interest groups . . . in its environment."

The assumption often made that once a policy has been formulated it will be implemented is questioned by Smith (1973). Interest groups, political parties, affected individuals and groups often try to influence implementation. Cronbach, et al. (cited in Borich, 1983:63) suggest,

[the] role of evaluation is . . . to participate in and contribute to the negotiation and accommodation process by raising new issues, stimulating new debate and illuminating the complexities of the problem at hand. For these reasons evaluations should focus on programs as implementations of policy and not on specific alternative courses of action to be taken in a particular context.

Policy implementation is described by Smith (1973:197) as a tension generating force in society involving idealized policy, the implementing organization, target groups and environmental factors. Transaction patterns may or may not match the expectations of outcomes held by policy formulators. Boyd (1983:23) concluded, "alternative systems of teacher evaluation and compensation will need to be studied carefully in terms of both their intended and (possibly deleterious) unintended consequences."

The importance of bureaucratic and political environments relative to policy implementation were underscored by the authors discussed above. More generally, these authors and their studies would support the proposition that studies of policy implementation demand a model capable of mirroring the multivariate environment of policy implementation.

### Support for a Policy Implementation Model

Citing development of a consensus regarding the meaning of implementation, and agreement among researchers that policy implementation problems derive also from the policy relationship to the institutional setting, Berman (1978:159) suggests "The faint lines of a framework [of implementation studies] may be emerging". He (1978:164) distinguishes between the "Macro" policy implementation problems at the federal [or provincial] level and "Micro" policy implementation problems at the local agency level. The variables which Berman (1978:168-176) identifies as influential include: the difficulties of getting agencies to execute policy faithfully, slippage between program guidelines and local response, the need for local organizational change in response to the policy initiative, the need to understand the gestalt of local system dynamics, and the effect on implementation of the environment's turbulence.

Berman (1978:179) concludes that "analysis of implementation is just moving beyond the stage of isolated case studies and applied wisdom" but cautions, "we cannot anticipate the development of a simple or single retrospective theory of implementation that is 'context free'." He (1978:180), however, does argue for policy implementation models such as the Van Horn and Van Meter (1977) model. He states "implementation analysis could make a major

contribution to more effective policy by developing institutionally grounded heuristics to help policy-makers adapt their decisions as implementation problems arise."

O'Toole's (1986:183) examination of over 300 studies covering most major fields of policy sciences supports the use of the Van Horn and Van Meter (1977) policy implementation model. Although O'Toole (1986:184) comments that "Researchers do not agree on the outlines of a theory of implementation nor even on the variables crucial to implementation success," he suggests that "there seem to be possibilities for building some convergence in the field, but thus far little cumulation has taken place." (O'Toole, 1986:189)

Other concerns which O'Toole (1986:202) raises include the necessity to address context variables in the research strategy, and the lack of utility of attempting to create any single predictive theory.

Most importantly, O'Toole (1986:203) states,

The review of the empirical literature suggests some implicit agreement on several clusters of variables deserving of further intensive investigation. Efforts should be undertaken to build systematically and cumulatively on the research that has focused on policy characteristics, resources, implementation structure, implementor disposition, implementor-client relationship, and timing.

O'Toole (1986:204) states that the Van Horn and Van Meter policy implementation model is among, "Several efforts in the



implementation literature [which] stand out as promising and worthy of more careful testing and development."

#### Summary

As evidenced in the above literature review, the translation of teacher evaluation policy intents to policy effects is neither direct nor simple. Policy implementation is based in political, bureaucratic and technical processes. Specific bureaucratic and technical structures may need to be in place and adjustments to political dynamics made before teacher evaluation policy can be successfully implemented. Furthermore, teacher evaluation has been described as a complex, multi-level process affected by situation specific variables. A multi-dimensional policy implementation study based on a model suggested by Van Horn and Van Meter (1975; 1977) may be an effective means of identifying and assessing the many variables relevant to the implementation of teacher evaluation policy.

## CHAPTER 3

### Research Design and Methodology

The research design and methodology including interview procedures, validity concerns, sampling procedures and data analysis are discussed in this chapter.

### The Descriptive Survey Approach

The study was a descriptive survey or case survey (Dunn, 1981:297) which involved the identification and analysis of factors that account for variations in the implementation of policies. This method requires the researcher to first develop a case coding scheme of categories that capture key components of policy inputs, processes, outputs and/or impacts and then to collect data guided by the coding scheme. The information for the study was obtained through interviews and document analysis.

Use of this research method permits the researcher to begin the enquiry from a broad conceptual framework in the early stages of the study. As the study progresses and more is known about the phenomenon under investigation the conceptual framework becomes more clearly focused and more specific questions can be defined to facilitate the investigation.

### First Phase Interviews

Coding procedures recommended by Bogdan and Biklen (1982:158) guided the structure and analysis of the first phase interview protocols. The analytical categories were used a priori to identify potentially important information categories. This first phase of the study consisted of semi-structured interviews of selected key decision makers and leaders in teacher evaluation in Alberta. Snowball sampling was used to identify a sample of these key individuals. That is, the first person interviewed was asked to recommend others. (Bogdan and Biklen, 1982:66).

Interviewees included Mr. David King, who as the Minister of Education from 1979 to 1985 witnessed the formal development of the teacher evaluation policy at the provincial level. In addition, Mr. King was asked to identify individuals who had had an influence on him or who played a key role in the development of the teacher evaluation policy. These individuals and their position at the time they were interviewed included the following: Dr. E. Hawkesworth, former Deputy Minister of Education in Alberta; Dr. N. Hrynyk, former Associate Executive Secretary, the Alberta Teachers' Association; Dr. R. Bosetti, Deputy Minister of Education; Dr. J. Hrabí, Assistant Deputy Minister, Planning and Evaluation Division; Dr. S. Odynak, Assistant Deputy Minister, Program Delivery Division; Dr. M. Fenske, Assistant Deputy Minister,

Program Development Division; and Dr. W.R. Duke, Assistant Deputy Minister, Finance Division. Subsequently, Mr. Gary Zatko, Associate Director, Planning Services, was identified as a key policy resource person and was also included among those interviewed.

The interviews were conducted during the period June 20 to September 10, 1986. Interview transcripts from the first phase were typed and returned to interviewees who were asked to review the transcript for any errors or misinterpretations. These typed transcripts, after correction or confirmation of accuracy by the interviewees, provided the information for analysis of the events that affected teacher evaluation policy adoption and implementation in Alberta. Additional purposes for the first phase interviews were to identify the background, the purposes and intents of teacher evaluation policy visualized in the policy planning stage within the Department of Education, and the social structures or informal networks which affected the policy process, as well as to determine the educational leaders' perceptions of the degree of implementation of teacher evaluation policy by school jurisdictions in the province of Alberta.

Questions which guided the first phase interviews with key policy makers included the following:

1. What process or chronology of events was important in affecting the adoption of teacher evaluation policy by the Department of Education?

2. What process or chronology of events was important in affecting the implementation of teacher evaluation policy by the Department of Education?
3. What key events may have affected the adoption of the current [1986] teacher evaluation activities in Alberta?
4. What key events may have affected the implementation process [1986] in Alberta?
5. What strategies, tactics, methods, or techniques were important for the adoption of teacher evaluation policy in Alberta?
6. Were any social structures or informal networks significant in affecting the initiation, adoption or implementation process?
7. Can you suggest any specific teacher evaluation policy materials to study, for example, documents, key correspondence, memos, or studies, [relevant to the Alberta context]?
8. What idealized policy, relationships, and goals would you hope for to enhance teacher evaluation policy implementation?
9. What are your perceptions of the current status of teacher evaluation policy implementation [in Alberta]?
10. Who else might be a key decision maker, policy analyst or advisor that affected the teacher evaluation adoption or implementation process [in Alberta]?

11. How do you define the intents of teacher evaluation policy, including your world view (values) with respect to teacher evaluation?

#### Second Phase Interview Schedules and Variable Clusters

Three structured interview schedules were constructed to solicit responses from teachers, principals and superintendents or their designates regarding their perceptions of teacher evaluation policy implementation. Interview schedules (reproduced in Appendices B through D) were structured partially on the findings from the first phase interviews with policy makers and on the variable clusters identified by Van Horn and Van Meter (1977). Interviews typically required from 30 to 90 minutes to complete.

#### Validity Concerns

As indicated above, all the first phase interview respondents were asked to review typed copies of the interview transcript and to correct any errors of interpretation by the researcher.

Initial drafts of the the second phase interview schedules were reviewed by two doctoral students and three professors in the Department of Educational Administration at the University of Alberta for face validity. The second draft versions of the interview schedules were then pilot tested in

the field with two assistant superintendents, two principals and two teachers. This pilot testing was intended to eliminate any terms which were vague or ambiguous, and to elicit respondents' perceptions of the degree of comprehensiveness represented by the interview schedules relative to teacher evaluation policy implementation. Final adjustments were made to the interview schedules based on the pilot interviews, and these revised interview schedules were used in conducting the second phase interviews. The three interview schedules are presented in Appendices B through D.

The second phase interviewees were assured of anonymity. During the second phase interviews, if any confusion or ambiguity seemed to be present in relation to any of the responses, the researcher confirmed the interviewee's meaning during the interview.

The second phase structured interviews with policy implementors permitted the researcher to experience more in-depth analysis of teacher evaluation policy implementation with practitioners in the field than would have been possible through survey research methodology.

#### Analytical Methods

A content analysis of the validated, typed transcripts from the first phase interviews was undertaken to identify themes and patterns of responses in relationship to the case

coding scheme used to guide the semi-structured interviews and the questions these interviews were designed to answer.

Information collected during the second phase interviews was coded into a micro-computer database program to facilitate analysis. Descriptive categories used to define the database included the category of interviewee (teacher, principal or superintendent), the policy implementation variable to which the interview question was related, and the question response.

The database provided the capacity to search the second phase interview responses for key terms or patterns electronically with boolean logic which greatly facilitated the analysis of these interviews.

Teacher evaluation policies and instruments used by the jurisdictions which participated in this study were also content analyzed to identify patterns evident within and between these documents.

#### Sampling Procedure

Thirty of 146 active Alberta school jurisdictions were randomly selected from the Alberta School Jurisdiction List, 1986 for inclusion in this study. In order to assure a representative sample of jurisdictions, the population of jurisdictions was stratified on the basis of type of jurisdiction (county, public school districts, separate school districts, regional school districts or Department of National



Defense schools, and school divisions) and geographic zone of the province (1 through 6). Jurisdictions were then selected from each stratified grouping using a random numbers table. A provincial map of the Regional Office geographic zones is presented in Figure 3.1.

Letters requesting interviews with the superintendent or designate, and a principal and a teacher randomly selected from the jurisdiction's staff list were posted on September 5, 1986. A copy of this correspondence is presented in Appendix E. Five of the thirty jurisdictions initially contacted declined involvement in the study on the basis of over-involvement with research studies or simply being too busy to participate. Replacement jurisdictions randomly selected within the same stratified grouping were subsequently contacted and all agreed to participate. The ninety second phase interviews began on October 28, 1986 and were completed on February 23, 1987.

The breakdown, by zone and type of jurisdiction which participated in the study appears in Table 3.1. Counties and school divisions are large rural units of school administration. Public and separate school districts are typically coterminous and are usually located in city or town locations. Separate districts are either Catholic or Protestant; both separate and public districts receive provincial funding and local property tax support. A regional



Table 3.1

## Distribution of Participating Jurisdictions by Zone and Type of Jurisdiction

	One	Two	Three	Four	Five	Six	Total
Large urban	0	0	2	0	2	0	4
County	1	1	1	1	1	1	6
Public	1	1	1	1	1	1	6
Division	1	1	1	1	1	1	6
Separate	1	1	2	2	0	1	7
Regional	0	1	0	0	0	0	1
Total	4	5	7	5	5	4	30

school district is a district that operates a school jointly between two or more school boards.

School district teacher evaluation policy documents, obtained from each sampled jurisdiction, were studied using a content analysis procedure. In addition, school administrators interviewed were asked for copies of teacher evaluation instruments (recording/reporting forms) in use in their jurisdiction. A content analysis of these instruments was completed and is reported in Chapter 8.

### Summary

The research design and methodology, interview procedures, validity concerns and sampling procedures were

delineated in this chapter. The study is described as a descriptive survey study intended to explore themes and trends relative to teacher evaluation policy implementation in Alberta. Interview structures and procedures used in the first phase of interviews with policy makers and in the second phase of interviews with policy implementors were defined and discussed. Actions taken to address concerns regarding validity were presented, and the sampling procedures used to select the first phase respondents as well as the stratified random sampling procedures used to select the second phase respondents were described.

## CHAPTER 4

### Conditions Affecting Policy Adoption and Implementation

An analysis of interviews with policy makers who were influential in the development, adoption and implementation of the teacher evaluation policy is presented in this chapter. The focus of the data collection in this first part of the study was on identification of the policy intents and the general background to the development of the teacher evaluation policy. Results of the analysis of the data are presented in the following sections: events which affected teacher evaluation policy adoption, events which affected policy implementation, the policy intents held by policy makers, social structures and informal networks which affected the policy process, the policy makers' definition of ideal policy intents and their perceptions of the current status and possible outcomes of teacher evaluation policy.

#### Events Affecting Policy Adoption

Policy requiring school boards to develop, adopt and implement teacher evaluation policies at the local level was formally adopted by the Alberta Department of Education in 1984. Events which preceded the decision to formally adopt

the policy were investigated through interviews with the policy makers.

Teacher evaluation policy adoption by policy makers in the Alberta Department of Education can be characterized as an "evolutionary" response to a series of events over a period of approximately 16 years, dating from the move to locally appointed superintendents in 1971. Policy makers within the Department of Education perceived that formal teacher evaluation was not occurring regularly under locally appointed superintendents whereas under the earlier system, which provided for Department of Education appointed superintendents in all but the large urban school districts, teacher evaluation had been one of their major responsibilities. The perception that it was no longer occurring regularly was confirmed through both independent study and Department surveys (Reikie, 1977; Alberta Education, 1980; Duncan, 1984).

Documentation of the Department of Education's early concerns regarding teacher evaluation can be found in a January 30, 1980 letter from Dr. E. Hawkesworth, former Deputy Minister, to Alberta school superintendents. In the letter, Hawkesworth summarized the outcomes of a Canadian Education Association seminar on inservice education and retraining of teachers and administrators which included representatives from educational sectors across Canada. In the letter, which is reproduced in Appendix F, Hawkesworth commented that

a major barrier to providing adequate professional development programs for teachers and administrators is the lack of comprehensive ongoing evaluation programs for them . . . . If the situation as outlined pertains in Alberta school systems also, then improvement in personnel management procedures is essential.

The concern over teacher evaluation procedures addressed formally by Dr. Hawkesworth in 1980 has added significance when compared with the common experiences of the policy makers interviewed many of whom were former Department appointed school inspectors or superintendents. As Department appointed superintendents, they were expected to conduct regular evaluation of teachers. One respondent commented, "Previously, under inspectors teachers received a written recommendation/report. One could anticipate a teacher would have written reports in their file. However, the evaluative system was not perfect under inspectors." This respondent, who as a member of senior management in the Department of Education was influential in the adoption of teacher evaluation policy further stated, "[After 1971 the locally appointed] superintendents were expected to evaluate staff. Most were not doing so. When government made the superintendency a local responsibility the expectation was that responsibility for written evaluation of teachers would rest with the superintendent." The perception that teacher evaluation was not occurring under the direction of locally appointed superintendents appears to have been an important

factor which facilitated adoption of the policy on teacher evaluation by the Department of Education.

The relationship between the Minister of Education and the Alberta Teachers' Association, especially within the context of negotiations over a new Teaching Professions Act emerged as a key issue from the perspectives of most policy makers. One respondent maintained that the Minister of Education at the time of the adoption of the teacher evaluation policy did not understand the Alberta Teachers' Association (ATA). Specifically, the respondent commented,

[The Minister] . . . never understood the nature or role of the ATA. He failed to take advantage of a very powerful ally to changes [occurring] in education. He had in his mind [a] stereotype of the big bad union - they will resist and I have to override them. The misunderstanding . . . was one of the unfortunate accidents of history that affected subsequent events.

This interpretation suggests that the Teaching Professions Act (TPA) negotiations between the Government and the Alberta Teachers' Association, especially with respect to the issue of teacher competency, may have been affected by a poor relationship between the Minister and the ATA. A respondent with close ties to the ATA commented, "If the TPA breakdown hadn't occurred, teacher evaluation would likely have been included in a TPA. As a result, the current model [of teacher evaluation] is adversarial."

When negotiations on the Teaching Professions Act between Alberta Education and the Alberta Teachers' Association became blocked, the Minister of Education . . .



necessary to proceed unilaterally with the development of the provincial Council on Alberta Teaching Standards (COATS). A member of senior management in the Department of Education stated that these developments "were significant, but not a direct influence on teacher evaluation policy development." The same official characterized the relationship between the Minister of Education and the Alberta Teachers' Association as "strained." These developments negatively affected the development of the policy through reduced trust between the Alberta Teachers' Association and the Minister, and by extension, the Department of Education.

Public pressure on the Department was consistently described by policy makers in the Department of Education as diffuse, but related to concerns over the need for accountability and improvement of instruction. In a telephone interview with Mr. King on January 5, 1987, the former Minister of Education was asked specifically about the nature of environmental or political pressures for teacher evaluation which he felt as Minister. He responded as follows:

The political pressure, to the extent I felt it, came from fellow MLA's, from the media, and the general public. Most was not direct on [the] point of teacher evaluation, most was rather in [the] form of expressed frustration about something that had gone wrong with a specific teacher at the center of it; the Keegstra incident, for example. Teacher evaluation wasn't a direct request, more a questioning and frustration process. [It was] more a matter of us concluding that teacher evaluation was a potential solution to the problem.

Environmental pressures were also communicated through formal provincial political channels. Both of the Deputy Ministers of Education who were interviewed noted the influence of the Alberta Premier. Also, the former Minister stated that "Teacher evaluation was one of the specifics that represented a high level of interest in the Caucus and with the Premier" (D. King, personal communication, January 5, 1987). Essentially then, the environmental pressures from the grass roots level were general or diffuse, but were communicated through the Caucus and the Premier as a more pointed and specific demand for a policy on the formal evaluation of teachers.

Complementary to pressures on the Department of Education for a teacher evaluation policy was an internal thrust within the Department for a policy driven, post-audit management and finance plan which would structure and guide the programs of the Department of Education. Consequently, evaluation policies, whose initiative preceded the Management and Finance Plan (MFP) ultimately became an integral component of the MFP. The Assistant Deputy Minister whose office supervised the creation of the evaluation policies stated, "The MFP came along and the [evaluation] policies were incorporated within the MFP." The Minister of Education indicated that both the evaluation policies and the MFP were meant to be outcomes-oriented with an emphasis on ends-versus-means, with Alberta Education's primary role in articulating ends which

were identified through the political process operating at the local and provincial levels.

The connection between the provincial policy on student evaluation and teacher evaluation policy is underscored by the political connections between these two policy thrusts. Tymko (1979:287) investigated issues associated with potential provincial policy for the accreditation of Alberta high schools and noted, "The Premier of Alberta addressed the Canadian Education Association and indicated the problem of quality in education will result (in Alberta at least) in strong public demand for some form of province-wide testing."

The concerns which Mr. King were held by the Premier and the Caucus regarding teacher evaluation were apparently linked to perceptions and for student evaluation. This linkage is reflected in the importance given these two policy thrusts by the Premier, the Minister of Education and by the Alberta Department of Education.

Policy makers noted a lack of independent action supportive of regular teacher evaluation at the local level. One respondent noted this lack of a proactive stance with respect to teacher evaluation by the Alberta Teachers' Association and local jurisdictions. He commented

In the late 70's the ATA adopted the first guides to evaluation. The Department of Education then started a review of this area. [The] ATA wanted to mobilize local initiative. Lacking a crisis aura, little response from the locals resulted. The Department of Education came out with the first suggestion that local districts should propose [teacher evaluation] policy,

which didn't take off either. Within the Department pressure built to do something - develop policy.

This perspective generally reflected the point of view of policy makers within the Department of Education regarding relative inaction by school jurisdictions. Essentially, in the absence of any action in the field and with distinct political pressures for teacher evaluation, the Department felt compelled to act as the policy catalyst with respect to teacher evaluation policy adoption.

Lastly, teacher evaluation policy adoption was facilitated by the shared perspectives and experiences of policy makers who had served as Department appointed school inspectors or superintendents. This common background contributed to the consensus regarding adoption of teacher evaluation policy among senior policy makers in the Department of Education. In response to a question about teacher evaluation policy adoption by the Department of Education, one Assistant Deputy Minister commented,

None [policy adoption] can take place without support at the senior level - Ministerial, Deputy Minister, and ADM's all had high commitment to evaluation policies . . . [there was] no split at the senior level.

In summary, respondents indicated a high degree of agreement regarding several factors which affected the adoption of teacher evaluation policy by the Alberta Department of Education, including:

- 1) the general absence of regular teacher evaluation under locally appointed superintendents;

- 2) the breakdown in the Teaching Professions Act negotiations between the Department of Education and the Alberta Teachers' Association;
- 3) the perception among policy makers in the Department of Education of need for improvement in the quality of instruction and the existence of diffuse public demands for accountability;
- 4) specific concerns regarding the need for teacher evaluation by the Premier and Caucus;
- 5) the opportunity of linking teacher evaluation to a policy driven, program and policy management thrust by the Department of Education;
- 6) the political connection between provincial implementation of student evaluation policy and the need for concomitant teacher evaluation policy;
- 7) lack of independent action on teacher evaluation by the Alberta Teachers' Association or local jurisdictions;
- 8) consensus among policy makers in the Department of Education regarding the policy directions necessary in response to the above.

### Events Affecting Policy Implementation

Implementation of the teacher evaluation policy, which was formally required of local school jurisdictions by June, 1985, was seen by policy makers to have been strongly affected by a specific environmental event, the Keegstra incident, and by the internal development of the Management and Finance Plan by the Alberta Department of Education.

Mr. Keegstra was an Alberta Social Studies teacher who was dismissed in January, 1983 for teaching an unauthorized Social Studies curriculum based on Jewish conspiracy theory (David, 1983:21). The dismissal and subsequent revocation of Mr. Keegstra's teaching certificate by the Minister of Education generated intensive media attention over a period of many months.

One Assistant Deputy Minister stated that the Keegstra incident, "made it impossible for the ATA to do anything but support [implementation of a] teacher evaluation policy." Another senior manager in the Department of Education commented that Keegstra, "speeded up the action [and was] a catalyst." However, it is interesting to note that the then Minister of Education commented during his June, 1986 interview that the Keegstra incident could negatively affect the implementation of teacher evaluation policy by limiting opportunities for teacher input into the policy development process. Essentially, the Minister believed that the Keegstra

incident would have the effect of reducing teacher credibility and consequently reducing teacher involvement in the design of teacher evaluation policies at the local jurisdictional level. The Minister cautioned, however, that "Teacher involvement is inevitable in the long term for successful implementation to occur."

Most of the interviewees perceived the Keegstra incident as a catalyst to implementation of teacher evaluation policy in terms of limiting the potential resistance to a provincially mandated teacher evaluation policy by the Alberta Teachers' Association, and in keeping public awareness of the teacher competency issue high.

The Management and Finance Plan (MFP) of the Alberta Department of Education represented, in this case of teacher evaluation, an important supporting mechanism for policy implementation. A senior manager in the Department of Education stated the MFP was crucial -- deadlines were set [and] policy criteria were identified. . . . " Another Department official commented that the MFP, "demonstrated importance and legal status, clarified roles and responsibilities. . . setting [the] stage for management of [the] education process."

An assistant deputy minister commented, "Let me put it this way, if we didn't have a catchy slogan - an MFP package it wouldn't have gotten the same kick-off. People had to indicate that policies were in place to get resources." (A-

manager in the Department commented, "The Deputy Minister and Assistant Deputy Ministers were always highly supportive of the MFP initiative." Another assistant deputy minister stated,

the MFP was consistent with diploma exams, teacher evaluation policy, student evaluation policy; [the MFP] tied in neatly also with changes in finance . . . [it] put accountability for policy and carrying out of policy on the jurisdictions, a tied together coherent approach.

The high visibility of the MFP, and the commitment to it by policy makers in the Department, coupled with the requirement of teacher evaluation policy implementation by local jurisdictions as a prerequisite for funding, resulted in most of the interviewees perceiving it as a powerful implementation instrument.

The Alberta Teachers' Association was perceived by some interviewees as a barrier to implementation in terms of its insistence that formative and summative functions of evaluation must be separate, and in terms of its general organizational role. One senior official commented extensively on this issue.

Strife with the ATA didn't affect teacher evaluation policy adoption; [there was] no difference between Alberta Education and the ATA on the principles of teacher evaluation. Implementation is where differences exist; the artificial wall the ATA creates between formative and summative evaluation is a problem.

Other respondents viewed conflict between the Alberta Teachers' Association and the Minister or Department of



Several points emerged from the analysis of the interviews with policy makers which were minor in that they were mentioned by only one or two respondents. Concerns regarding the undersupply of skilled evaluative staff in the field, especially at the principalship level; role shifts from consultation to evaluation/monitoring by the Alberta Department of Education's Regional Offices; and problems with teacher evaluation appeal processes in small jurisdictions were among these minor points.

Support of the Alberta School Trustees's Association and Council of Alberta School Superintendents' for teacher evaluation policy, the Mireau teacher evaluation inservice materials which were sponsored by the Department of Education in support of teacher evaluation initiatives, and the then Minister of Education's ongoing interest in evaluation were also mentioned by one or two interviewees as important for implementation.

In summary, the two major factors which affected implementation were the Keegstra incident and the linkage of the policy with the Department of Education's Management and Finance Plan. Additionally, the factors which were identified by a minority of the policy makers interviewed as negatively affecting the implementation process included:

- 1) the Alberta Teachers' Association position specifying a distinction between formative and summative evaluation;

- 2) the Department's requirement of teacher evaluation policy approval which served as a potential source of misunderstanding with local jurisdictions regarding the Department's role in local policy formulation;
- 3) the under-supply of staff skilled in teacher evaluation;
- 4) resistance both within Regional offices and in the field to role shifts from consulting to monitoring in the Department's Regional Offices of Education;
- 5) the difficulties associated with the teacher evaluation appeal process in small jurisdictions.

Factors which were identified by some of the policy makers as positively affecting the implementation process included:

- 1) the support of the Alberta School Trustees' Association and the Council of Alberta School Superintendents;
- 2) the visible and practical support of the Department of Education sponsored Mireau inservice materials;
- 3) the then Minister of Education's interest in evaluation in educational systems.

### Intents of the Policy

The Minister of Education whose term of office encompassed the formal adoption of teacher evaluation policy by the Department of Education identified teacher evaluation as an early priority of his portfolio. He viewed teacher evaluation as encompassing both self-evaluation and external-evaluation components, with both types focusing on the improvement of teacher performance.

All respondents within the Department concurred with the focus on the improvement of instruction, while many saw it as a mechanism to improve teacher professionalism. Typical of the policy makers' comments was one respondent's statement that the policy was "A key vehicle to improve [the] teaching/learning process to assure students learn more [and to] allow the profession to go forward and become stronger."

One of the assistant deputy ministers also saw the policy as a means of demonstrating accountability to the public. Among policy makers in the Department of Education, there existed a high degree of consensus regarding the intents of teacher evaluation policy. The perspectives of the policy makers within the Alberta Department of Education were congruent with the views of the then Minister of Education.

### The Significance of Informal Networks

Informal networks or their absence appear to have played an important role in the development of teacher evaluation policy in Alberta. Specifically, informal contacts with the Alberta School Trustees' Association (ASTA) provided for better communications between the Department of Education and that body. Commenting on the existence of informal communications between the Department of Education and the ASTA and Alberta Teachers' Association (ATA), one senior Departmental official stated, ". . . [the] lack of informal or fewer [contacts] with the ATA may have been a problem." Furthermore, another respondent with ties to the ATA stated, "The teacher evaluation issue was marked more by the lack of informal networks; [there were] no mechanisms for crisis resolution through informal contacts from the point of view of the ATA."

### Idealized Policy Intent

The Minister of Education indicated that, under conditions of successful implementation, he viewed teacher evaluation as accomplishing four goals: 1) eliminating incompetent teaching, 2) improving of the act of teaching, 3) improving the overall quality of teaching, and 4) contributing to increased public confidence in the educational system.

Interviews with other policy makers indicated that ideal policy intents, policy standards or policy resources needed to enhance implementation of teacher evaluation policy would include:

- 1) more effective personnel resources;
- 2) better liaison with the Alberta Teachers' Association and universities regarding support structures;
- 3) institutionalization of teacher evaluation with evaluation seen as a need rather than as a threat;
- 4) increased resources, especially in small jurisdictions;
- 5) more research and development on teacher evaluation processes; and,
- 6) a clear focus on the improvement of teaching and resultant student learning.

These items constitute the ideal conditions of policy implementation held by policy makers.

#### Current Status and Possible Future Outcomes

As indicated earlier, Alberta school jurisdictions were required by the Department of Education to have teacher evaluation policies in place by June, 1985. The former Minister of Education interviewed for this study stated that he did not know the current implementation situation, but as

of 1985, when boards were required to have had adopted formal teacher evaluation policy, some jurisdictions were doing well and others badly. "Teacher evaluation cannot be successful in the long term unless teachers are committed to the value of it and are involved in designing and operating the process," the former Minister stated. Furthermore, he expressed the belief that, "this scenario would likely develop through an evolutionary process."

Ultimately, teacher evaluation policy would be successfully implemented, the former Minister stated, for four reasons.

[First,] it has passed from politicians to [the] grass roots level. Cooperative, successful local models would evolve and be emulated. [Second,] younger professionals will bring new ideas regarding management. [Third,] teacher evaluation is necessary for the health of the profession [and fourth,] the public now expects teacher evaluation as an aspect of the educational system, and both the government and the teaching profession have a stake in the successful implementation of teacher evaluation policy in order to improve and maintain the public's confidence in education.

One policy maker in the Department of Education characterized the current status of policy implementation with this comment, "Well, to sum up, policy work is well in hand . . . implementation is probably around 10%, maybe a little more. . . ." The same respondent, when asked what were the key barriers to implementation commented,

[There are] still large groups of teachers who don't believe its happening. [The] expertise base is another; administration is ideologically committed to the need but are unsure regarding how to do it.

Resource allocation is a problem with respect to time [and] skill level has deteriorated in the last 15 years.

Another respondent within the Department described his perception of the current status of policy implementation as follows:

realistically my perception is after the first year it is not as bad as people thought it would be -- there are enough success stories to support the view that with enough effort students will benefit. The province is serious about it -- an acceptance but the verdict is not in for the profession itself, [there] is a terrific amount to be learned about it, yet.

Several respondents stated that the future will require the creation of mechanisms to provide for more teacher involvement in the development of teacher evaluation processes in Alberta. In addition, the level of expertise and the resource base in support of teacher evaluation would need enhancement. Another respondent suggested that court cases questioning the expertise of evaluators and collective agreement negotiations focusing on teacher evaluation procedures might also be future forces shaping teacher evaluation in the province.

The policy makers interviewed did not believe teacher evaluation policy initiatives would dissipate; however, they also did not think that implementation was anywhere near complete.

### Summary

Investigation of the events which affected teacher evaluation policy adoption and implementation revealed that adoption was based on a complex interplay of forces dating back to the early 1970's. Policy makers indicated a high degree of consensus regarding several factors which affected the adoption of a teacher evaluation policy by the Alberta Department of Education. A theme underlying these factors was the belief among policy makers that provincial action was necessary to correct a perceived lack of teacher evaluation activity at the local school jurisdiction level.

Teacher evaluation policy implementation was perceived by policy makers to have been influenced by a widely publicized incident involving the decertification of a teacher. The inclusion of the policy within the structure of the Education's Management and Finance Plan. The study of informal networks affecting the policy implementation process revealed that such networks or their absence played an important role in the implementation of teacher evaluation policy. Policy makers did not believe teacher evaluation policy initiatives would dissipate; however, they also did not think that implementation was anywhere near complete.



## CHAPTER 5

### Policy Intent, Standards and Resources

Policy intent, policy standards, policy resources and general impressions are examined in this chapter from the perspective of the policy implementors. Policy intent refers simply to policy purposes. Policy standards are requirements for how policy is to be implemented, and policy resources are the funds or incentives allocated to policy implementation.

### Perception of Provincial Policy Intent

The second research problem of this study examined the perceived policy intent as viewed by policy implementors, and the similarity of perceptions of intent held by policy makers and by implementors.

Two questions were directed to teachers, principals and superintendents regarding the intent of teacher evaluation policy. The respondents were asked what their beliefs were regarding the purposes of the teacher evaluation policy at the provincial level and the purposes of their jurisdiction's teacher evaluation policy.

Interviews with policy makers revealed that among senior management in the Department of Education, there existed a high degree of consensus regarding the intent of teacher

evaluation policy. All respondents within the Department concurred with the focus on the improvement of instruction, while many also saw it as a mechanism to improve teacher professionalism. One Assistant Deputy Minister viewed it as a means for demonstrating accountability to the public.

Relative to the question regarding policy intents at the provincial level, the content analysis of the interviewee's responses identified eleven categories, which are summarized in Table 5.1. Since an interviewee may have indicated more than one response the total number of responses exceeds the number of interviewees.

The most common response given by 45 of the 90 teachers, principals and superintendents was demonstration of accountability to the public. A principal from a rural jurisdiction expressed this perception as follows:

The whole province was experiencing a basic crisis in accountability as evidenced by the MFP. [The Department was] emphatic regarding teacher evaluation on local jurisdictions -- I agreed with this thrust -- but, negatively, it again is a top down model. [I] believe Alberta Education was responding to perceived pressure from the public.

Although accountability to the public was identified by one policy maker as a reason for policy adoption, it was not identified as a primary policy intent, nor was it identified as such in the provincial policy manual. Half of the policy implementors, however, perceived accountability as the primary purpose or intent of teacher evaluation policy at the provincial level.

Table 5.1

Frequency of Identification of Provincial Level  
Policy Intents by Teachers, Principals, and  
Superintendents

Intent	T	P	S	Total
Demonstrate accountability to the public	11	15	19	45
Improve teaching methods	8	13	12	33
Response to Keegstra	9	8	4	21
Political reaction by the DOE	6	10	5	21
Assure uniformity of evaluation standards	5	5	7	17
Monitor and improve teacher proficiency	5	4	5	14
Assure curricular standards	8	3	1	12
Response to absence of evaluation	4	0	0	4
Back-up permanent certification process	2	0	0	2
Enhance professional status of teaching	1	0	0	1
Improve classroom discipline	1	0	0	1

Note: T-Teachers, P-Principals, S-Superintendents.

The second most frequent response, mentioned by 33 respondents, was improvement of teaching methods. Principals and superintendents cited this purpose more often than teachers. This purpose is highly congruent with both the responses of policy makers and with provincial policy documents (Alberta Education, 1984b).

Response to the Keegstra incident and political reaction by the Department of Education were both cited by 21 of the 90 respondents. One teacher commented, "[I] believe it came about as a result of public perception that teachers were not doing their job. Keegstra had some effect in this process, that is, the public assumed there were many Keegstras [which] resulted in a political response." As this teacher indicated, the reference to Keegstra might be considered a specific example of a political response.

The next three response categories -- assure uniformity of evaluation standards, monitor and improve teacher proficiency, and assure curricular standards -- were mentioned by 17, 14 and 12 of the 90 respondents respectively. These three response categories are largely congruent with provincial policy intents or factors affecting adoption of policy as defined by policy makers.

The last four response categories -- response to absence of evaluation, back-up permanent certification process, enhance professional status of teaching, and improve classroom discipline -- were mentioned infrequently, and hence are not

major factors from the perspective of policy implementors. It is significant, however, that the response category, "enhance the professional status of teaching," which is a stated objective of provincial policy (Alberta Education, 1984b), was mentioned by only one respondent, a teacher.

### Perception of Jurisdictional Level Policy Intents

All three categories of respondents -- teachers, principals, and superintendents -- were asked for their opinions of the purposes of their jurisdictions' teacher evaluation policy. Responses to this question are summarized in Table 5.2. Since an interviewee may have indicated more than one response the total number of responses exceeds the number of interviewees.

The most frequent purpose of teacher evaluation policy identified at the jurisdictional level was improvement of teacher performance or educational quality, with 74 of 90 respondents noting this intent. This compares to 33 respondents who cited the same intent at the provincial level. A significant shift of policy intent from the provincial to the jurisdiction level appears to have occurred in the perception of policy implementors. Two superintendent respondent comments reflect this shift well, "[The] purpose shifted from monitoring emphasis from [the] early days and intent now is to increase emphasis on supervision and

Table 5.2

Frequency of Identification of Jurisdictional Level Policy  
Intents by Teachers, Principals and Superintendents

Intent	T	P	S	Total
Improve teacher performance; Improve educational quality	21	24	29	74
Board concern regarding accountability	10	4	10	24
Personnel decision making	1	9	13	23
Compliance with Department requirements	6	6	2	14
Recognize or reward dedicated teachers	1	4	6	11
Maintain curricular standards	4	2	2	8
Assure teacher evaluation standards; consistency	0	2	0	2
Assure evaluation occurs	1	0	0	1
Response to the Keegstra incident	1	0	0	1
Assess inservice needs	0	1	0	1
Enhance professional status of teaching	0	0	1	1
Assist in the planning process	0	0	1	1

Note: T-Teachers, P-Principals, S-Superintendents.

formative development" and "[the] main thrust has been on encouragement, development of effective instruction, a formative emphasis."

Board concern over accountability was noted by 24 respondents. This was the second most frequent response in contrast to the accountability concern which was the first relative to the perception of provincial policy intents. Only one respondent perceived the board's teacher evaluation policy to be a response to the Keegstra incident, whereas 21 respondents made this connection regarding provincial policy intents.

Personnel decision making was seen as an important intent of jurisdictional teacher evaluation policy, primarily by administrative staff. Only one of the 23 respondents who identified this intent was a teacher.

An additional difference between teacher and administrative respondents is apparent with respect to the purpose of recognizing or rewarding dedicated teachers. Ten of the eleven respondents who identified this intent were administrators.

The absence of a perception of teacher evaluation policy having the intent of enhancing the teaching profession, noted at the provincial policy level, was minimal at the jurisdictional level. Only one respondent suggested that this was a purpose of the policy at the local level.

The remaining response categories noted in Table 5.2 were mentioned infrequently; consequently they were not major factors in implementation from the perspective of policy implementors.

#### Policy Standards

Research problem 3 focused on the degree to which policy standards and resources had affected teacher evaluation policy implementation. Policy standards were defined as policy inputs which establish requirements for how the policy should be implemented.

Local jurisdictions were given a large degree of flexibility and were encouraged to develop their own local policies on teacher evaluation within the broad guidelines which proposed that teacher evaluation should improve the quality of instruction and the professional development of teachers. A senior Department of Education official stated that this arrangement provided school jurisdictions with a maximum amount of autonomy with respect to teacher evaluation practices. The one noteworthy exception to this was the requirement that teacher evaluation policies be submitted to a Regional Office of Education so the Department could assure that the local policy was adequate with respect to due process requirements. This requirement was intended to assure that



teachers were accorded the principles of natural justice relative to teacher evaluation procedures.

One question was asked of principals and superintendents regarding the due process policy standard; specifically, "Has the 'due process' requirement of the Alberta Department of Education caused implementation difficulties in your jurisdiction?"

All 30 of the principals indicated that they had no problems with the due process requirement. One principal respondent indicated that he anticipated problems in small districts where the appeal may be directed to the evaluator, and two principals indicated they were concerned with the possible paper work associated with an appeal. Not one of the principals indicated that they had any direct experience with an appeal.

Twenty-six of the superintendents interviewed indicated that they had no problems with the due process requirement while four stated they had concerns about the due process policy standard. Three of the four were concerned about the problem of appeals in small districts, where appeals would be directed to the evaluator, and one was concerned about appeals being directed to school boards.

Due process in practice was also largely untried from the superintendents' perspective. However, eight superintendents did report informal appeals which were resolved through mutual

agreement with the teacher, such as early retirement, before the appeal reached a formal stage.

With respect to the provincial level of teacher evaluation policy the relative absence of policy standards required by the Department of Education was noteworthy.

### Policy Resources

Policy resources were defined as the funds and incentives allocated to policy implementation. Teacher evaluation policy was mandated in Alberta within the regular funding structures.

No additional monies were allocated to support the implementation process at the jurisdictional level.

Incentives were more of a resource dependency type where jurisdictions were told to implement teacher evaluation policy or face the possibility of having funding cut off (King, 1984).

Given the absence of funding in support of policy implementation and the desire to avoid leading questions in the interview schedules, policy resources were not addressed directly by the researcher. However, the database of interview responses was searched for terms which relate to policy resources. The policy resource term which occurred most often was "time." Twelve teachers, fifteen principals and seven superintendents identified lack of time for teacher evaluation policy implementation as a factor which had

weakened support for implementation of their jurisdiction's teacher evaluation policy. In addition, two teachers, eight principals and two superintendents identified additional time for implementation as a future resource needed to assure that teacher evaluation would have a positive influence in their jurisdiction.

### General Impressions of Policy Implementors

Addressed in this section are the general impressions of policy implementation held by the implementors. The first question of each respondent in the second phase interviews asked the respondent to share their general thoughts on teacher evaluation policy implementation. The primary purpose of this question was to assist the respondent in focusing thought on the topic of teacher evaluation policy implementation. The question, in itself, does not refer to a specific variable cluster in the Van Horn and Van Meter (1977) policy implementation model, nor to policy intents. Content analysis of the question did reveal some interesting patterns from the perspective of the respondents and, therefore, are reported here.

The most frequent comment made by 15 teachers, was that teacher evaluation policy was a worthwhile endeavor which indicates that a significant proportion of teachers held a positive general orientation toward the policy. A teacher's

comment typifies this reaction: "Last year was my first experience with the evaluation system -- [I] taught 16 years here -- seems to be a quite thorough process. [I] found constructive comments helped me in my teaching." In total, teachers made 18 positive comments about the policy. These positive comments were counterbalanced by 17 concerns, including the following: that teacher evaluation was stressful and threatening, that teacher evaluation was time consuming, that it was implemented suddenly, or that administrative evaluators lacked requisite evaluation skills. For teachers the positive and negative comments were nearly equal.

Principals tended to be slightly more positive than were the teacher respondents. Twenty-five positive comments were made by principals as opposed to 21 negative comments. Principals commented that teacher evaluation policy implementation resulted in refinement of the policy, that it was a worthwhile endeavor, that the implementation process was positive with adequate opportunity for their input, and that the emphasis on formative evaluation was positive. Twenty-one negative comments were made. The most common related to the time consuming nature of teacher evaluation, to conflict between their summative and formative roles, and to unclear evaluation processes or to lack of administrator evaluation skills.

Superintendents were the most positive of the three groups of respondents. Nineteen positive comments were made

by superintendents regarding, for example, the refinement of teacher evaluation policy, the worthwhile nature of teacher evaluation, and the opportunity for input to policy formulation provided to staff. Only 13 negative comments were mentioned by superintendents; the most frequent included a short time frame for policy implementation and unclear evaluation processes or lack of administrator evaluation skills.

#### Discussion

In general, the policy implementors in the field perceived the purposes or intents of teacher evaluation at the provincial level largely as a demonstration of accountability or as a Department of Education response to political events. The identification by policy implementors of major factors -- response to Keegstra and political reaction by the DOE -- both represent politically inspired policy intents. Policy makers in the first phase interviews identified grass roots political pressure as diffuse, but distinct political pressure was felt from the provincial legislature. Political pressure was seen by policy makers as a factor affecting adoption of the policy but was not a stated intent of provincial policy. The Keegstra incident was identified by policy makers as a key factor in the implementation of teacher evaluation policy, but was not identified as an issue in the policy adoption stage.

However, 21 implementor respondents including nine teachers perceived the Keegstra incident as a factor affecting the purposes or intents of provincial teacher evaluation policy. This misperception of provincial policy intents by policy implementors might have resulted in misunderstanding and resistance to teacher evaluation policy by implementors.

The fact that only one respondent perceived the board's teacher evaluation policy to be a response to the Keegstra incident, in contrast to the 21 respondents who made this connection regarding provincial policy intents, is noteworthy. The near absence of this intent at the local level suggests that implementors perceived the political "fallout" from the Keegstra incident to have been much more significant for provincial level policy makers than for jurisdictional level policy intents.

One-third of the respondents perceived that the intent of the policy was improving teaching; however, only one respondent identified enhancement of the teaching profession as an intent of provincial policy. The lack of recognition of the provincial policy intent of improving the professional status of teaching by policy implementors suggested a need for more adequate communication and support of this intent by policy makers.

Seventy-four respondents identified improvement of teaching as a policy intent at the jurisdictional level, suggesting that a shift of this policy intent between

organizational levels had occurred. Essentially, implementors perceived teacher evaluation policy at the provincial level to have a summative emphasis, but to have a formative emphasis at the jurisdictional level. The jurisdictional policy intent of improving instruction is consistent with stated provincial policy; however, it does reflect a lack of congruence with perceived policy intent at the provincial level.

The enhancement of the professional status of teaching as a policy intent was also absent at the jurisdictional level. Since "professional growth and development of teachers" (Alberta Education, 1984b:72) is a stated intent of provincial teacher evaluation policy, the almost complete absence of this policy intent in the perception of policy implementors represented an area of concern for the attention of both policy makers and policy implementors.

The absence of formal appeals in the 30 jurisdictions involved in the present study suggested that this particular policy standard presented few difficulties in theory with the policy implementors. However, when tested in practice, 'due process' policy standards may create problems, particularly in small jurisdictions. Also, the appeal route may be problematic if school boards are demonstrated to lack requisite expertise to judge appeal proceedings.

Time as a policy resource factor was identified through a search of the interview database. Mireau (1986) has noted that demands for more time by administrators may be an excuse

for avoiding a difficult task. Nevertheless, the frequency with which time as a needed resource was mentioned by respondents suggests that lack of time may have been a distinct barrier to successful implementation of teacher evaluation policy in specific situations.

In response to a question about the general impression of respondents, superintendents were the most positive, followed by principals and then teachers. However, even teachers were more positive than negative in their general comments about teacher evaluation policy implementation in their school.

#### Summary

The second phase interview results with teacher evaluation policy implementors at the jurisdiction and school levels were presented in this chapter relative to their perceptions of policy intents, the policy standards and policy resources, and general impressions. Political intents of the teacher evaluation policy were perceived by policy implementors to be more evident at the provincial than at the local level. Due process requirements as a policy standard were largely an untested aspect of teacher evaluation policy. Time as a policy resource emerged as a key area of concern from the perspective of the policy implementors.



## CHAPTER 6

### Effects of Process Variables on Policy Implementation

The fourth research problem of this study examined the degree to which communications, enforcements, characteristics of the implementing agencies, political environment, and socio-economic environment variables affected teacher evaluation policy implementation. The data relating these process variables to policy implementation were obtained through the interviews with the policy implementors.

#### Communications

Communications variables were defined as the clarity with which policy standards were communicated to implementors as well as the interpretations implementors placed on the program and acceptable levels of local performance.

Teachers, principals and superintendents were asked 1) how teachers were involved in developing the jurisdiction's evaluation policy and 2) whether policy expectations from the school office (central office for principals or Alberta Education for superintendents) were sufficiently clear to define what was expected of them in the teacher evaluation policy implementation process.

Responses to the first question are summarized in Table 6.1. In some cases, more than one vehicle for input to policy formulation was available; therefore, totals exceed the number of respondents.

Table 6.1

Frequency of Identification of Teacher Involvement in Policy Development by Teachers, Principals and Superintendents

Teacher Involvement	T	F	S	Total
Teacher representatives on a policy committee	10	12	21	43
Through principal; discussion at staff meetings	8	11	11	30
No opportunity for input	6	9	0	15
Through direct request to each teacher to react to policy	2	4	8	14
Don't know or not sure	9	0	0	9

Note: T-Teachers, P-Principals, S-Superintendents.

Superintendents in every jurisdiction reported that teachers had some means for influencing policy formulation. However, nine principals and 15 teachers reported either no opportunity for input or uncertainty regarding mechanisms for input into the formulation of the policy at the school and jurisdictional levels. The quality of input when means for

input were available is an additional source of variance in the quality of communications. Several teachers commented on this factor: "actual input was more on method; the need for policy was generally accepted," or "We were involved, but there was a feeling of inevitability to the process; key issues were not addressed." In addition, seven principals who observed discussion of teacher evaluation, either on committees or at staff meetings, commented on the limited dialogue that occurred among teachers. Lastly, the comments of one superintendent further underscore this phenomenon, "feedback was minimal, [teacher evaluation policy] seemed to be generally accepted. . . . I sometimes wonder to what degree teachers were actually involved."

Respondents were asked about the adequacy of communication regarding the interviewees' understanding of policy and their responsibilities relative to their position as a teacher, principal or superintendent. Responses to the second question about communication are summarized in Table 6.2.

Table 6.2

Frequency of Identification of Adequacy of Communications by  
Teachers, Principals and Superintendents

Communications Adequacy	T	P	S	Total
Yes, policy and expectations clearly understood	20	25	25	70
No, policy vague or not clarified	10	5	5	20

Note: T-Teachers, P-Principals, S-Superintendents.

One-third of the teachers expressed uncertainty over policy expectations while one-sixth of the administrators in each group shared this concern. One teacher commented; "I've never had the evaluation [policy] explained to me, so I'm not too clear on what is expected." A principal stated, "No, [policy] leaves it open to interpretation -- lack of clarity and specifics and definition, for example, formative versus summative [evaluation]." Communications regarding role responsibilities relative to teacher evaluation were clearer to administrators than to teachers. Overall, a sizable number of respondents, 20 of the 90 interviewees, were uncertain of policy expectations.

### Enforcements

Enforcements in support of policy implementation were defined as consisting of three types: norms, incentives, and sanctions. Norms are enforcements which are based on a professional standard, for example, policy a teacher would comply with because it is an expected level of performance for the profession. Incentives are material rewards, commonly remunerative, allocated for complying with a policy directive. Sanctions imply coercion or punishment which would be accrued for not complying with a policy directive.

The enforcements variable cluster was addressed with one question to teachers, principals and superintendents, an additional question to principals and superintendents, and two more questions to superintendents only. The enforcement question addressed to all three respondent levels asked what means had been used in the school (or jurisdiction) to encourage teachers to cooperate with the teacher evaluation policy. Responses to this question are summarized in Table 6.3.

Table 6.3

Frequency of Identification of Means Used to Encourage  
Teacher Cooperation with Policy by Teachers,  
Principals and Superintendents

Means of Encouragement	T	P	S	Total
Coercive with a formative emphasis	11	18	12	41
Coercive emphasis/DOE policy requirement	13	3	5	21
Learning process/formative emphasis	2	8	1	11
Little effort to clarify policy	4	1	3	8
Provided for teacher input to policy process	0	0	8	8
By example, with emphasis on fairness	0	0	1	1

Note: T=Teachers, P=Principals, S=Superintendents.

No interviewee suggested that enforcements of a remunerative-incentive type had been used. A discrepancy appears between the perspective of teachers and those of administrators. Thirteen teachers perceived a coercive-sanction enforcement pattern, while only three principals and five superintendents held this view. Typical of a coercive-sanction approach was this teacher comment, "[I] saw it coming down from the county level [as] something we had to do because the province required it."

On the other hand, 13 teachers perceived a normative-formative emphasis or a formative emphasis linked with a coercive approach, whereas 26 principals and 13 superintendents held this point of view. Reflecting this approach, a teacher stated, "It has come as we have to do it, but the general reaction has been fairly positive. The implementation process has been positive -- a phase-in procedure worked well." Administrators viewed the enforcements used to induce teacher cooperation with teacher evaluation policy as a more normative process than did the teachers. A principal commented, "Teachers understand it's something we have to do and are providing positive responses after the evaluation."

In addition, in response to a follow-up question about how effective the means of enforcement have been, two teachers commented that teacher evaluation policy was viewed by tenured teachers as a non-issue because it primarily affected the non-tenured staff. Thirteen teachers commented on the stress producing, negative aspect of teacher evaluation while thirteen teachers made positive comments regarding the teacher evaluation process.

The second enforcements question, addressed to principals and superintendents, asked what means had been used in the jurisdiction to encourage principals to implement the teacher evaluation policy. Responses to this question are summarized in Table 6.4.

Table 6.4

Frequency of Identification of Means Used to Encourage  
Principal Cooperation with Teacher Evaluation Policy  
by Principals and Superintendents

Means of Encouragement	P	S	Total
Both a policy directive and linked to a normative approach	12	25	37
Policy directive	8	4	12
Collegial approach with normative emphasis	9	1	10
Nothing, supt. does all teacher evaluations	1	0	1

Note: P-Principals, S-Superintendents.

Greater congruence exists between the perspectives of principals and superintendents regarding enforcements used to encourage principal cooperation with teacher evaluation policy than exists between respondent groups for enforcements for teacher cooperation. Twenty-one principals and 26 superintendents perceived either a normative emphasis or a normative emphasis linked with a policy directive or sanction approach. A principal commented, "[It's a] professional expectation - the central office has negotiated the process with us."

The third and fourth enforcement questions, asked only of superintendents, explored the Department of Education's use of



coercive means to ensure that school jurisdictions implemented the teacher evaluation policy. The superintendents were asked about their reaction to the appropriateness of the means used to ensure compliance with provincial mandates to implement policy and whether they would recommend other means to ensure compliance with provincial policy.

Seventeen superintendents indicated a positive reaction to provincial enforcement strategies. One superintendent commented, "[I had a] positive reaction. The Department of Education clearly has a prescribed role. Expectations were rational and fair, and they provided support. It was not perceived as a restraint." Three of the 17 suggested sanctions were necessary because earlier attempts at volunteer implementation had not worked.

Ten superintendents responded with mixed reactions. Of the 10, one suggested that the provincial approach put teachers in a defensive position; two stated they did not think the Department of Education had sufficiently demonstrated the need for a provincial teacher evaluation policy; three argued that the Department should not treat all jurisdictions equally as the Management and Finance Plan does; and one noted that resources were too limited.

Three superintendents stated they had a negative reaction to provincial enforcement strategies. Reasons for their negative reaction included that their jurisdiction had already been doing teacher evaluation and sanctions were not

necessary; that teacher evaluation was not an area for the Department to be involved in; or that the implementation model was too "top down."

The last enforcement question asked superintendents if they would recommend other means to assure compliance with provincial teacher evaluation policy.

Twelve respondents said "No." Five suggested a need for regular monitoring of policy implementation by provincial authorities. Four suggested more consultation and support mechanisms. Two suggested a need for more sensitivity to local differences. Four stated a need for wider input into the policy adoption process, such as more representation by the Alberta Teachers' Association and the Alberta School Trustees' Association. Two suggested that the Department of Education demonstrate the rationale for teacher evaluation more effectively. Lastly, one stated a need to revise policy to a more goals/results orientation away from the current process orientation.

Twenty-seven superintendents reacted either favorably or with mixed support for provincial enforcement strategies.

However, 18 superintendents made suggestions regarding how provincial enforcements might be adjusted.

### Characteristics of the Implementing Agency

The characteristics of the implementing agency was defined as the ability of personnel to perform the policy based tasks required of them.

Five questions were formulated to address this variable cluster. The first question, addressed to superintendents only, asked who had responsibility for evaluating teachers in the jurisdiction. Three questions addressed the issue of whether the teachers, principals and central office supervisory personnel had training specifically in teacher evaluation, and what training had been most useful. A fifth question addressed the level of satisfaction with the jurisdiction's methods used to assess teacher performance.

Eighteen superintendents reported that responsibility for teacher evaluation was shared between principals and central office staff. Of these 18, 11 identified principal responsibility for primarily formative evaluation and central office staff for summative evaluations; four indicated teacher evaluation was a shared activity without any clear role differentiation between administrative levels; one respondent stated principals were responsible for non-tenured staff and central office personnel for tenured staff evaluations, and two respondents noted the converse (i.e., principals responsible for tenured teachers and central office for non-tenured teachers).

Twelve superintendents identified principals as primarily responsible for all teacher evaluation, with central office personnel providing only a backup role when needed.

All three respondent levels were asked what training had been provided to teachers to facilitate their understanding and cooperation with teacher evaluation policy implementation in their jurisdiction. Responses to this question are reported in Table 6.5.

Table 6.5

Frequency of Identification of Training Provided to Teachers by Teachers, Principals and Superintendents

Teacher Training	T	P	S	Total
No training	15	13	11	39
Orientation to jurisdiction evaluation	9	7	12	28
Professional development workshops	7	12	5	24
Policy development meetings	1	3	2	6
University courses	1	0	0	1

Note: T-Teachers, P-Principals, S-Superintendents.

Many jurisdictions had not addressed the question of teacher training in support of policy implementation.

One-half of the teachers could not identify any training or inservice activities specifically on teacher evaluation.

Orientalions to jurisdictional evaluation procedures were most frequently cited as a means of preparing teachers for their roles in teacher evaluation processes. Professional development activities were reported by 24 respondents who often reported that training had not been presented on teacher evaluation specifically, but on effective teaching strategies which were formally or informally linked to teacher evaluation criteria.

Discrepancies between respondent levels was likely due to variation in exposure to training activities that had been provided. Few jurisdictions had given a priority to teacher inservice on teacher evaluation specifically. Several administrators commented that the professional development concern/priorities had passed on to other areas.

Only principal and superintendent respondents were asked about teacher evaluation training activities provided for principals. Many respondents indicated more than one training opportunity; therefore, total responses reported in Table 6.6 exceed the number of respondents.

All administrators identified at least one training opportunity specifically on teacher evaluation. Workshops, conferences and seminars were rated as most useful by eight principals, and university courses, primarily on clinical supervision, were rated most useful by seven principals.

Table 6.6

Frequency of Identification of Training Provided to  
Principals by Principals and Superintendents

Principal Training	P	S	Total
Seminars, conferences, and workshops	29	23	52
University courses	15	8	23
Mireau inservice materials	2	9	11
On the job experience	6	1	7
Readings	1	0	1

Note: P-Principals, S-Superintendents.

Effective teaching programs were frequently mentioned as highly useful and also desirable as a focus for further inservice linked to teacher evaluation training. Principals have had opportunity to experience some inservice training in support of their teacher evaluation responsibilities.

Additional training that would be most helpful was also identified by respondents. Twelve administrators suggested teacher effectiveness training; eight expressed the need for more practical experience, six for university teacher supervision courses, eight for collegial supervision models or trust building/helpful evaluation strategies, and two for a review of research and evaluation instruments.

Superintendents were asked what specific teacher evaluation training central office supervisory personnel had experienced. Most respondents indicated more than one type of training; therefore, the number of responses exceed the number of respondents. The response category and frequency of responses are summarized below:

workshops, seminars, and conferences	23
university courses	18
Mireau inservice materials	10
on the job experience	3
Teacher Perceiver materials	2
other	3
no training	1

Six superintendents suggested workshops, seminars and conferences had been most useful to them. University courses, on the job experience and the Mireau (1985) inservice materials, sponsored by the Department of Education, were identified by two respondents respectively as most useful to them. Ten superintendents mentioned effective teaching inservice as useful especially in a workshop format. Richard Manatt's (1985) work on teacher evaluation was often identified by superintendents as useful.

Additional training which would be useful was addressed by the superintendent interviewees. Fourteen respondents stated no need for more inservice on teacher evaluation or were unsure of specific needs. Five suggested need for more

workshops, seminars or conferences. Four noted a need for inservice on collegial-trust building or sessions on helping strategies. Two expressed a need for effective teaching inservice, two asked for contact with other practitioners and for practical evaluation models, one stated a desire for evaluation of evaluators, and one respondent wanted inservice on report writing skills.

Superintendents, like their principal counterparts, have had opportunity to experience some inservice training in support of their evaluation activities. Half of the superintendents identified a need for additional inservice training.

Teacher, principal and superintendent respondents were asked if they were satisfied with the jurisdictions' methods used to assess teacher performance. These responses are summarized in Table 6.7.

The strongest single theme to emerge from analysis of this question was the preference expressed by many respondents for anecdotal evaluation reporting formats. A teacher commented, "Criteria with open ended responses are preferable to rating scales which over-simplify the teaching process." Overall 64 respondents expressed high or moderate levels of satisfaction with methods used to evaluate teacher performance. Eighteen respondents indicated dissatisfaction



Table 6.7

Frequency of Identification of Satisfaction with  
Methods Used to Assess Teacher Performance by  
Teachers, Principals and Superintendents

Methods Satisfaction	T	P	S	Total
Evaluation criteria and anecdotal format are good	15	11	12	37
Format and criteria are acceptable	7	7	13	27
Format and criteria are vague/poor	5	8	3	18
Need more time in evaluation process	2	4	0	6
Format flexibility is good	0	2	3	5
Clinical supervision model is good	1	0	2	3
Need standardized form to assure fairness	2	0	0	2
Need description of teaching context	1	0	0	1
More objectivity is needed	0	1	0	1

Note: T-Teachers, P-Principals, S-Superintendents.

with evaluation format and criteria. This dissatisfaction was linked by some respondents to such factors as a lack of a standardized form to assure fairness, the need for a description of the teaching context in the evaluation report, and the need for more objectivity.

### Political Environments

The political environment was defined as the extent of support for the policy objective. Principals and superintendents were asked 1) how implementation had been affected by the jurisdiction's political climate, and 2) if they had tried to make parents or parent groups aware that a new teacher evaluation policy was being implemented in their school (jurisdiction).

Teacher evaluation appears to have been largely absent as a political issue in local communities from the perspective of both principals and superintendents. In those jurisdictions where teacher evaluation was seen as a local issue, it was perceived to be of a minor nature usually based on community dissatisfaction with an individual teacher. As indicated in Table 6.8, no respondent indicated that teacher evaluation had been a major issue in his or her jurisdiction. Typical of these responses was a principal who stated, "No, totally out of the picture" or a superintendent who commented, "Not an

issue - very little effect politically. Parent pressure has occurred, but sporadic in nature."

Table 6:8

Frequency of Identification of Jurisdictional  
Political Effect on Policy Implementation by  
Principals and Superintendents

Political Effect	P	S	Total
No effect; not perceived as an issue	22	24	46
A minor issue	8	6	14

Note: P=Principals, S=Superintendents.

As noted in Table 6.9, 44 respondents indicated either no or minimal attempts at informing parents or their publics regarding teacher evaluation policy implementation in their jurisdictions. Minimal attempts were interpreted as passive communications, usually in annual reports or through regular media coverage of board meetings. Proactive attempts were interpreted as specific forums held to inform the public, letters mailed directly to parents, specific press releases intended to focus media attention on teacher evaluation policy implementation, or some combination of specific attempts at communicating to the public. One-third of the sampled

Table 6.9

Frequency of Identification of Jurisdictional Attempts to Inform Parents about Policy Implementation by Principals and Superintendents

Attempts to Inform	P	S	
No attempts	17	5	22
Minimal attempts	7	15	22
Multiple, proactive attempts to inform parents	6	10	16

note: P-Principals, S-Superintendents

jurisdictions had used proactive mechanisms to inform their community. Superintendents were more aware of this process than were principals, but generally had a limited perception of how effective communication efforts had been at informing parents. A superintendent commented, "[I] didn't specifically attempt to give this high priority; [it] should be known via annual reports and some media articles."

#### Socio-Economic Environment

Socio-economic variables refer to environmental conditions affecting the policy implementation process. For example, local community economic resources can affect the kinds of services rendered in a school jurisdiction or the

level of education of parent clientele might affect community expectations of the educational system.

This variable cluster was the most elusive to tap given the specific policy being studied and the context of implementation. None of the pilot questions designed to assess the socio-economic variable cluster in the second phase interviews survived the interview schedule development process. In addition, the background literature review did not identify local socio-economic factors as being important to the implementation of teacher evaluation policy. Essentially, factors which were identified as important seemed to be adequately covered by the other seven variable clusters of the Van Horn and Van Meter (1977) policy implementation model relative to the particular application of the model in the current study.

#### Discussion

The discrepancy between the perceptions of superintendents as opposed to teachers and principals of the opportunity for influencing teacher evaluation policy development at the jurisdictional level demonstrates the difficulty of communicating through multiple levels of an organization. The finding that opportunities for teachers to influence policy development processes were in many cases limited may be related to the then Minister of Education's

concern that the Keegstra incident, while facilitating policy implementation on the one hand by eliminating resistance to teacher evaluation policy implementation, may have done harm in limiting opportunities for teacher input into policy formulation at the local level on the other hand by reducing teacher credibility generally. Teacher responses to the question about opportunity for input, in which 50 percent of the respondents indicated no opportunity and other respondents who had opportunity characterized it as a fait accompli, seem to lend credibility to the Minister's concern. Other explanations are plausible; for example, teachers may have lacked the requisite expertise to comprehensively influence the policy development process. Whatever the explanation, it appears that teachers will need additional opportunities for evolving ownership of teacher evaluation policies.

The finding that communications regarding role responsibilities relative to teacher evaluation are clearer for administrators than for teachers is not surprising since teachers felt they had less opportunity for input into policy formulation than did the administrators. A need for clarification of policy, particularly for teachers, but also for principals and superintendents in several jurisdictions was demonstrated.

Administrators viewed the enforcements used to induce teacher cooperation with teacher evaluation policy as more positive than did the teachers. However, the emphasis on

improvement of instruction given to jurisdictional level policy intents may be related to the preponderance of normative enforcement strategies reported by administrators at the local level of implementation.

Much divergent opinion was observed in relationship to the methods used to assess teacher performance. What was seen as a strength in a method by one respondent -- for example, the flexibility of anecdotal reporting formats -- was seen as a weakness by another respondent. This observation lends support to Darling, Hammond and Wise's (1985) argument for custom designing methods to fit the local context. Overall 64 of 90 respondents expressed high or moderate levels of satisfaction with methods used to evaluate teacher performance; however, divergence of opinion regarding evaluation methodology supports the wisdom of designing evaluation strategies to fit local evaluation intents and expectations.

Teacher evaluation had been largely absent as a political issue in local communities from the perspective of both principals and superintendents. In those jurisdictions where teacher evaluation was seen as a local issue, it was perceived to be of a minor nature usually based on community dissatisfaction with an individual teacher. No respondent indicated that teacher evaluation had been a major issue in their jurisdiction. Apparently, political pressure for teacher evaluation was not a grass roots phenomenon that was

manifested through local political channels, such as school board elections.

Principals or superintendents were asked if they had attempted to keep parents or parent groups informed about teacher evaluation policy implementation. If teacher evaluation was a key political issue at the local level, it was anticipated that school jurisdictions would have been active in communicating progress regarding implementation of the teacher evaluation policy to their publics. The relative absence of these communication activities suggests the local political relevance of teacher evaluation policy was minimal.

#### Summary

In this chapter, five variable clusters from the Van Horn and Van Meter (1977) policy implementation model -- Communications, Enforcements, Characteristics of the Implementing Agency, Political Environments and Socio-Economic Environments -- were examined in relationship to second phase interviews and in terms of their effect on teacher evaluation policy implementation. Findings were discussed in terms of their meaning and potential implications for policy implementation.

Policy communications were found to be generally clearer for administrators than for teachers. At the local level, normative enforcement strategies were more frequent than



coercive-sanction enforcement strategies, and incentives were largely absent as an enforcement strategy. Respondents expressed strong support for use of anecdotal reporting formats in documenting teacher evaluations. The policy had not been perceived as a significant political issue at the local jurisdiction level.

## CHAPTER 7

### Implementor Disposition, Policy Effects, Expectations for Full Implementation and Anticipated Future Needs

The degree to which the disposition of the implementors had affected policy implementation, the policy effects as perceived by the policy implementors, and comparisons of the perceptions of effects held by policy makers and implementors are considered in this chapter. In addition, the similarities between the expectations of policy makers and policy implementors regarding the degree to which there would be full implementation of teacher evaluation policy and the perception of need for future adjustments to the policy implementation process are also discussed. These topics comprise the fifth through eighth research problems addressed in the study.

#### Disposition of the Implementors

Disposition of the implementors refers to elements of the implementors' response to policy which may affect their ability or willingness to implement. Implementor disposition was viewed as the most important link in the policy implementation process. The variables previously considered were seen as having the potential to affect implementor disposition either directly or indirectly.

Four questions were asked in the second phase interviews that relate to the disposition of the implementors. The first three questions were asked of all respondent levels (i.e., teachers, principals and superintendents), but were reworded for each group to be applicable to that level. The fourth question was addressed only to superintendents.

The first question asked teachers if anything had weakened their support for implementation of the jurisdiction's teacher evaluation policy, and asked principals and superintendents if any aspects of the policy had resulted in resistance by teachers. Responses to this question are summarized in Table 7.1.

The most frequent source of resistance perceived by eight teachers but which was identified by only two administrators was subjective, insufficient or invalid bases of teacher evaluation. A teacher commented, "[My] only concern is with potential for personality conflicts or subjective factors distorting an evaluation." Other sources of resistance identified by eight, seven and four interviewees respectively from all respondent groups included the role of the principal relative to formative versus summative evaluation; the stress, anxiety and exhaustion associated with evaluation; and the unequal application of teacher evaluation across staffing classifications, for example, tenured and non-tenured teachers.

Table 7.1

Frequency of Identification of Sources of Teacher Resistance to Implementation of Teacher Evaluation Policy by Teachers, Principals and Superintendents

Teacher Resistance	T	P	S	Total
No resistance	12	19	19	50
Empirical base too subjective; insufficient or invalid data	8	1	1	10
Principal should do only formative evaluation	3	1	4	8
Stress, anxiety and exhaustion of evaluating	1	4	2	7
Some teachers evaluated too often; others too seldom	1	0	3	4
Lack of central office involvement/support	1	2	0	3
Lack of training/skills of evaluators	1	1	0	2
Repeated postponement of scheduled visits	1	1	0	2
Lack of time spent in evaluation process	1	0	0	1
Use of evaluation to terminate teachers unpopular in the community	1	0	0	1
Confusion re: teaching effectiveness criteria linked to evaluation	0	1	0	1
Need for expertise in subject area by evaluator	0	0	1	1

Note: T-Teachers, P-Principals, S-Superintendents.

Six administrative respondents identified the stress/anxiety factor more often than the one teacher respondent who noted this phenomenon, "I support the concept [of teacher evaluation] in abstract, but dread it in practice." Other sources of resistance were noted by only one or two respondents, but the responses do identify potential sources of resistance by teachers and are therefore worthy of note by policy implementors as a potential problem area in a particular setting.

The second question asked teachers if any aspects of teacher evaluation policy had caused implementation difficulties for the school administrators, and asked principals and superintendents if anything had weakened their support for implementation of their jurisdiction's teacher evaluation policy. Responses to this question are presented in Table 7.2.

Most administrative respondents qualified their responses with a statement that even though problem areas existed, their commitment to implementing teacher evaluation policy was not lessened by the existence of the problem areas. A principal responded, "The teacher evaluation policy has forced me to prioritize the teacher evaluation process. It has been hard to find the time, but [that] has not lessened my commitment."

Table 7.2

Frequency of Identification of Sources of Administrator  
Resistance to Implementation of Teacher Evaluation  
Policy by Teachers, Principals and Superintendents

Administrator Resistance	T	P	S	Total
Time; support resources not adequate	14	17	8	39
Need more training; improved empirical base	3	2	1	6
Role confusion between summative/formative evaluation; lack of direction	2	3	0	5
Lack of commitment to implementing policy	2	0	2	4
Lack of central office support	0	3	0	3
Unclear articulation between evaluation policies; teacher evaluation focus too diffuse	0	0	3	3
Negative effect on student- teacher time	0	0	2	2
Negativism associated with a teacher dismissal; need for more positive emphasis	0	0	2	2
Communicating evaluation results to teachers	1	0	0	1
No problems with it	8	5	12	25

Note: T-Teachers, P-Principals, S-Superintendents.

Insufficient time, discussed in Chapter 5 in relationship to Policy Resources, was the most frequently mentioned item that had presented a problem to implementors. Perhaps most importantly, 17 principals expressed their concern over time and inadequate resources more than twice as often as superintendents. Fourteen teachers identified this area as a problem for their principals which lends credibility to the principals' concerns.

Three teachers and two principals expressed the need for evaluators to have more training and an improved empirical basis for evaluation. Two teachers and three principals commented on the existence of role confusion between summative and formative evaluative efforts and the lack of direction with respect to the overall teacher evaluation processes.

The other response categories noted in Table 7.2 were identified by only one to three respondents in one respondent category. However, again the areas of concern warrant review by policy implementors in order to determine the relevance of the specific concern to implementation efforts in a particular jurisdiction.

Twenty-five respondents, primarily superintendents and teachers, indicated they perceived no problem with implementation. Only five principals indicated no problems with teacher evaluation policy implementation.

The third question relating to disposition of the implementors was worded in the same format for all respondent

groups and asked if they thought the Alberta Department of Education's commitment to having the provincial teacher evaluation policy implemented was as strong then as it was in 1984-85 when it was introduced. The responses to this question are summarized in Table 7.3.

Table 7.3

Frequency of Perceptions of Departmental Commitment to Implementation of Teacher Evaluation Policy by Teachers, Principals and Superintendents

Departmental Commitment	T	P	S	Total
As strong or stronger	7	1	1	9
-DOE still sensitive to need	1	6	5	12
-A routine now	6	2	1	9
-Part of MFP commitment	0	0	1	1
<b>Stronger sub-total</b>	<b>14</b>	<b>9</b>	<b>8</b>	<b>31</b>
Weaker	3	1	0	4
-Shifted to boards	1	1	0	2
-Shifted focus to other areas	5	6	6	17
-Less public and political pressure	5	5	4	14
-Lack of dollar resources will limit implementation	1	4	0	5
-Lack of follow-through/monitoring	0	1	11	12
<b>Weaker sub-total</b>	<b>15</b>	<b>18</b>	<b>21</b>	<b>54</b>
Not sure/no opinion	1	3	1	5

Note: T-Teachers, P-Principals, S-Superintendents, MFP-Management and Finance Plan



Fifty-nine of 90 respondents believed the Department's commitment to be weaker or were not sure. Administrators held this perspective more often than did teachers. Respondents who expressed this opinion included a teacher who commented, "I see the Department of Education concern now being more in the secondary [curriculum] area with the emphasis shifting away from teacher evaluation." A principal said, "I doubt it is -- little evidence of follow-up. Maybe they shouldn't rely on local governance to assure implementation." And a superintendent commented, "Not hearing much about it now. [I] assume they gave it the kick to get it going and have gone to other things."

The final question relating to disposition of the implementors asked superintendents what they thought the priority of evaluating teachers was for board members. Fifteen superintendents responded that teacher evaluation was a high priority with board members accompanied with a proactive, highly visible advocacy of teacher evaluation by the board. Ten respondents said teacher evaluation was a high priority with their board, but was accompanied by a reactive stance and quiet advocacy. Four superintendents stated teacher evaluation was a moderate priority for their board, and one noted that teacher evaluation was not an issue for the school board.

At the local level superintendents perceived their school boards to be maintaining a high commitment to implementing

teacher evaluation policy, with 25 of the 30 jurisdictions sampled reporting a high commitment by their boards to implementation of teacher evaluation policy.

One superintendent's response typified this perspective: "[The board] wants the best possible teachers. Overall a pretty high priority -- they see themselves accountable to the public to avoid hiring poor teachers. The board has visibly postured [demonstrated] this priority with the staff."

#### Policy Effects

The problem addressed in this area was whether the anticipated policy effects defined by the policy makers were similar to the perceived policy effects of the policy implementors.

Interviewees were asked what they would look for in making a decision as to whether the policy had been successfully implemented in their jurisdiction. Respondents in some cases identified more than one factor, so the total number of responses exceeds the number of respondents.

A distinct dichotomy is evident in Table 7.4 between the responses of teachers and administrators on the first four indicators. While large proportions of administrators identified evidence that teaching was improving, staff satisfaction/positive teacher attitude, and administrative

Table 7.4

Frequency of Identification of Indicators of Successful  
Implementation of Teacher Evaluation Policy by  
Teachers, Principals and Superintendents

Success Indicators	T	P	S	Total
Evidence teaching was improving	3	15	16	34
Staff satisfaction; positive teacher attitude	4	16	12	32
Informative/useful evaluation	20	4	3	27
Administrative commitment to evaluation	0	7	12	19
Improvement of public confidence in education	3	3	4	10
Clarity/consistency in evaluation criteria	3	5	2	10
Evaluation skills enhanced; improved quality of evaluation	0	4	5	9
Personnel decisions based on teacher evaluation	0	2	4	6
Teachers feel evaluation is fair/just	3	0	0	3
More peer/self evaluation	1	0	1	2
Inservice planning informed by evaluation results	0	0	2	2
Good liaison with central office	0	1	0	1

Note: T-Teachers, P-Principals, S-Superintendents.

commitment to evaluation as indicators of successful policy implementation, very few teachers identified these factors. On the other hand, two-thirds of the teachers stated that evaluations that were informative/useful to them would be indicative of successful teacher evaluation policy implementation, whereas only 7 of 60 administrators suggested this factor. One teacher stated, "[I] expect teacher evaluation to identify both strengths and weaknesses with suggestions regarding improvement" and another teacher commented, "Consultation on a continual basis between the principal and teacher; not a one-shot process. Evaluation needs to be an assistant/helper, not a judge."

A small but similar proportion from each respondent group suggested successful policy implementation would be indicated if public confidence in education was enhanced, and if the clarity and consistency in evaluation criteria were achieved. Nine administrators also suggested enhancement of evaluation skills with resultant improvement in the quality of teacher evaluation, and six stated personnel decision making based on evaluation results would reflect successful teacher evaluation policy implementation.

The remaining four items were mentioned by only one, two or three respondents and were not major themes in the current study. However, they are relevant indicators of successful teacher evaluation policy implementation cited in the literature.

#### Expectations for Full Implementation

In the first phase interviews, policy makers were asked what their perceptions of the current status of teacher evaluation policy implementation were. Analysis of their responses indicated that policy makers did not believe teacher evaluation policy initiatives would dissipate; however, they also did not think that implementation was anywhere near complete.

Administrative policy implementors in the second phase interviews were asked how many schools had implemented the teacher evaluation policy, either fully or partly in their jurisdictions. Twenty-three principals and 19 superintendents stated teacher evaluation policy had been fully implemented in their jurisdiction. Six of these 42 respondents qualified their statement that "fully" meant in terms of the mechanics of the policy. That is, the policy standards were in place, but the policy effects, characteristics of the implementors, or other indicators of successful implementation may be yet lacking. One principal commented, "All [schools have fully

implemented the policy] but methods are so open that full implementation is defined as superficial."

Seven principals and 11 superintendents stated that the teacher evaluation policy had been partially implemented in their jurisdiction. These respondents often cited implementation barriers, such as time, the newness of the policy, or the discomfort of principals with evaluation as factors which had inhibited full implementation.

#### Anticipated Future Needs

All three levels of policy implementors were asked if there were any future needs, supports or adjustments which they thought might be necessary to assure that teacher evaluation had a positive influence in their school or jurisdiction. These responses are summarized in Table 7.5. Respondents may have identified more than one factor; therefore, the number of responses exceed the number of respondents.

The most frequently mentioned factor, by 41 respondents in total, identified the need for improved teacher evaluation expertise within the school jurisdictions. A superintendent stated, "[A need exists for] further training of supervisors

Table 7.5

Frequency of Identification of Future Needs, Supports or Adjustments by Teachers, Principals and Superintendents

Future Needs	T	P	S	Total
Evaluate teacher evaluation processes; improve evaluator skills-curricular knowledge	9	15	17	41
Assure emphasis is on teacher improvement	11	14	12	37
Periodic orientations for teachers to reduce cynicism and build trust	10	7	5	22
More time allocated to evaluation process	2	11	7	20
Support peer evaluation; develop master teacher concept or merit programs	4	2	6	12
More regular evaluations than a 3-5 year cycle	6	1	0	7
Standardize evaluation frameworks	0	4	1	5
Improve articulation of evaluation policies	1	2	2	5
Improve due process with 2nd or 3rd party experts	3	0	0	3
Assure public is more aware of procedures	0	1	1	2
Other	0	0	2	2

Note: T-Teachers, P-Principals, S-Superintendents.

so you can assure teachers that expertise of supervisors is improving. . . ." Thirty-seven respondents suggested assuring that teacher evaluation emphasizes teacher improvement as a future need of the policy. Reflecting this perspective in a somewhat poetic way, a superintendent commented as follows:

I'd like to bust out of this business of evaluation and supervision and get into completely wholesome relationships where the visitor and the teacher were able to work together in a complete trust relationship. In a sense as an artist would look at a creation.

Providing orientations for teachers was mentioned by 22 respondents in total and represents a mechanism by which teacher ownership of teacher evaluation policy may be increased. The need for more time, noted by 11 principals, seven superintendents and two teachers, relates directly to the need for additional resources in support of teacher evaluation policy implementation. It also reinforces the findings presented earlier relative to the policy resources and disposition of the implementors variable clusters. Principals identified the need for more time more frequently than did teachers and superintendents combined. These four response categories are similar to the future needs identified by policy makers.

Development of peer evaluation, master teachers or merit programs, noted by 12 respondents, are variations on the



desire for an emphasis on teacher improvement. Six teachers, but only one administrator, suggested a future need for more regular evaluations for tenured teachers than the current three to five year cycle required by most jurisdictional policies. A need for standardized teacher evaluation frameworks was identified by four principals and one superintendent.

The need for articulation between evaluation policies refers to the five levels of evaluation (student, teacher, program, school and system evaluation) required by the Department of Education's Management and Finance Plan.

"Other" needs noted in Table 7.5 were suggested by two superintendents, and included need for a provincial policy on administrator evaluation, an expanded principals' role in summative evaluation, and concentrating evaluation on weak teachers.

#### Discussion

Some discrepancy was apparent between the perspectives of teachers and administrators regarding sources of teacher resistance to the policy. Administrative respondents tended to be less aware of sources of teacher resistance; however, it is notable that more than one-third of the teachers stated that nothing had weakened their support for implementation of the teacher evaluation policy. These findings suggest the

existence of a substantial base of support for policy on teacher evaluation by members of the teaching profession, but also the presence of a number of concerns, which if not addressed, could result in increased resistance by teachers to implementation of teacher evaluation policy.

Lack of time, which was cited as a source of resistance to implementation of the policy by 39 of 90 respondents, may be an excuse used by some administrators to avoid a complex, difficult and demanding process (Mireau, 1986). On the other hand, the fact that this problem is identified by so many respondents argues for implementation strategies at all levels that confront the concern directly in order to remove it as a real or perceptual barrier to successful implementation of teacher evaluation policy.

A recurring theme in the policy literature relates to the importance of policy makers demonstrating a visible and high commitment to implementation of the policy initiatives on an on-going basis. Such a commitment is not perceived by a large proportion of the respondents in the current study. Fifty-nine of 90 respondents believed the Department's commitment had weakened or were not sure or held no opinion. Administrators held this perspective more often than did teachers, which is unusual given the more direct communication channels between administrators and the Department of Education. Teachers who perceived Departmental commitment to be as strong or stronger may have made an assumption, whereas

administrative respondents may have perceived directly that departmental commitment had dissipated.

Teacher evaluation was accompanied during its initial implementation by a high level of media coverage associated with the Keegstra incident. As noted in Chapter 4, the policy makers were aware of the facilitating effect that the Keegstra incident was having on the implementation of teacher evaluation policy. In addition, the Department of Education gave teacher evaluation a high priority in the early stages of implementation (King, 1984). Maintaining a high policy priority and visibility would tax the energies of any organization, so it is not surprising that over time policy implementors would perceive the Department's commitment to be declining. The findings reported here, however, point out the need for a resurgence of conveying Departmental commitment in the short term, and for a strategy of periodic reinforcement of visible manifestations of Departmental commitment over the longer term.

At the local jurisdictional level, some concern might be expressed that ten of the boards with a high commitment were not seen by their superintendents to be actively demonstrating this commitment and an additional five school boards were perceived to have moderate or low commitment and were also not actively expressing a commitment to implementation of the policy. Two superintendents commented that interest on their board was declining or shifting to other concerns. If this

observation portends a trend, then the perception of many policy implementors that the Department of Education's commitment is declining would only be reinforced by a perception that their own board's commitment was also declining.

Responses to questions regarding the disposition of the implementors indicated a substantial base of support for policy on teacher evaluation by members of the teaching profession, but also the presence of a number of concerns, which if not addressed, could result in increased resistance by teachers to implementation of the policy.

The policy implementors' conceptualization of successful implementation was relatively congruent with the idealized policy intents identified by the policy makers. Teacher satisfaction with teacher evaluation, useful and informative evaluations, and administrative commitment to teacher evaluation suggested by policy implementors would all be indicative of the institutionalization of teacher evaluation policy which policy makers stated would be an ideal condition. The Minister of Education's objective of elimination of incompetent teaching and improvement of teaching quality is congruent with the implementors' identification of evidence that teaching was improving as an indicator of successful policy implementation. The implementors' identification of improvement of public confidence in education is identical to

the Minister's stated objective of "contributing to increased public confidence in the educational system."

Numerous points of agreement appear to exist between the perspectives of policy makers and policy implementors regarding what ideal teacher evaluation policy implementation would be like. Granted, consensus likely does not exist on how to best achieve this idealized policy state, but the fact that multiple points of agreement exist between policy makers and implementors suggests that eventual full implementation of teacher evaluation policy is a reasonable objective.

A surprisingly high proportion of administrative respondents (42/60) were willing to characterize teacher evaluation policy as fully implemented, despite earlier questions in the interview identifying areas where implementation barriers existed. Essentially, most administrators seemed comfortable with a fairly superficial definition of full policy implementation. This may have been due to the mandatory nature of policy implementation that the provincial policy makers created and the resultant pressure on implementors to demonstrate full implementation.

Ironically, the interviews with the policy makers revealed that they believed teacher evaluation policy to be in the process of implementation, but that full implementation was a longer term process. Furthermore, this process may require adjustments in terms of resources, characteristics of

the implementing agencies, policy standards, etc., before full implementation could be expected.

A communication gap seems to exist between the expectations of the policy makers and the policy implementors relative to a realistic timeline for full implementation of the teacher evaluation policy. This question of full implementation and the realistic time frames and mechanisms required to achieve it is a topic which requires further dialogue between policy makers and implementors.

The policy makers' perspectives that future requirements will involve increased expertise, resources, and teacher involvement are largely upheld by the perspectives of the policy implementors.

The suggested need to maintain the focus of teacher evaluation on formative evaluation versus summative evaluation is consistent with the finding reported earlier that policy intents at the jurisdictional level were primarily formative.

The scope and frequency of future adjustment factors which were thought by respondents to be necessary for positive teacher evaluation policy outcomes present an outline for a specific analysis of teacher evaluation policy implementation at the local level. Provincial policy makers expressed awareness of the need for adjustments, and the factors identified here by policy implementors pinpoint the types of adjustments which may be required for ultimately successful implementation.

### Summary.

Responses to questions regarding the disposition of the implementors indicated a substantial base of support for teacher evaluation policy by members of the teaching profession as well as the presence of a number of concerns, which if ignored could result in increased resistance to implementation of teacher evaluation policy. The most frequent source of resistance perceived by teachers was subjective, insufficient or invalid bases of teacher evaluation. Other sources of resistance identified by all three respondent groups included the role of the principal relative to formative versus summative evaluation; the stress, anxiety and exhaustion associated with evaluation; and the unequal application of teacher evaluation across teacher staffing categories.

Principals expressed their concern over time and inadequate resources twice as often as superintendents. Teachers identified this area as a problem for their principals almost as often as the principal respondents, lending support to the principals' concerns.

Teacher and principal respondent categories also exhibited close agreement in terms of the numbers of responses relative to the need for evaluators to have more training and an improved empirical basis for evaluation. Similarities were also noted between teachers and principals regarding the

existence of role confusion between summative and formative evaluative efforts and the lack of direction with respect to the overall teacher evaluation processes.

Numerous points of agreement appeared to exist between the perspectives of policy makers and policy implementors regarding what ideal or successful teacher evaluation policy implementation would be like. Satisfaction with teacher evaluation, useful and informative evaluations, and administrative commitment to teacher evaluation suggested by policy implementors as indicative of successful implementation, would all be evidence of the institutionalization of teacher evaluation policy which policy makers stated would be an ideal condition.



## CHAPTER 8

### Analysis of Policy Documents and Evaluation Instruments

The similarities and differences evident in Alberta school jurisdictions' teacher evaluation policies and instruments are presented in this chapter. In addition, the study findings are explored for implications for written teacher evaluation policies and instrumentation. The policy documents analysis is presented first followed by the analysis of evaluation instruments and finally the implications of the study findings for these documents are discussed.

#### Policy Document Analysis

Policy documents were analyzed using a content analysis procedure whereby the documents were first reviewed for the purpose of defining common general categories. A second level of analysis was then carried out whereby each document was analyzed to define content relative to the general categories identified in the first level analysis.

The general categories defined by the first level of analysis include: 1) underlying philosophy, 2) purpose and intents, 3) role responsibilities, 4) guidelines and procedures, and 5) appeal procedures. Each general category is presented in a separate section.

### Underlying Philosophy

Five sub-categories relative to the underlying philosophy emerged from the first level analysis and are summarized in Table 8.1.

Table 8.1

Frequency of Underlying Philosophies Identified in the  
Analysis of Policy Documents

Philosophy	f
Evaluation crucial/a board priority	14
Evaluation as a positive process	12
Teacher's right to common evaluation criteria	7
Theological basis for evaluation	6
Teacher's right to a written evaluation	4

In total, 23 of the jurisdictions' policy documents opened with a preamble which defined the philosophy relative to teacher evaluation policy. Fourteen of the documents contained a statement that evaluation was a crucial process or was an important priority to the school board. Twelve documents noted that teacher evaluation was intended to be a positive process based on such concepts as trust or respect. Seven jurisdictions noted that teacher evaluation was based, partly at least, on the teacher's right to common evaluation

criteria, and four jurisdictions stated the teacher's right to a written evaluation of their professional performance. Lastly, six of the seven Catholic Separate School Districts sampled included reference to the theological basis for teacher evaluation based on Christian values, such as love, as exemplified in the teachings of Christ.

#### Policy Purpose and Intent

Twelve sub-categories relative to purpose and intents were identified and are summarized in Table 8.2.

All of the jurisdictions' policy documents identified improvement of instruction as a policy intent. This was congruent with provincial policy intents defined in the Program Policy Manual (Alberta Education, 1984b:72) which states,

The performance of individual teachers and the quality of teaching practices across the province will be evaluated to assist in the provision of effective instruction to students and in the professional growth and development of teachers.

There was less congruence between local policy documents and provincial policy intents with respect to the professional growth and development of teachers. Only 16 of the policy documents mentioned teacher professional development specifically as a policy intent. Sixteen

Table 8.2

Frequency of Purposes and Intents Identified in the  
Analysis of Policy Documents

Purposes and Intents	f
Improve instruction	30
Personnel decisions	20
Continuous contract	17
Permanent certification	17
Professional development	16
Affirm/support the teacher	16
Formative purposes defined	16
Summative purposes defined	16
Promotion	14
Dismissal	13
Transfer	12
Inservice needs assessment	3

documents also noted affirmation, reinforcement or support for teachers as a policy intent or purpose.

Personnel decisions were mentioned frequently as a policy intent by 20 of the jurisdictions. Seventeen of the jurisdictions noted continuous contract decisions or permanent certification decisions as a purpose of teacher evaluation. Promotion, dismissal and transfer personnel decisions were stated in 14, 13 and 12 of the policy documents respectively. In terms of the content of the policy documents, personnel

decision making as a function of teacher evaluation was a more important purpose than professional development of teachers.

Slightly more than half of the documents contained explicit clarification of formative versus summative evaluation purposes. Lastly, only three jurisdictions linked teacher evaluation purposes to clarification of teacher inservice needs within the policy documents.

### Role Responsibilities

Role responsibilities refer to role descriptions of personnel assigned specific duties within teacher evaluation policy documents. Superintendents and principals were most often identified as having specific role responsibilities. Twenty-four documents delineated superintendent responsibilities specifically, and 25 documents defined principal responsibilities. Assistant superintendent roles were defined in 16 documents, and six documents defined specific roles for vice-principals.

Only five documents defined roles of teachers relative to teacher evaluation, and only three documents referred to school board member roles.

### Guidelines and Procedures

Guidelines and procedures represent the largest amount of policy content in terms of the number of sub-categories and are summarized in Tables 8.3 and 8.4.

Twenty-seven of the policy documents specified the procedures to be followed in the disposition of teacher evaluation reports (i.e. where reports are to be filed). Twenty-one jurisdictions also specified procedures to be followed in gaining access to evaluation reports once they are on file. There was some variation within this category regarding levels of specificity, with some documents specifying teacher access only, while other documents elaborated who else may have access to teacher evaluation files and under what conditions.

Twenty-five jurisdictions specified in their policy documents that post-evaluation conferences either must be held or should be held. Twenty-three of the jurisdictions placed a strong emphasis on post-conferencing between the evaluator and the teacher by mandating it in their policies.

Pre-conferencing, a key component of clinical supervision where the evaluator and teacher meet prior to an evaluation to define the evaluation purposes or objectives, received much less emphasis in the policy documents. Only three

Table 8.3

Frequency of Guidelines and Procedures Identified in the  
Analysis of Policy Documents

Guidelines and Procedures	f
Disposition of reports	27
Post-conference required	23
Post-conference suggested	2
Evaluation criteria specified	21
Teacher role expectations specified	3
Access to reports specified	21
Self-evaluation encouraged	19
Peer evaluation encouraged	14
Remedial process specified	12
Evaluation instruments specified	11
Pre-conference required	3
Pre-conference suggested	7
Evaluation time specified	9
Unannounced visits permitted	5
Unannounced visits prohibited	1

Table 8.4

Frequency of Staff Evaluation Identified in the  
Analysis of Policy Documents

Evaluation Schedules	f
Teachers on temporary contract	
Annually	10
Semi-annually	9
Three times a year	6
More than three times a year	5
Tenured with interim certificates	
Annually	17
Semi-annually	12
Three times a year	0
More than three times a year	1
Tenured with permanent certificates	
Annually	3
Every two years	4
Every three years	12
More than every three years	11

jurisdictions required pre-conferences, and an additional seven jurisdictions suggested its use.

Also important to local policy makers were the inclusion of either specific evaluation criteria or more general teacher role expectations as a guide to what teacher evaluation will focus on. Twenty-four of the 30 policy documents sampled included such criteria.

Self-evaluation and/or peer evaluation were encouraged by 19 and 14 of the jurisdictions, respectively. These two practices were closely related. In only one case was peer



evaluation advocated without a concomitant reference to self-evaluation.

Twelve jurisdictions elaborated within their policy documents what form a remedial process should take in the event a teacher received an evaluation indicative of weaknesses. The specific teacher evaluation instrument to be used was dictated in policy by 11 jurisdictions.

Evaluation time specification refers to when in the school year evaluation should occur. Nine jurisdictions included such specifications in the policy documents.

As an indication of local variations in teacher evaluation sensitivities, five jurisdictions explicitly stated the permissibility of unannounced visits by evaluators to teachers' classrooms and one jurisdiction specifically prohibited such evaluations.

Guidelines and procedures universally addressed the times that evaluations should occur for staff of varying employment classifications. These data are presented in Table 8.4.

Teachers who are new to a jurisdiction and on temporary contract received the most intense level of formal teacher evaluation; twenty of the policy documents required two, three or more formal evaluations in the first year of teaching.

Tenured teachers holding interim certificates, who are eligible for permanent certification after two years of teaching, received a comparatively moderate level of scrutiny under teacher evaluation policies. All 30 of the policies required one, two, or more formal evaluations to support recommendations for permanent certification.

Tenured teachers holding permanent certification received comparatively minimal levels of evaluation. Twenty-three of the jurisdictional policies required tenured, permanently certified teachers to be evaluated only once every three to five years.

#### Appeal Procedure

Appeal procedure was the one policy standard which the Alberta Department of Education required local school jurisdictions to include in their teacher evaluation policy documents. Each jurisdiction was required to submit the teacher evaluation policy document to one of five Regional Offices of Education in the province for review, presumably to assure that an appeal procedure was included.

The 30 teacher evaluation policy documents were analyzed to determine the structure of the appeal process. These results are summarized in Table 8.5.

Table 8.5

Frequency of Appeal Procedures Identified in the  
Analysis of Policy Documents

Appeal Procedures	f
Appeal Levels	
First -evaluator	9
-asst. superintendent	2
-superintendent	15
-school board/supt.	1
Second -superintendent	10
-school board	9
Third -school board	8
Appeal timelines specified	20
Appeal basis specified	8
Identifies provincial/federal appeal options	5
No appeal process	3

Note: asst.-assistant, supt.-superintendent

Notable variation was evident among policy documents regarding the first level of appeal. Half of the policies specified the superintendent as the first level of appeal; however 30 per cent identified the evaluator who authored the contentious report to be the first level of appeal. Larger systems with more specialized central office staffing structures specified the assistant superintendent as the first level of appeal in two jurisdictions. The school board was identified as a first level appeal in one jurisdiction, but

for procedural appeals only; matters of substance were to be appealed to the superintendent in this jurisdiction.

Second level appeals were directed to superintendents or the school board. In districts where the superintendent was the second level of appeal, the board was left either as the third level of appeal in eight jurisdictions or no third level was specified.

Appeal timelines were specified in 20 of the policy documents. Few policy documents specified the bases of appeal. Most policies were silent regarding under what circumstances an appeal might be launched. Policy documents that did specify grounds usually identified the circumstance of a teacher disagreeing with the content or conclusions of an evaluation report. One policy distinguished between process and substance grounds for appeal.

Only five policy documents identified the existence of provincial or federal legislation which might be available to support an appeal beyond the appeal procedures available to a teacher within their jurisdiction.

Lastly, three of the 30 policy documents contained no appeal process even though this was one of the policy standards of the Department of Education. One of the three noted the possibility of appeal without specifying any details regarding procedures. The other two policy documents were written in 1983, before the Departmental appeal requirement,

and one of these two policy documents was in the process of revision at the time this study was conducted.

### Teacher Evaluation Instruments

Evaluation instruments were analyzed to determine the similarities and differences that existed between jurisdictions. As noted above, 11 teacher evaluation policies mandated the use of a specific instrument. These instruments were collected as were instruments in use by evaluative personnel in the remaining jurisdictions which did not specify evaluation instruments in policy.

The results of the analysis of evaluation instrument formats is presented in Tables 8.6 and 8.7.

Table 8.6

Frequency of Teacher Evaluation Instrument Formats

Instrument Formats	f
Rating scales and anecdotal	15
Anecdotal - with criteria	9
Anecdotal - no criteria	3
Evaluators choice	2
Rating scales	1

Table 8.7

Frequency of Teacher Evaluation Instrument  
Structure and Content

Structure and Content	f.
Teacher signature required	16
Consolidated/summary report	7
Evaluation purpose indicated	7
Appeal route stated on form	3
Teacher role expectations	2
Pre/post conference detailed	2
Rating scale defined	2
Policy/philosophy stated	2

Anecdotal or open-ended formats were frequently used in evaluating teachers in Alberta. Such formats were used in conjunction with evaluation criteria or rating scales in 27 of the 30 jurisdictions sampled.

Teacher evaluation instruments were further analyzed to compare the internal structure and content. This involved identifying what was included in the evaluation instruments and how the content was organized. The analysis summarized in Table 8.7 indicates that there is a marked degree of divergence in internal structure between the teacher evaluation instruments used by Alberta school jurisdictions.

Twenty policy documents mandated teacher signatures as an indication that the individual teacher had seen and/or

discussed the results of the evaluation. However, only 16 of the evaluation instruments provided for this policy requirement.

Consolidated or summary reports, used for focusing the evaluation results, and evaluation purposes, used for clarifying the objectives of an evaluation, were included in seven of the instruments.

Only three instruments included a statement about the appeal process. Two instruments included teacher role expectations; however, many instruments included evaluation criteria which achieves the same objective of clarifying the criteria on which teachers are evaluated.

Post-evaluation conferences were required by most jurisdictions, but details regarding such conferences were included in only two of the evaluation instruments. Rating scales were included in half of the instruments, but were defined in only two of the instruments. Underlying philosophies were clarified in nearly half of the policy documents analyzed, but again such statements were present in just two of evaluation instruments.

#### **Congruence with Policy Implementation**

Analysis of interview data demonstrated that the most frequently perceived policy intents at the local level were improvement of instruction, board accountability, and

personnel decisions. The policy intent of enhancing the teaching profession, that is, providing for professional development, was not perceived as a policy intent by policy implementors at either the provincial or the local level.

Analysis of policy documents demonstrated that all of the documents specified the policy intent of improving instruction but only 53 per cent specified the intent of professional development. Provincial policy (Alberta Education, 1984b:72) specifically identified the intent of "professional growth and development of teachers."

Policy implementors were asked during second phase interviews if policy expectations were clear with respect to their role responsibilities. Administrator respondents expressed little confusion regarding their policy related responsibilities. Teachers, however, were the least clear regarding their teacher evaluation role responsibilities. The policy documents analysis revealed that superintendents and principals were most often identified as having specific role responsibilities. On the other hand, teachers' roles were addressed in only 17 per cent of the policy documents.

Lastly, policy implementors were asked if they were satisfied with the methods used to assess teacher performance. The strongest single theme to emerge from this question was the preference expressed by many respondents for anecdotal evaluation reporting formats. The analysis of teacher evaluation documents revealed that anecdotal formats, used



either independently or in conjunction with rating scales, occurred in at least 90 per cent of the jurisdictions sampled.

### Discussion

Although a philosophical statement within a policy document advocating prioritization of implementation or a positive implementation environment cannot guarantee that such processes actually occur, statements advocating processes such as these are desirable. Besides defining the underlying philosophy, such statements clarify the local jurisdictions' policy standards and thereby support the policy intents which local policy implementors are responsible for carrying out. The fact that implementors perceived policy intents at the local level to be more formative than provincial policy intents may be due, in part, to local policy documents explicating intents more thoroughly through the underlying philosophies examined above.

In terms of the content of the policy documents, personnel decision making as a function of teacher evaluation was a more important purpose than professional development of teachers. This emphasis in the documents is related to the perception of policy implementors that the intent of enhancing the professional development of teachers is largely absent.

The relative absence of teacher role responsibilities in policy documents represented an area where a jurisdictional

review of the documents could provide an avenue to create greater teacher ownership of teacher evaluation policy.

Policy documents that did not contain specific explication of personnel role responsibilities generally relied on implicit role delineation. Such documents could be reviewed by jurisdictional staff to determine whether personnel role responsibilities had been adequately understood in these jurisdictions.

Tenured teachers holding permanent certification received comparatively minimal levels of evaluation. Twenty-three of the jurisdictional policies required tenured, permanently certified teachers to be evaluated only once every three to five years. During the second phase interviews with teachers, two respondents commented that teacher evaluation was viewed by tenured teachers as an issue primarily affecting the non-tenured staff. These figures help explain why these two interviewees held this point of view.

Alberta Education (1980:13) reported the results of a survey of certificated staff evaluation practices in Alberta and compared the results of the 1980 survey with a similar survey reported by Holdaway and Riekie (1977). These data indicated that tenured teachers were evaluated annually by only six per cent of Alberta school jurisdictions in 1977 and by 11 per cent in 1980. This compares to the 10 per cent of sampled jurisdictions who required annual evaluation of tenured staff in 1987. Apparently, the 1984 teacher

evaluation policy mandates of the Department of Education have not substantially altered the practices of school jurisdictions relative to the evaluation of tenured teachers.

The same survey of Alberta Education (1980:13) reported that untenured teachers, either first-year or new to the system, were evaluated annually by 90 per cent of Alberta school jurisdictions. Teacher evaluation policies in 1987 required annual evaluation of untenured teachers in 33 per cent of the jurisdictions and two or more evaluations a year in 67 per cent of the jurisdictions. These data indicate that mandated teacher evaluation by the Department of Education has been interpreted at the local level to mean that untenured teachers should receive the primary attention under the policy initiatives of the Department. However, the two policy goals stated by the Department of Education -- that of improving instruction and the professional development of teachers -- do not necessarily suggest an inordinate emphasis of teacher evaluation on untenured staff.

Levels of appeal are, in many instances, a function of the size of the district. In small jurisdictions where the superintendent is heavily involved in the direct evaluation of teachers, there is little recourse within the structure of the jurisdiction but to have the school board act as the appeal mechanism after the superintendent. Other alternatives, however, may be available outside of the jurisdictions' organizational structure. For example, appeal bodies made up

of senior administrators in a region, or of education professionals hired on a contract basis are two possible alternatives. The fact that few appeals have arisen, as noted in the second phase interview results, suggest that various alternatives to overly parochial appeal structures may eventually be needed.

Appeal timelines were specified in 20 of the policy documents. Timelines are useful for all parties in an appeal process in eliminating uncertainty regarding when specific actions must be taken in order to maintain the right to appeal. Where a policy document lacks clearly specified timelines they should be added. The question of how specific and what details should be included in the appeal procedures represented another area for further review and adjustment of policy documents within jurisdictions. By requiring teacher involvement in a review of appeal processes a means by which teachers can attain greater ownership of the teacher evaluation policy may be provided.

A high degree of similarity between teacher evaluation instruments may not necessarily be desirable if the evaluation purposes are tailored to meet unique needs within a particular school jurisdiction. However, the analysis summarized above does point out a marked degree of divergence in internal structure between the teacher evaluation instruments used by Alberta school jurisdictions. The categories reported in Table 8.7 represent potentially useful additions to evaluation

instruments which lacked them. Only three instruments included a statement about the appeal process. This item would be useful since many teachers may not have ready access to the appeal procedures defined in teacher evaluation policy documents.

#### Summary

The greatest similarities among the policy documents analyzed in this chapter involved the policy intent of improving instruction and the specification of evaluation schedules relative to a teacher's employment status. Policy requirements for mandatory evaluation of permanently certified, tenured teachers did not differ markedly in the 1985-86 policy documents analyzed for this study than from data reported in a 1980 survey of teacher evaluation practices in Alberta (Alberta Education, 1980:13). Mandated teacher evaluation has been interpreted at the local level to mean that untenured teachers should receive the primary emphasis under the policy initiatives of the Department. However, the two policy goals stated by the Department of Education -- that of improving instruction and assuring the professional development of teachers -- does not necessarily suggest an inordinate emphasis of teacher evaluation on untenured staff.

Appeal procedures were present in most policies. Appeal procedures, however, demonstrated a marked lack of similarity

with respect to appeal timelines and the bases of appeal. Few documents identified provincial or federal appeal options which may exist outside the local appeal procedures, such as are defined in the Alberta School Act (1973).

Analysis of the congruence between teacher evaluation policy implementation findings and policy documents and evaluation instruments demonstrated that all documents specified the policy intent of improving instruction; but only about half specified the intent of professional development. Superintendents and principals were most often identified as having specific role responsibilities; however, teachers' roles relative to teacher evaluation policy was addressed in only about one-fifth of the policy documents.

## CHAPTER 9

### Summary, Conclusions and Implications

In this chapter are presented a summary of the purposes, methodology and findings of the study along with a number of conclusions. In addition, the implications of the study for theory development, for practice and for further research are discussed.

### Problems and Sub-Problems

The Alberta Department of Education in 1984 required local school jurisdictions to implement a policy on teacher evaluation by June, 1985. This study examined the degree of implementation of teacher evaluation policy during the 1986-87 school year. The problems and sub-problems addressed were as follows:

1. What events affected the adoption and implementation of teacher evaluation policy in Alberta?
  - a. What were the practical policy intents of the policy makers?
  - b. What were the anticipated ideal policy intents of the policy makers?
  - c. How did social structures or informal networks affect the policy process?

d. What were the policy makers' perceptions with respect to the current status and possible future outcomes of teacher evaluation policy?

2. What were the policy intents as perceived by policy implementors? Were the perceptions of intents held by policy makers and by implementors similar?

3. How have policy standards and resources affected teacher evaluation policy implementation?

4. How have communications, enforcement strategies, characteristics of the implementing agencies, political environments, and the socio-economic environments affected teacher evaluation policy implementation?

5. In what ways did the disposition of the policy implementors affect policy implementation?

6. What were the policy effects as perceived by the policy makers and by the policy implementors, and to what extent were these similar?

7. How similar were the expectations of policy makers and policy implementors regarding the degree to which there would be full implementation of teacher evaluation policy?



8. What future adjustments to teacher evaluation policy implementation processes were perceived to be desirable by policy makers and policy implementors?

9. What were the similarities and differences evident in Alberta school jurisdictions' teacher evaluation policies and instruments?

In addition, the study examined the value of the Van Horn and Van Meter (1977) policy implementation model in assessing the implementation of teacher evaluation policy.

#### Research Design and Methodology

The study was a descriptive survey or case survey (Dunn, 1981:297) which involved the identification and analysis of factors that account for variations in the implementation of policies. This method requires the researcher first to develop a case coding scheme of categories that capture key components of policy inputs, processes, outputs and/or impacts.

The data required for the study were obtained through interviews and documentary analysis. The first phase of the study was primarily qualitative involving semi-structured interviews with selected key decision makers and leaders in the development of teacher evaluation policy in Alberta.

Snowball sampling with key leaders and decision makers was

used to identify this sample. The major purpose of the first phase interviews was to determine the background, the purposes and intents of teacher evaluation policy, and the policy makers' perceptions of the degree of implementation of teacher evaluation in the province.

Interview schedules for the second phase of the study were constructed to solicit responses from the policy implementors, namely, from teachers, principals and superintendents or their designates regarding their perceptions of teacher evaluation policy implementation. The findings from the first phase interviews with policy makers and the eight variable clusters identified in the policy implementation model developed by Van Horn and Van Meter (1977) were used in the development of the items for the second phase interviews.

Content analysis of the interviews in the second phase of the study identified patterns of responses in relation to the research problems and the Van Horn and Van Meter (1977) model.

#### Study Sample

Thirty of 146 active Alberta school jurisdictions were randomly selected from the Alberta School Jurisdiction List, 1986 for inclusion in this study. In order to assure a representative sample of jurisdictions, the population of jurisdictions was stratified on the basis of type of

jurisdiction and geographic zone. Jurisdictions were then selected from each stratified grouping using a random numbers table.

Within each of the 30 jurisdictions, interviews were arranged with the superintendent or designate, and a principal and a teacher from the same school were randomly chosen from the jurisdiction's staff list. The 90 school jurisdiction interviews began on October 28, 1986 and were completed by February 23, 1987.

Teacher evaluation policy documents obtained from each jurisdiction in the sample were studied using a content analysis procedure. In addition, school administrators interviewed were asked for copies of recording and reporting forms which they used for teacher evaluation. A content analysis of these instruments was carried out.

### Conceptual Framework

The Van Horn and Van Meter (1977) conceptual model, designed to investigate the policy implementation process, was adapted to guide this study. The Van Horn and Van Meter model represented a conceptual framework that appeared comprehensive and logical given its adherence to a systems theory and organizational theory conceptualization of the policy implementation process. Further, policy theorists such as Berman (1978) and O'Toole (1986) have argued for studies to

test emerging policy implementation models such as that provided by Van Horn and Van Meter. While their model was intended to guide analysis of federal government policy implementation at the state and local levels in the United States, it was anticipated that the model would apply equally well to provincial policy implementation at the local level in Canada. In developing their conceptual model, Van Horn and Van Meter (1977:101) stated that they "were guided primarily by organizational theory literature; and more specifically, by the work in the area of organizational change (innovation) and control."

Policy implementation is defined by Van Horn and Van Meter (1977:103) as "encompassing those actions by public and private individuals (or groups) that affect the achievement of objectives set forth in prior decisions."

Van Horn and Van Meter's (1977:103) conceptual framework is composed of eight "variable clusters" including: 1) policy resources, 2) policy standards which have been interpreted as input variables, 3) communications, 4) enforcements, 5) economic and social conditions, 6) characteristics of implementing agencies, 7) the political conditions, and 8) disposition of implementors as process variables which affect local implementation efforts to achieve policy performance. The disposition of the implementors variable is largely affected by the actions of the other seven

variables. Policy performance is the output variable in this systems theory based model.

These "variable clusters" were used, in conjunction with findings from interviews with policy makers, to define the questions addressed to policy implementors regarding their perceptions of the policy implementation process.

### Interviews with Policy Makers

The first research problem was addressed in the interviews with policy makers. These problems and sub-problems are reviewed and discussed in the following sub-sections.

#### Events Affecting Policy Adoption

Teacher evaluation policy adoption by the Alberta Department of Education can be described as an evolutionary response to a series of events dating from 1971 and even earlier. The change to locally appointed superintendents from Department appointed superintendents in 1971 represented a loss of direct control by the Department of Education over superintendent roles related to teacher evaluation.

Respondents indicated a high degree of consensus regarding several factors which affected the adoption of teacher evaluation policy by the Alberta Department of Education, including, in order of importance:

- 1) the general absence of routine teacher evaluation under locally appointed superintendents;
- 2) the breakdown in the Teaching Professions Act negotiations between the Department of Education and the Alberta Teachers' Association;
- 3) the perception among senior management in the Department of Education of need for improvement in the quality of instruction and the existence of diffuse public demands for accountability;
- 4) specific concerns regarding the need for teacher evaluation by the Alberta Premier and Caucus;
- 5) the opportunity of linking teacher evaluation to a policy driven, post-audit program accountability thrust by the Department of Education;
- 6) the political connection between provincial implementation of student evaluation policy and the need for concomitant teacher evaluation policy;
- 7) lack of independent action on teacher evaluation by the Alberta Teachers' Association or local jurisdictions; and,
- 8) consensus among senior management in the Department of Education regarding the policy directions necessary in response to the above.

### Events Affecting Policy Implementation

Teacher evaluation policy implementation was strongly affected by a specific environmental event, the Keegstra incident, and by the internal development of the Management and Finance Plan (MFP) of the Alberta Department of Education.

Most first phase interviewees perceived the Keegstra incident, a widely publicized case involving an Alberta teacher who was dismissed for teaching anti-Semitic doctrine in his Social Studies classes (David, 1983), as a catalyst to teacher evaluation policy implementation. This incident was seen as limiting the potential resistance of the Alberta Teachers' Association, and in keeping public awareness of the issue high. The Keegstra incident demonstrated how an extraneous, environmental event can dramatically affect the policy implementation process.

The Management and Finance Plan of the Alberta Department of Education represented an important teacher evaluation policy implementation mechanism. The high visibility of the MFP, and the commitment to it by the senior management in the Department, coupled with the symbolic if not real requirement that the policy be implemented by local jurisdictions as a prerequisite for funding, resulted in the policy maker interviewees perceiving it as a powerful implementation instrument.

Other factors which were identified by a few policy makers as positively affecting the implementation process included:

- 1) the support of the Alberta School Trustees' Association and the Council of Alberta School Superintendents;
- 2) the visible and practical support of the Department of Education sponsored Mireau inservice materials; and,
- 3) the then Minister of Education's interest in evaluation in educational systems.

Factors which were identified by some of the policy makers as negatively affecting the implementation process included:

- 1) the Alberta Teachers' Association position specifying a distinction between formative and summative evaluation as a barrier to implementation;
- 2) the Department's requirement of teacher evaluation policy approval which served as a potential source of misunderstanding with local jurisdictions regarding the Department's role in local policy formulation;
- 3) the under supply of staff skilled in teacher evaluation;
- 4) resistance both within Regional offices and in the field to role shifts from consulting to monitoring



in the Department's Regional Offices of Education;  
and,

- 5) the difficulties associated with the teacher evaluation appeal process in small jurisdictions.

### Policy Intents

Senior personnel in the Department of Education expressed a high degree of consensus regarding the intents of teacher evaluation policy. All respondents within the Department concurred with the focus on improvement of instruction and most saw it as a mechanism to improve teacher professionalism.

### Social Structures

Informal networks or their absence played an important role in the development of teacher evaluation policy in Alberta. Specifically, informal contacts with the Alberta School Trustees' Association provided for better communications between the Department of Education and that body. The absence of informal communication mechanisms between the Department and the Alberta Teachers' Association may have exacerbated the tensions between the ATA and the Department with respect to teacher evaluation policy development.

### Ideal Policy Intentions/Current Status

Ideal policy intentions and requirements needed to enhance implementation of teacher evaluation policy included:

- 1) more effective personnel resources;
- 2) better liaison with the Alberta Teachers' Association and universities regarding support structures;
- 3) institutionalization of teacher evaluation with evaluation seen as a need instead of a threat;
- 4) increased resources, especially in small jurisdictions;
- 5) more research and development on teacher evaluation processes; and,
- 6) a clear focus on the improvement of teaching and resultant student learning.

Policy makers did not believe teacher evaluation policy initiatives would dissipate; however, they also did not think that implementation was anywhere near complete.

### Interviews with Policy Implementors

Research problems two through eight were addressed in the interviews with policy implementors. These research problems are reviewed and discussed in the following sub-sections.

### Policy Intents Congruence

Policy intents or purposes as defined by policy makers were shown to be more congruent with the perspectives of policy implementors at the jurisdictional level than at the provincial level. The policy intent of providing for professional growth and development of teachers was generally not perceived by policy implementors.

The policy implementors in the field perceived the purposes or intents of teacher evaluation at the provincial level largely as a demonstration of accountability or a Department of Education response to political events. One-third of the respondents perceived the intent of improving teaching; however, only one respondent identified enhancement of the teaching profession as an intent of provincial policy.

On the other hand, 74 of 90 respondents identified improvement of teaching as an intent of teacher evaluation policy at the jurisdictional level, suggesting that a transition of this policy intent between organizational levels had occurred. Implementors perceived teacher evaluation policy at the provincial level to have a summative emphasis and at the jurisdictional level to have a formative emphasis.

The enhancement of the professional status of teaching as a policy intent was also absent at the jurisdictional level.

### Policy Standards and Resources

Due process requirements as a policy standard have not presented any difficulties for policy implementors, but this area was also largely untested with none of the 30 jurisdictions sampled reporting an appeal to the formal stage. Concerns were expressed, primarily by superintendents, about problems associated with appeal procedures in small jurisdictions.

Policy resources were not assessed through direct questions in second phase interviews, but content analysis of the interview database revealed that concerns over "time" as a resource for teacher evaluation policy implementation occurred frequently.

Within the Alberta context, the variable clusters, policy standards and policy resources reflected minimal provincial involvement relative to teacher evaluation policy implementation.

### General Impressions of the Policy Implementors

General impressions of policy implementors revealed that superintendents were most positive regarding teacher evaluation policy implementation while teachers were least positive. However, teachers expressed a greater number of

positive than negative comments regarding their general impressions of teacher evaluation policy implementation.

#### Policy Communications

Communications regarding role responsibilities relative to teacher evaluation were clearer for administrators than for teachers.

#### Policy Enforcements

Administrators viewed the normative and coercive enforcements used to induce teacher cooperation with teacher evaluation policy more positively than did teachers. However, the emphasis on improvement of instruction given to jurisdictional level policy intents was apparent in the preponderance of normative enforcement strategies reported by administrators at the local level of implementation.

Twenty-seven superintendents reacted either favorably or with mixed support for provincial enforcement strategies. However, 18 superintendents made suggestions regarding how provincial enforcements might be adjusted.

#### Characteristics of the Implementing Agency

Characteristics of the implementing agency refers to the technical capacity of the school jurisdiction to implement

policy. In 12 of the 30 jurisdictions sampled, principals were primarily responsible for all teacher evaluation, with central office personnel providing only a backup role when needed. In the other 18 jurisdictions in the study, teacher evaluation was a shared responsibility between principal and superintendent.

#### Political Environments

In those jurisdictions where teacher evaluation was seen as a local issue, it was perceived to be of a minor nature usually based on community dissatisfaction with an individual teacher. Significantly, no second phase respondent indicated that teacher evaluation had been a major political issue in the jurisdiction.

#### Socio-Economic Environments

This variable cluster was the most elusive to tap given the specific policy being studied and the context of implementation. Pilot questions in the second phase interviews did not survive the interview schedule development process to assess the socio-economic variable cluster directly. In addition, the background literature review did not identify local socio-economic factors as being important for the implementation of teacher evaluation policy. Socio-economic factors which were identified as important

seemed to be adequately covered by the other seven variable clusters of the Van Horn and Van Meter model relative to the particular application of the model in the current study.

#### Disposition of the Implementors

Analysis of the crucial process variable -- disposition of the implementors -- revealed a substantial base of support for teacher evaluation policy by teachers and administrators. However, the presence of a number of concerns, if not addressed, could result in increased resistance by teachers to implementation of teacher evaluation policy in Alberta. Inadequate time for implementation of teacher evaluation policy was the problem most frequently mentioned by implementors.

Teachers and principals also exhibited close agreement regarding 1) the need for evaluators to have more training and an improved empirical basis for evaluation, 2) the existence of role confusion between summative and formative evaluative efforts, and 3) the lack of direction with respect to the overall teacher evaluation processes.

More than half of the 90 respondents believed the Department of Education's commitment to teacher evaluation policy implementation to have weakened or were not sure. Administrators held this perspective more often than did teachers. At the local level superintendents perceived their

school boards to be maintaining a high commitment to implementing teacher evaluation policy.

### Policy Effects

Teachers defined successful policy implementation as resulting in evaluations that were informative and useful to them. Administrative respondents, however, tended not to identify this desired effect. The policy implementors' conceptualization of successful policy implementation was relatively similar to the idealized policy intents identified by the policy makers. Teacher satisfaction with teacher evaluation, useful and informative evaluations, and administrative commitment to teacher evaluation were suggested to be indicative of the institutionalization of teacher evaluation policy which policy makers stated would be an ideal condition.

### Expectations for Full Implementation

Policy makers indicated that they did not believe teacher evaluation policy initiatives would dissipate; however, they also did not think that implementation was anywhere near complete. A high proportion of administrator respondents were willing to characterize teacher evaluation policy as fully implemented, even though they also identified areas where implementation barriers existed.



A communication gap existed between the expectations of the policy makers and the policy implementors relative to a realistic timeline for full implementation of teacher evaluation policy.

#### Future Adjustments

The responses of interviewees suggest that the future may require the creation of procedures that will provide for more teacher involvement in the further development of teacher evaluation processes in Alberta. In addition, the expertise base and resources in support of teacher evaluation will need enhancement. Court cases questioning the expertise of evaluators and collective agreement negotiations focusing on teacher evaluation procedures might also be future forces shaping teacher evaluation in the province.

#### **Analysis of Teacher Evaluation Policies**

The greatest similarities among the 30 policy documents analyzed involved the policy intent of improving instruction and the specification of various evaluation schedules relative to a teacher's employment status. These were the only content areas which all policy documents addressed. Most policies also addressed the disposition of teacher evaluation reports.

Policy requirements for mandatory evaluation of permanently certified, tenured teachers did not vary

significantly from figures reported in a 1980 survey of teacher evaluation practices in Alberta (Alberta Education, 1980:13) which demonstrated that untenured or temporarily certificated teachers were the primary focus of teacher evaluation policies.

#### **Analysis of Teacher Evaluation Instruments**

Evaluation instruments were analyzed to determine the similarities and differences that existed between jurisdictions relative to the organization and content of the instruments. Instruments were found to vary extensively regarding what prerequisite information was provided or required as a function of the evaluation.

#### **Policy and Instrument Congruence with Study Findings**

Policy documents and evaluation instruments were compared to policy implementors' perceptions of policy intents and role responsibilities.

The provincial policy intent of professional growth and development was largely absent in the perception of policy implementors and in almost half of the policy documents.

Policy implementors were asked during the second phase interviews if policy expectations were clear with respect to their role responsibilities. Administrators expressed little

confusion regarding their policy related responsibilities. Teachers, however, were the least clear regarding their teacher evaluation role responsibilities. The analysis of policy documents revealed that superintendents and principals were most often identified as having specific role responsibilities. On the other hand, teachers' roles relative to teacher evaluation policy were addressed in only a few of the policy documents.

#### The Value of a Policy Implementation Model

The final research problem addressed in this study examined the value of the Van Horn and Van Meter model in assessing the implementation of teacher evaluation policy.

Berman (1978:179) and O'Toolé (1986:202) caution against attempts to create a single predictive theory of policy implementation. Any such attempts are certain to be insensitive to the disparate contextual variables unique to a particular policy implementation initiative. Heuristic models which facilitate the systematic and comprehensive collection of information and which can be used by policy makers to adapt the policy implementation process to a dynamic environment hold the most promise in terms of theoretical constructs which can inform policy makers. The Van Horn and Van Meter model presents such a heuristic device. The eight variable clusters and the definitions Van Horn and Van Meter

suggest, in conjunction with first phase interview results, provided a blueprint for designing the structured interview schedule for the second phase interviews with policy implementors.

One testament to the comprehensiveness of this model is indicated by the reaction of the 90 second phase respondents who were asked at the end of the interview if anything had been missed relative to their experience of teacher evaluation policy implementation. Two-thirds of the respondents stated the interview had been sufficiently comprehensive that they could not think of anything to add. Of the one-third who did add a closing comment, most were extensions of themes covered earlier in the interview which related directly to a variable cluster of the Van Horn and Van Meter model.

Mazmanian and Sabatier (1981:5) critique the Van Horn and Van Meter model. They comment as follows:

the most comprehensive framework to date, namely, that of Van Meter and Van Horn, suffers from some of the traditional defects of abstract systems models. Many of the factors in their 'model,' while useful in orienting one's thinking, are essentially amorphous categories rather than variables that can be easily operationalized. In addition, their framework does not identify which variables are controlled by various actors and is, therefore, unlikely to be of much use to policy-practioners.

Mazmanian and Sabatier (1981:5) are also concerned that the Van Horn and Van Meter model is insensitive to the "linkage between individual behavior and the political, economic and legal context in which it [policy implementation]

occurs." Other concerns of Mazmanian and Sabatier (1981:5) relate to their belief that the model underestimates "the ability of a statute to 'structure' the implementation process", and that the model does not address "what might be termed the 'tractability' or solvability of the problem(s) addressed by a public policy."

LeTourneau (1981) used the Van Horn and Van Meter model in a study of the policy implementation process related to the creation of a French teacher training institute in Manitoba. He commented on both the positive and negative features of the model. On the positive side, LeTourneau (1981:188) stated,

An important functional feature of this model is its categorizing capacity. That is, the model made possible the categorization of the data in such a way as to remove some of the complexity and diffuseness inherent in policy implementation . . . The model therefore made possible a comprehensive description by focusing on both the micro and macro levels of policy implementation.

On the negative side, LeTourneau (1981:241) noted that the model does not address the nature of the policy to be implemented, can create redundancy between categories of the model, lacks definition and precision within the categories of the model, and disregards the shaping of the policy.

While Mazmanian and Sabatier (1981) and LeTourneau (1981) view the amorphous nature of the variable clusters as a weakness of the Van Horn and Van Meter model, this characteristic can be viewed as a strength. Amorphous variable clusters present an analytical framework which is

sufficiently fluid to permit adaptation of the model to a specific policy implementation context. An essential question is how specific should a policy implementation model be in order to assure recognition of all variables relevant to a policy implementation process without being so prescriptive that potential variables or interrelationships are lost to the conceptual vision demanded by the model.

The Van Horn and Van Meter model as used in this study was found adequate for assessing the "solvability" of the social problems addressed by the policy. Specifically, the characteristics of the implementing agency and disposition of the implementors variable clusters seemed adequate in getting at solvability questions relative to teacher evaluation. Solvability is partially a function of the resident skills, abilities and dispositions of the implementing agency personnel and target groups.

Some redundancy was noted between categories of the model. The policy resources category was adequately covered by the other categories; however, this may have been less a function of the model than of the specific policy under study.

The structuring of implementation by statute can be addressed by several variable clusters of the Van Horn and Van Meter model, including policy standards and objectives, resources, communications, enforcements and political environments.

While the Van Horn and Van Meter model has merit it also should not be seen as totally comprehensive for any given policy implementation problem. O'Toole's (1986: 185-188) review of the policy implementation literature, Mazmanian and Sabatier's (1981) and LeTourneau's (1981) comments and this researcher's experience with the model identify several areas where policy researchers may want to consider variables not identified in the Van Horn and Van Meter model. Specifically, variables which assess the underlying causal theory or the conditions which led to the policy being adopted may assist in defining the policy objectives and standards. The effect of the media can be assessed through study of the political environment variable cluster, but specific consideration of the media's role is warranted in cases where the media actively intervene in the policy adoption or implementation process. Future oriented variables which address what happens next are useful in anticipating needed changes to policy in order to enhance chances for successful implementation.

Further, the model calls for a hierarchical organizational perspective, and even though this point of view might be moderated to some degree through such techniques as backward mapping the model is essentially top down.

The answer to the question posed above (regarding how specific a model is desirable) is likely context specific. If this is true, then no single model can or should emerge as the

only model a policy researcher should consider in structuring a policy implementation study.

Amorphous variables permit flexibility, but also require researcher skill in fleshing out the variable clusters to give them validity. Use of the Van Horn - Van Meter model without the requisite research skills would result in a relatively meaningless application of the model. Perhaps the best advice for policy researchers is to adopt an eclectic view of the policy implementation literature and to select elements from models or theories that seem to best fit the particular implementation problem being studied, and to assure that steps are taken to demonstrate that the content validity of the model(s) chosen is provided for.

### Conclusions

Some general conclusions can be drawn from this study. These conclusions are summarized below.

- 1) Policy makers defined the adoption of teacher evaluation policy in Alberta as a long term process extending over a period of many years, whereas policy implementors perceived adoption of the policy by the provincial Department of Education to be a short term reaction to more recent events. Divergent perceptions of the rationale for policy adoption between policy makers and implementors may result in misunderstanding of the intents of policy by implementors.



Such misunderstandings may negatively affect the accuracy of communications with policy implementors.

2) Policy implementation was greatly facilitated by a highly publicized event centering on an Alberta teacher's decertification, which demonstrates that a single environmental event can have far-reaching effects on a policy implementation process.

3) Providing the opportunity to teachers for input into the formulation of local teacher evaluation policies does not guarantee that such opportunities will be realized.

4) Few jurisdictions had given a high priority to teacher inservice on teacher evaluation. Several administrators commented that the professional development concern/priorities had passed on to other needs, and principals expressed a greater need for additional inservice training than did the superintendents. Teachers and principals generally required regular inservice opportunities in support of their respective roles as defined in teacher evaluation policy.

5) The strongest single theme to emerge from analysis of the question about satisfaction with evaluation methods in use was the preference expressed by many respondents for anecdotal evaluation reporting formats; however, divergence of opinion regarding evaluation strategies supports the wisdom of designing evaluation procedures to fit local evaluation intents and expectations.

6) Political support for teacher evaluation does not appear to have been a grass roots phenomenon that was manifested through local political channels. The majority of school jurisdictions sampled had taken no action or minimal action to communicate to their publics about teacher evaluation policy implementation and thus engender greater community support for continued implementation of this policy initiative. Political motivation for teacher evaluation policy was perceived by implementors to be stronger at the provincial level than at the local level. The disposition of implementors for teacher evaluation policy implementation is, therefore, not likely to be supported extensively from the local political environment.

7) Principals, who are crucial to the teacher evaluation process, expressed their concern over inadequate time and resources. Teachers identified this area as a problem for their principals almost as often as did the principals, adding their support to the principals' concerns. That this problem was identified by so many respondents and is a recurrent item in the literature on teacher evaluation argues for implementation strategies at all levels that confront the concern directly in order to remove it as a real or perceptual barrier to successful implementation of teacher evaluation policy.

8) Most administrators seemed comfortable with a fairly superficial definition of full policy implementation. This

may have been due to the mandatory nature of the policy and the resultant pressure on implementors to demonstrate full implementation. A communication gap existed between the expectations of the policy makers and the policy implementors relative to a realistic timeline for full implementation of teacher evaluation policy. The question of full implementation and the means required to achieve it, was a topic requiring on-going dialogue between policy makers and implementors.

#### Implications for Theory Development

Policy implementation studies represent a method for conducting process evaluations before policy impact assessments or product evaluations should be conducted. Implementation is a complex process involving multiple factors and many players. Consequently, implementation studies are useful in facilitating the policy implementation process by providing on-going information to both the policy makers and the policy implementors. Ultimately, implementation studies can inform and help structure subsequent impact studies which are designed to assess the extent to which the intended policy effects are ultimately achieved.

Any search for a single, predictive theory of policy implementation is likely to suffer the same fate as that of attempts to develop single, predictive theories of leadership

or organizational behavior. No single theory is likely to be sensitive to the complex, synergistic interactions among variables which are conditioned by the unique context of a particular organization or policy. Recognizing this, policy theorists should maintain an eclectic view of the policy implementation literature and subscribe to an adaptive theory which relates variables to the specific policy implementation environment which they are studying. Backward mapping (Elmore, 1979), and more traditional forward mapping techniques designed to assess the underlying causality of policies and policy objectives offer useful methods for assessing the variable clusters or policy theory which can optimally be used for study of a given policy context.

Policy implementation models such as those offered by Van Horn and Van Meter (1975, 1977) and Mazmanian and Sabatier (1981) are examples of comprehensive frameworks that offer complex sets of variables at different levels of specificity which are potentially valuable to the study of policy implementation. No model, however, should be assumed to be totally comprehensive in its ability to capture and account for all of the potentially relevant variables and interrelationships which may be active in any given policy implementation process.

Provincial attempts to mandate teacher evaluation policies at the local level might have been interpreted as efforts by a government agency to change the traditional

ritual classifications (Meyer and Rowan, 1978) and to alter the professional bureaucracy (Mintzberg, 1979) of teaching. The provincial policy intent of "enhancing the professional status of teaching" which was not perceived by policy implementors may represent a rejection of provincial attempts at penetrating traditional boundaries of teacher autonomy.

#### Implications for Future Policy Implementation

The following recommendations are made relative to the implementation of teacher evaluation policy in Alberta. Many of these recommendations may have implications for the implementation of teacher evaluation policy in other settings.

1) Provincial policy objectives should be adjusted to recognize and support the more formative emphasis given to teacher evaluation at the local level.

2) Since implementors perceived provincial commitment dissipating provincial interventions are needed to maintain a climate in which teacher evaluation policy implementation is perceived as being important.

3) Lack of time was frequently mentioned as a barrier to implementation. Consequently, recognition that implementors may need additional time and/or assistance in the more efficient use of their time to support teacher evaluation policy implementation should become a priority of jurisdictions and the Department of Education.

4) Local policy documents primarily focused teacher evaluation activity on untenured or temporarily certified teachers. While neophyte teachers can be expected to require extensive evaluation, there is no reason to assume that tenured, permanently certified teachers could not benefit from more regular evaluation than was occurring in most jurisdictions.

5) Consideration should be given to expanding the provincial role or creating an independent board to provide for on-going monitoring and/or assistance to jurisdictions in the implementation of teacher evaluation policy.

6) Many administrators reported difficulties in implementing teacher evaluation policy, therefore, it should be recognized that evaluator expertise is developed over the long term and on-going mechanisms to facilitate continued evaluator skill development should be provided.

7) Since teachers have had little opportunity for inservice related to their roles in teacher evaluation, consideration should be given to prioritizing such inservice opportunities.

8) Anecdotal evaluation reporting formats were preferred by implementors and are also supported in the literature on teacher evaluation methodology (Shavelson, Webb, and Burstein, 1986). School jurisdictions should, therefore, consider using anecdotal formats where warranted and discontinuing use of rating scales.

9) Teachers were least clear regarding their evaluation role responsibilities; consequently, provisions should be made to provide for new opportunities for administrator-teacher collaboration at the local level to further define teacher understanding of the teacher evaluation goals and purposes.

10) Policies and instruments were found to be potentially incomplete, and thus, jurisdictions should be encouraged to review their teacher evaluation policy documents and evaluation instruments relative to the variables identified in Chapter 8 of this study to assure policies and instruments are as complete and fine tuned as is desirable.

11) Teachers reported less involvement in policy development than was perceived to have been the case by administrators. Therefore, as part of the policy and instruments review process, mechanisms should be considered which maximize teacher involvement in the process in order to increase the sense of teacher ownership of teacher evaluation policies and processes.

12) Appeal procedures in small districts were identified as presenting potential problems which could be alleviated through the compilation and dissemination of lists of approved individuals available to render expert assistance. The Department of Education would be the most logical agency to initiate and maintain this service.

13) Administrator implementors felt a need to demonstrate a degree of implementation that exceeded the expectations of

the policy makers. Clarification by policy makers of realistic timelines for full implementation of teacher evaluation policy would, therefore, be useful.

14) Implementation studies should precede policy impact studies, therefore, planning for the method, design and timeline for a policy impact assessment of teacher evaluation policies in Alberta should begin using the current study and previous studies (Duncan, 1985) as baseline data. Provision should be made for widespread dissemination of the impact study plan.

#### Implications for Further Research

In-house case studies by school jurisdictions using the second phase interview schedules employed in the present study would be useful in specific jurisdictions wishing to compare their teacher evaluation policy implementation status with the province-wide findings reported above.

Further research into the local political environment through interviews or surveys of school board trustees regarding their perceptions of political pressures for teacher evaluation would add to our understanding of the role of trustees in the teacher evaluation policy process in particular and to the role of trustees in policy formulation in general.



A study investigating long-term developments in teacher evaluation would be useful in uncovering the historical context of teacher evaluation in Alberta.

The function of time as a barrier to implementation of teacher evaluation policies requires further study to identify how this impediment to teacher evaluation might best be addressed.

Further investigation of the Van Horn and Van Meter policy implementation model using quantitative research methodology and factor analytic validation techniques would be useful to further clarify the relevance of variable clusters to policy implementation studies in different settings.

Additional study of the concepts of the professional bureaucracy (Mintzberg, 1979) and of the logic of confidence and ritual classification (Meyer and Rowan, 1978) as mechanisms which may affect teacher evaluation policy implementation is needed.

#### Final Comment

A common word of advice found in the policy literature is the prescription never to assume a policy will be fully implemented because it has been formally adopted. The findings of this study underscore the tenuous nature of teacher evaluation policy implementation. Forces supporting the implementation of teacher evaluation policy in specific

areas were beginning to dissipate. The comments of one principal respondent are particularly illustrative, "Teacher evaluation is such an abstract, nebulous area that you can avoid doing it without too much political damage." Whether an era of mediocrity ensues, or a new age of teacher professionalism emerges, will be dependent on the actions of both policy makers and policy implementors in their efforts to implement the policy mandate of improving the performance and professional development of teachers.

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APPENDIX A

Provincial Teacher Evaluation Policy

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## TEACHER EVALUATION

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### POLICY

The performance of individual teachers and the quality of teaching practices across the province will be evaluated to assist in the provision of effective instruction to students and in the professional growth and development of teachers.

### GUIDELINES

1. The primary responsibility for the evaluation of individual teacher performance and for the quality of teaching practice lies with each school jurisdiction.
2. Each school jurisdiction will develop, keep current, and adopt written policies, guidelines, and procedures in keeping with the intent of provincial policies, guidelines, and procedures. These policies, guidelines, and procedures will be a matter of public record, available upon request. Alberta Education will assist school jurisdictions in the development of policies, guidelines, and procedures.
3. Alberta Education will not hear any appeals from individual teachers who are dissatisfied with evaluation reports in school jurisdictions that have adequate teacher evaluation policies. Alberta Education may consider such appeals from teachers within school jurisdictions that have inadequate policies.
4. Alberta Education and school jurisdictions are responsible for ensuring that:
  - (a) teacher evaluation policies and guidelines are implemented appropriately; and
  - (b) high standards of teaching practice are achieved and maintained across the province.
5. Teacher evaluation policies should:
  - (a) be applicable to all teachers;
  - (b) be fair and consistent in application;
  - (c) provide for due process and appeal mechanisms within the school jurisdiction;
  - (d) permit consultation with teachers in the development of policy, guidelines, and procedures; and
  - (e) ensure that the evaluation report is made available to the teacher in question after its completion.

Teacher Evaluation (continued)

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6. The results of evaluations will be utilized to:
  - (a) assist the professional development of teachers;
  - (b) develop improved measures of teacher performance; and
  - (c) take appropriate action with respect to teachers whose performance is unacceptable.
7. Alberta Education will conduct teacher evaluations in private schools and privately operated Early Childhood Services centres.
8. Alberta Education will investigate specific incidents involving professional staff in the employ of school jurisdictions when it is deemed by the Minister to be necessary and in the best public interest to do so.
9. A teacher who desires to appeal any matter relating to the issuance, withholding, or cancellation of a certificate may appeal to a committee established by Alberta Education.

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APPENDIX B

Phase II Interview Schedule -- Teachers.

Implementation of Teacher Evaluation Policy  
Teacher Interview Schedule

1. Would you share with me your general thoughts on teacher evaluation policy implementation in your school?
  
2. What do you believe are the purposes of the teacher evaluation policy at the provincial level?
  
3. What, in your opinion, are the purposes of your jurisdiction's teacher evaluation policy?
  
4. What would you look for in making a decision as to whether the policy has been successfully implemented in your school?
  
5. Have you had any training specifically in teacher evaluation?  
  
    What training has been most helpful?  
  
    What training would be helpful?
  
6. To what degree are you satisfied with your jurisdiction's methods used to measure teacher performance?
  
7. What means have been used in your school to encourage teachers to cooperate with the teacher evaluation policy?  
  
    How effective have these been?
  
8. Has anything weakened your support for implementation of your jurisdiction's teacher evaluation policy?
  
9. Have any aspects of the teacher evaluation policy caused implementation difficulties for your school's administrative staff?
  
10. In what way were the teachers involved in developing your jurisdiction's teacher evaluation policy?
  
11. Are policy expectations from the school office sufficiently clear from your point of view to define what is expected of you in the implementation process?

12. Do you think the Alberta Department of Education's commitment to having the provincial teacher evaluation policy implemented is as strong today as it was in 1984-85 when it was introduced?

What are the reasons for this opinion?

13. Are there any future needs, supports or adjustments which you think may be necessary to assure teacher evaluation has a positive influence in your school?

APPENDIX C

Phase II Interview Schedule -- Principals

Implementation of Teacher Evaluation Policy  
Principal Interview Schedule

1. Would you share with me your general thoughts on teacher evaluation policy implementation in your jurisdiction?
2. What do you believe are the purposes of the teacher evaluation policy at the provincial level?
3. What, in your opinion, are the purposes of your jurisdiction's teacher evaluation policy?
4. What would you look for in making a decision as to whether the policy has been successfully implemented in your jurisdiction?
5. Have you had any training specifically in teacher evaluation?  

What training has been most helpful?

What training would be helpful?
6. Have the teachers in your school had any specific training to facilitate and cooperate with teacher evaluation?  

What training has been most helpful?

What training would be helpful?
7. To what degree are you satisfied with your jurisdiction's methods used to measure teacher performance?
8. What means have been used in your jurisdiction to encourage principals to implement the teacher evaluation policy?  

How effective have these been?
9. What means have been used in your school to encourage teachers to cooperate with the teacher evaluation policy?  

How effective have these been?
10. Has anything weakened your support for implementation of your jurisdiction's teacher evaluation policy?



11. Have any aspects of the teacher evaluation policy implementation resulted in resistance by teachers?
12. In what way were the teachers involved in developing your jurisdiction's teacher evaluation policy?
13. Has the 'due process' requirement of the Alberta Department of Education caused implementation difficulties in your jurisdiction?
14. Are policy expectations from the central office sufficiently clear from your point of view to define what is expected of you in the implementation process?
15. How has implementation been affected by the jurisdiction's political climate? For example, was teacher evaluation an issue in the October 20, 1986 board elections?
16. Have you tried to make parents or parent groups aware that a new teacher evaluation policy is being implemented in your school? How effective has this been?
17. In your judgement, how many schools, if any, have implemented the teacher evaluation policy? Partly \_\_\_\_\_? Fully \_\_\_\_\_?
18. Do you think the Alberta Department of Education's commitment to having the provincial teacher evaluation policy implemented is as strong today as it was in 1984-85 when it was introduced?

What are the reasons for this opinion?

19. Are there any future needs, supports or adjustments which you think may be necessary to assure teacher evaluation has a positive influence in your school?

APPENDIX D

Phase II Interview Schedule -- Superintendents

Implementation of Teacher Evaluation Policy  
Superintendent Interview Schedule

1. Would you share with me your general thoughts on teacher evaluation policy implementation in your jurisdiction?
2. What do you believe are the purposes of the teacher evaluation policy at the provincial level?
3. What, in your opinion, are the purposes of your jurisdiction's teacher evaluation policy?
4. What would you look for in making a decision as to whether the policy has been successfully implemented in your jurisdiction?
5. The Alberta Department of Education has used "must do" statements to ensure that school jurisdictions implement teacher evaluation policy. What has been your reaction to the appropriateness of these means used to ensure compliance with provincial mandates to implement teacher evaluation policies?
6. Would you recommend other means to ensure compliance with the provincial policy?
7. Who has responsibility for evaluating teachers in your jurisdiction?
8. Have the central office administrative/supervisory staff in your jurisdiction had any training specifically in teacher evaluation?

What training has been most helpful?

What training would be helpful?

9. Have the school based administrative/supervisory staff in your jurisdiction had any training specifically in teacher evaluation?

What training has been most helpful?

What training would be helpful?

10. Have the teachers in your jurisdiction had any specific training to facilitate and cooperate with teacher evaluation?

What training has been most helpful?

What training would be helpful?

11. To what degree are you satisfied with your jurisdiction's methods used to measure teacher performance?

12. What means have been used in your jurisdiction to encourage principals to implement the teacher evaluation policy?

How effective have these been?

13. What means have been used in your jurisdiction to encourage teachers to cooperate with the teacher evaluation policy?

How effective have these been?

14. What is the priority of evaluating teachers for board members?

15. Has anything weakened your support for implementation of your jurisdiction's teacher evaluation policy?

16. Have any aspects of the teacher evaluation policy implementation resulted in resistance by teachers?

17. In what way were the teachers involved in developing your jurisdiction's teacher evaluation policy?

18. Has the 'due process' requirement of the Alberta Department of Education caused implementation difficulties in your jurisdiction?

19. Are policy expectations from the Alberta Department of Education sufficiently clear from your point of view to define what is expected of you in the implementation process?

20. How has implementation been affected by the jurisdiction's political climate? For example, was teacher evaluation an issue in the October 20, 1986 board elections?

21. Have you tried to make parents or parent groups aware that a new teacher evaluation policy is being implemented in your jurisdiction? How effective has this been?

22. In your judgement, how many schools, if any, have implemented the teacher evaluation policy? Partly \_\_\_\_\_? Fully \_\_\_\_\_?

23. Do you think the Alberta Department of Education's commitment to having the provincial teacher evaluation policy implemented is as strong today as it was in 1984-85 when it was introduced?

What are the reasons for this opinion?

24. Are there any future needs, supports or adjustments which you think may be necessary to assure teacher evaluation has a positive influence in your jurisdiction?

APPENDIX E

Correspondence to Superintendents Requesting  
Participation in the Study



September 5, 1986

I am presently conducting a study of teacher evaluation policy implementation in Alberta. The project has received funding support from Alberta Education and is being undertaken as a doctoral study in the Department of Educational Administration at the University of Alberta.

Phase 1 of the study has involved interviews with decision makers and other persons who were influential in the adoption of teacher evaluation policy. The primary purpose of the first phase of the study was to identify the intents of teacher evaluation policy.

Phase 2 of the study will assess the effects of teacher evaluation policy implementation. Information for this phase will be collected in interviews with personnel from various Alberta School Jurisdictions.

The purpose of this letter is to ask permission to interview you and two other individuals in your jurisdiction. Anonymity of respondents will be assured, and the data will be reported without identifying responses with individual respondents or their jurisdictions.

Interviews will last approximately one hour with the superintendent or his designate responsible for teacher evaluation policy implementation. In addition, a principal and a teacher, randomly selected from the jurisdiction, will be interviewed. Interviews are tentatively planned for late September, October, and November 1986.

The results of the study will be reported to the Planning Services Branch of Alberta Education. Results, it is anticipated, will be distributed to all school jurisdictions in the province.

If your jurisdiction agrees to participate in the study, may I request (1) an up to date staff list to facilitate selection of a principal and teacher for interviews, and (2) a copy of your teacher evaluation policy document. Once all participating jurisdictions are confirmed, I will contact you so we may agree upon an interview schedule.

Thank you for considering this request. If there are any questions regarding the study, please do not hesitate to contact me (432-3094 on campus or 458-6064 residence). I will look forward to receiving your reply.

Sincerely,

A handwritten signature in cursive script, appearing to read "John M. Burger", followed by a horizontal line extending to the right.

John M. Burger



APPENDIX F

Correspondence from Dr. Earle Hawkesworth to  
Alberta School Superintendents

## EDUCATION

Devonian Building, West Tower  
11160 Jasper Avenue  
Edmonton, Alberta, Canada  
T5K 0L2

January 30, 1980

To Alberta School System  
Superintendents

Recently the Canadian Education Association, in cooperation with a number of other educational agencies, held a seminar on inservice and retraining of teachers and administrators. The seminar included representation from the major educational sectors across Canada and input from political and manpower specialists.

In the absence of more substantial evidence, seminar participants relied on their perceptions in concluding that few comprehensive personnel development programs for educators exist in Canada and that a major barrier to providing adequate professional development programs for teachers and administrators is the lack of comprehensive ongoing evaluation programs for them. Reinforcement of competent or outstanding teachers appears inadequate. In general, evaluation of teachers and administrators occurs only in the first two years of service in a position, during temporary appointment, or in crisis situations. In the crisis cases data often are not adequate as a basis for decisions on termination. Ad hoc solutions seem to be the order of the day, and too often termination rather than improved performance is the major objective. Except for Quebec, where after two years of successful teaching a teacher has life tenure although not permanent job placement, policies on teacher redundancy generally are of a "last in, first out" nature.

If the situation as outlined pertains in Alberta school systems also, then improvement in personnel management procedures is essential. Until 1970 the province had ongoing evaluation of teachers, with written reports considered an integral part of the teacher personnel file and deposited both locally and in the Registrar's office. Since 1970 the prime responsibility for teacher evaluation has rested with local jurisdictions. A 1977 study conducted by Dr. E.A. Holdaway and Mr. M.J. Reikie of the University of Alberta indicated that a substantial percentage (36%)

Alberta School System Superintendents  
January 30, 1980  
Page 2

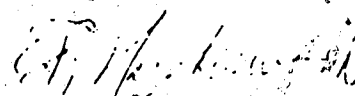
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of Alberta School jurisdictions had no policy on frequency of evaluations of tenured teachers, and only 20% of jurisdictions had standard forms for use in conducting and reporting such evaluations. There are no more recently collected data on the situation.

The purpose of this letter is to obtain from you an outline of the evaluation policies and procedures followed for all certificated personnel in your school system. A copy of relevant policy and procedures statements, with any attendant forms, would be appreciated. In addition I request that, whether or not you have such statements, you complete and return the attached brief questionnaire, which will facilitate summarizing the current situation in the province.

May I have this information by February 18, 1980 please.

Sincerely,

  
E.K. Hawkesworth  
Deputy Minister of  
Education

c.c. Board Chairmen

VITA

Name: John Michael Burger

Place of Birth: Urbana, Ohio, United States

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Education: Ohio State University, Columbus, Ohio  
B.A. in History, 1973; B.Ed. (Honors) in Social  
Studies, minor in Educational Research and  
Development, 1973.

University of Alberta, Edmonton, Alberta  
M.Ed. in Educational Administration, 1974.  
Ph.D. in Educational Administration, 1988.

Related Work Experience: Evaluation Consultant, Alberta  
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Secretariat, September, 1987 -  
present.

Vice-Principal, Bonnyville  
Centralized High School, Bonnyville,  
Alberta, September, 1983 - June,  
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Principal, Assumption School, Grand  
Centre, Alberta, September, 1976 -  
June, 1983.

Principal, Gift Lake School, Gift  
Lake, Alberta, September, 1974 - June,  
1976.

Publications: "Competency Based Instructional Materials Study  
Report," Northern Alberta Institute of  
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