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UNIVERSITY OF ALBERTA

**Effective Supervision:
An Analysis of Concepts, Policies, and Practices**

by

Hamid Solomon Mohammed

**A THESIS
SUBMITTED TO THE FACULTY OF GRADUATE STUDIES AND
RESEARCH
IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE DEGREE
OF MASTER OF EDUCATION**

DEPARTMENT OF EDUCATIONAL ADMINISTRATION

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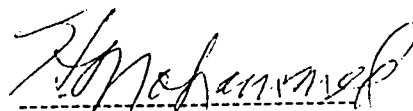
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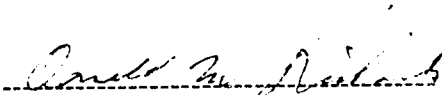


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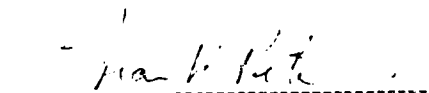
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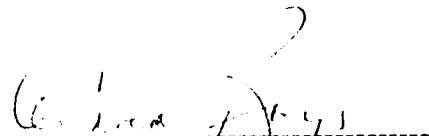
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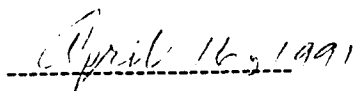
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ABSTRACT

With the proliferation of supervisory models and perspectives, demands from the educational literature for teacher effectiveness, for principals to become instructional leaders, and amidst the tidal wave of the accountability movement, this study investigated and synthesized literature on effective teacher supervision. An analysis of current concepts, policies, and practices formed the basis of this investigation.

A comprehensive review of the related literature consisted of citations from the North American sources and other major sources. Justification for this study was established by an examination of current thoughts in supervision. Major themes in support of the problem and the commonalities in supervisory practices with the North American development were identified. Historical and theoretical influences were described and the effectiveness theme was critically examined. From this review, seven perspectives of teacher instructional supervision emerged.

A survey method was applied. Terminology, research questions, and constraints of the study were defined. A pilot study of ten principals assisted in the refinement of the interview schedule. The research sample consisted of 30 principals from an urban school system. The subjects were selected by a stratified random sampling of four grade strata, K-6; K-9; 7-9 and 10-12. Data collection and analysis, included three significant sources: (1) Data from the literature from which emerged three major principles that characterized effective supervision. (2) Data from an analysis of provincial statutes, Alberta Education, and the Edmonton Catholic School policies. These policies were matched against five criteria of an

effective supervision policy from a RAND study and against seven criteria of a good policy. (3) Data from the interviews were considered in the context of the three critical supervisory principles from the literature. The findings from the analysis and content analysis of interview comments were organized to answer the research questions.

What emerged as a result of the study was as follows: (1) Effective supervision resulted from the manipulation of several critical variables within the parameters of a sound supervision policy, (2) teacher instructional needs must be actively and systematically addressed for growth and development, and (3) teacher empowerment and engagement in the process of supervision must be accorded the highest priorities.

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CHAPTER I

INTRODUCTION

Effectiveness is one of the most pervasive yet least delineated organizational constructs relevant to all participants in organizational life.

— Wayne K. Hoy & Cecil G. Miskel
Educational Administration—1987

Background to the Study

This was not the "new" movement that so often is the "old" which has been re-designated but one that would initiate a radical effort towards the improvement of educational supervision. Voices of change towards supervision were not heard only from the educational scene, but also at the forefront of most industrial organizations. Leaders in this latter arena sought to divorce themselves from the tyrannical and de-humanizing practice of supervision and to embrace a philosophy and methodology that led to a genuine improvement of the worker in the workplace—one in which the teacher or worker became an active participant and where potential was recognized and celebrated.

The following introductory statements therefore, endeavor to set the stage for the central investigation of effective supervision. This backdrop provides for an understanding of the prevailing conditions and demands that were the precursors to the need for change and for the new supervision. Since effective supervision would naturally emerge from several essential and related themes, a cursory discussion of these would suffice as background. These "conditions and demands"

as stated were such as, the accountability movement (Martin, 1976), effectiveness and efficiency trends, and conflicting views on evaluation and supervision.

The accountability movement that emerged during this period, coerced educators to examine their practice of supervision and evaluation. Roneche (1973) stated that "accountability is a negotiated relationship" (p. 195) and participants agreed on the rewards and costs for the attainment of specified ends. What accountability required of supervision and evaluation was to create a more precise understanding of these concepts. An application of these new concepts therefore, would lead to a more meaningful and participatory approach to teacher instructional improvement and hence to effective supervision.

Another prevailing condition that precipitated the drive for increased preciseness and accountability and the need for effective supervision, was the effectiveness and efficiency trend. Public faith in educational institutions had been diminished since the early seventies and the traditional acceptance of educational programs and leadership on the basis of past performance no longer applied (Hostrap, 1973). The public needed more than image and reputation of "good schools" and "good teachers". There had been and will continue to be a vigorous wave of demands for effective teachers (McFadden & Schenck, 1971; Nation at Risk, 1984), effective schools (Bushnell & Rappaport, 1971; Hayman & Stenner, 1971; Hall, 1984; Ellis, 1987; Spady & Marx, 1984) and for effective teacher supervision even into the 21st century. Suggestions for the need for the improvement of teacher instructional supervision have not been merely a North-American phenomenon, there has been profuse attestation from the world education literature (Prokofév, 1985; Levin, 1986; Smyth, 1982; Gough, 1985).

Further conditions that gave an impetus to the search for effective supervision were the greater awareness of the contributing factors to the economic and social difficulties of our times for example, high unemployment, drug use, and an unusually high illiteracy rate (Morrow, 1985). As a result, in the ever-growing crusade for effective teaching and effective schools, educational leaders and administrators at all levels established procedures and policies (Tye & Costa, 1986; Finn, 1983; Thompson, 1984) for teacher supervision and evaluation.

Further, the effects of implementation of "newer models" seemed to indicate that success had been negligible or uncertain and that these efforts were not affecting practice. An examination of the literature, indicated that prominent leaders in the field of supervision were demanding radical changes (Harris, 1982; Glickman, 1985; Krajewski, 1985; Sergiovanni, 1985; Oliva, 1989, & Smyth, 1980, 1984, 1986).

Finally, the need for this study was established as a result of the confusion from the polarity of perception created between the terms supervision and evaluation. Once there had been a quiet co-existence and eventual union of evaluation and supervision. There was minimal differentiation by practitioners. But emerging suggestions point toward a gradual separation of these related terms in actual practice. Specifically, in the field a variety of meanings, intents, and ideologies are being presented. Therefore, the movement today is towards the assignment of distinct roles to these supervisory practices and to develop separate and trained personnel (Tye & Cost, 1986; Rothberg, 1984; Acheson & Smith, 1986).

According to Pffner and Fels (1974), supervision must first be considered in terms of the Latin origins of the word: "Super" meaning over, and "vision" of course, connoting sight or seeing. Hence, supervision in management means seeing from above, but with additional implication of looking downward with authority. Although from this description supervision means an over-seeing of the worker, confusing and misleading perceptions prevail. For instance, supervision is commonly understood as "frequent checking" and that supervisors possess a "supervision" of all the actors, actions, and outcomes of the workplace.

Purpose of the Study

The concepts of supervision and evaluation are based on a variety of attitudes and beliefs (Shapiro, 1979; 1984; Burke & Kray, 1985). Both supervision and evaluation have been described and implemented under several concepts as models and practices. The following labels exemplify these attitudes—teacher effectiveness, teacher improvement, clinical supervision, supervisory management, professional development, teacher centres, in-service education, effective teaching, and effective school's practices. Amidst these beliefs and foci, there exists the urgency to examine and critically analyze those concepts, policies, and practices to determine and synthesize the prevailing thought in effective supervision. There exists therefore, a gap between what is in practice and what is advocated in the literature as effective teacher instructional practice. An effort to investigate what is effective has become critical. Therefore, this study also attempted to investigate what beliefs, feelings, attitudes, and knowledge of effective supervision existed.

The Problem

The problem in this study was to identify, examine, and analyze current concepts, policies, and practices so as to discover effective teacher supervision.

In order to achieve the objective of the study, the investigation was focused on areas and concepts that were directly related to the central problem and the research questions. Explorations of the "effectiveness" and "supervision" themes from these sources would establish greater definition, clarity, support, and understanding to what is effective supervision. These areas were stated as sub-problems as follows.

Sub-problems

- To investigate the concept of effectiveness as applied to effective supervision.
- To investigate the concept of effectiveness as applied in collateral studies such as; leadership, instructional leadership, teacher effectiveness, formative evaluation, and effective schools.
- To investigate the term effectiveness as expressed in effective input, effective process, effective output, and ethical effectiveness as related to supervision.
- To examine whether effective supervision could be defined from specific teacher, student or supervisory behaviors.

Delimitations of the Problem

In the analysis of concepts, policies, and practices of effective supervision, the following foci constituted the basis:

1. This study focused on elementary schools (Department of Education of Alberta); the school board level (an urban school board); and at the school system level (three divisions of an urban school jurisdiction—Elementary, Junior High and Senior High School).
2. It focused on teacher supervision as practised in elementary and secondary schools.
3. The study concentrated on supervisory methods that were utilized for instructional improvement of classroom teachers.
4. It focused on effective supervision as described in the current educational literature.
5. The study attempted to investigate "what" was effective supervision and not "why" or "how."

Limitations of the Study

As a whole, the limitations in this study were influenced by the nature of the research problem. It was limited by the currency of the literature, the accessibility of relevant policy documents, assumptions of the study, and the definition of terms. Therefore,

1. The study was limited by the validity and reliability of instruments utilized in data collection and the final analysis.
2. The study was limited by the validity and reliability of data and data analysis.
3. The research sample was derived from elementary and secondary school principals and supervisory personnel of an urban separate school system.

quality of responses from stakeholders of the study.

5. What was considered effective supervision in this research context might not easily apply to other environmental or cultural contexts of schools and countries.

Definition of Terms

In order to express and assure greater clarity, precision, and consistency for the definition of particular terms in this study, the generic meaning of each was followed by its operative definition. The latter was supported by the educational literature. The following supported statements reflect descriptions of procedure:

Supervision:

This act is of directing and inspecting. As applied to this study, it was the developmental process of helping and enabling the teacher to improve the over-all instructional competence and confidence (Krey & Burke, 1989) that improve the academic achievement of students. Krajewski (1977) stated that "the ultimate concern of supervision is to bring about desirable teaching and learning situations for students. It is a total effort to stimulate, coordinate, and guide the continued growth of teachers" (pp. 5-15). Sergiovanni (1982) concurred by stating that supervision "includes virtually all of the activities of administrators and supervisors involved in the improvement of instruction" (p. vi). Harris et al. (1985) stated that supervision was "those highly instruction-related activities that are not highly pupil-related but are . . . nearly all concepts of supervision in current thought and practice that emphasize the improvement of an array of instructional services" (p. 27).

This act is of rating and appraising. As applied to teaching and teachers, it was the process of measuring, assessing, and judging the performance of teachers for the purpose of renewal of contract, recommendations for certification, promotion, and special recognition or dismissal.

Harris (1985) stated that "when teachers are rated, teacher effectiveness is in question" (p. 189). These simple old-fashioned concepts of evaluation did appear in the literature and in practice (Miller, 1972; Weinheimer, 1980). However, the best practice viewed evaluation as a systematic gathering of evidence on instruction-related events and an analysis of those data in ways specifically designed to illuminate decision-making for improving instruction (Stufflebeam, et al., 1971; Anderson & Ball, 1978; Guba & Lincoln, 1981). Cronbach (1980) elaborated by defining evaluation as a "systematic examination of events occurring in and consequent of a contemporary program" (p. 189).

Similarly, Beeby (1977) as cited in Wolf (1984) described evaluation as a "systematic collection and interpretation of evidence leading, as part of the process, to a judgement of value with a view to action" (p. 8).

Effectiveness:

This term denotes the achievement of goals. For this study, effectiveness is used in relation to "effective supervision". It is the presence of vital elements (human, institutional, contextual, environmental) and strategies in a process that facilitates higher teacher instructional competence and confidence. Therefore, effectiveness extends beyond the boundary of mere goal achievement.

(1988) stated that this concept "cannot be defined empirically or logically" and the "definition adopted depends upon the definer's values and beliefs about what is important for the enterprise" (p. 133). Effectiveness is therefore, culture-bound and value laden.

Contextuality:

For this study, contextuality refers to the unique and prevailing conditions that exist within a school as a result of internal and external forces for example, leadership, school culture and school board expectations.

Research Questions

The objectives of the study were to find answers to the following questions:

What are the general characteristics of effective teacher supervision?

A number of more specific and related research questions served as guides to the development of the study and for the analysis of the data. Themes highlighted in the sub-problems, e.g., effectiveness and supervision (p. 6) have been included in these major research questions also. These questions were as follows:

- a. What is supervision in the instructional context?
- b. What is effective supervision?
- c. What current concepts that characterize, constitute, and are being reflected in prevailing policies and practices of effective teacher supervision?
- d. To what extent is effective supervision congruent and consistent with research findings? That is, to what extent are such practices strongly supported by theoretical and empirical ideas?

supervision.

- f. What are the criteria of an educational policy through which effective supervision is implemented?

Although these questions served to define the limits of the study, the design was open to the addition of other questions during the initial phases of data collection.

Significance of the Study

There are four vantage points from which this study can be viewed as important. Firstly, the study has both a practical and theoretical significance. Consequently, the results are of interest to those who initiate organizational change (Ginsberg, 1987; Sirotnik, 1987); those who develop and formulate policy (Townsend, 1987; Guthrie, 1986); those who improve teacher instructional competence (Krajewski, 1985; Carroll, 1984); and student progress and achievement (Thompson, 1984; Bolin, 1984). The results could provide a basis for critical insights. In a number of areas there could develop a general global awareness of greater consciousness and understanding of the methods and techniques that could be applied to improve teacher competence in schools today. Relevance and meaning could be reflected also in methodology for teacher improvement. From this study, there could develop an awareness of areas of significant weakness in supervision that might lead to stimulation for change (Iannacone & Jamgochian, 1985; Freed & Sheppard, 1983). As a result, a

Secondly, in terms of practical significance, educators and administrators at all levels might obtain valuable insights for school policy and practice (Scott & Smith, 1987). Educational policies (Duncan, 1984; Floden et al., 1987) might reflect current thought and philosophy while practice of methods and techniques might enhance teacher instructional performance. Teachers then, might observe this importance and seek assistance (Sadler, 1982; Florez-Tighe, 1984). Administrators and supervisors might observe the need to assist teaching staff (Alfonso, et al., 1984) in a manner that was systematic, consistent, and regular (Spohn, 1987)—an application of assistance that would reflect developmental (Glickman, 1985) and longitudinal (Caudle, 1985) processes of supervision. Superintendents might develop sensitivity for policy and guidelines that might reflect flexibility, currency, research-based and an application that would empower both teachers and principals with the responsibility of instructional leadership and improvement in their schools (Smyth, 1984; Tanner & Tanner, 1987).

A broad area of practical significance would be reflected in the culture and climate of schools. A school system hopefully, would attempt a more humane (Sergiovanni, 1979) and systematic approach to encountering supervisory issues (Greenfield, 1987) and for planned intervention and resolution. Attempts at innovation and change might be more fully appreciated and need for effective supervision could become more obvious. Motivations and the goal for such changes would be reflected in the long-term goals of schooling (Leithwood &

Finally, as regards a theoretical impact, this study contains the potential for launching a challenging conceptualization for teacher supervision (Krajewski, 1985). The call from the educational literature, to relegate the instructional leadership to principals of schools (Sergiovanni, 1985; Acheson & Smith, 1986; Greenfield, 1987) and to collegially engage in collaborative (Singh, 1984; Chamberlain & Goldsberry, 1984) and developmental supervision (Glickman, 1985, 1987; Oliva, 1989), suggests the beginnings of a theory of teacher supervision (Garcia & Padilla, 1985; McNergney, et al., 1983; Sergiovanni, 1982, 1986). Unlike evaluation of teachers that has its genesis in a Tayloristic—accountability viewpoint (Pugh, et al., 1983), teacher supervision may emerge from a viewpoint that empowers (Sirotnik, 1987) the school, and the instructional staff to constantly develop professionally; to collegially engage in instructional improvement and to apply not only research-based expertise (Hayman & Sussman, 1986; Seaburn & Sudlow, 1987) but to respond with greater certainty and confidence to the question, what constitutes effective supervision? This viewpoint may not divorce supervision from evaluation (Caudle, 1985; Harris, 1986), but rather establish supervision with a prominence that recognizes the urgent and continuous need for teacher growth and development, instead of the application of the occasional and traumatic summation of teacher competence.

concepts inter-related by hypothetical and theoretical propositions" (p. 17).

According to Mayer and Greenwood (1980), "The conceptual framework defines the logical boundaries for the investigation and serves as a guide whereby the analyst can judge what is relevant and what is irrelevant to study" (p. 70). The conceptual framework in this study was basically used as a map or device to guide a systematic collection and analysis of the research data as indicated in Figures 1 and 2.

In Figure 1, two major themes and several concepts are illustrated. The theme of evaluation form the backdrop and supervision is indicated as an integral part of this theme. The five conceptual areas are inextricably coupled to the major themes. Each illustrates that in order to find what is effective supervision, the understanding of these couplings are to be viewed as critical to the over-all themes. And that, from the essence of each there will coalesce a form that is effective supervision.

Unlike Figure 1 that directs the study from a general-theoretical perspective, Figure 2 maps out more specifically the dimensions for utmost consideration in the search for effective supervision. The nomothetic dimension points to those factors that are of an institutional nature. These may consist of the school-building level policies and practices, the system-level mandates and policies, the community level and public demands in education. The empirical dimension suggests that what is effective supervision are to be gleaned from current research i.e. on what is effective teaching, effective curricula and effective human learning. Therefore, to

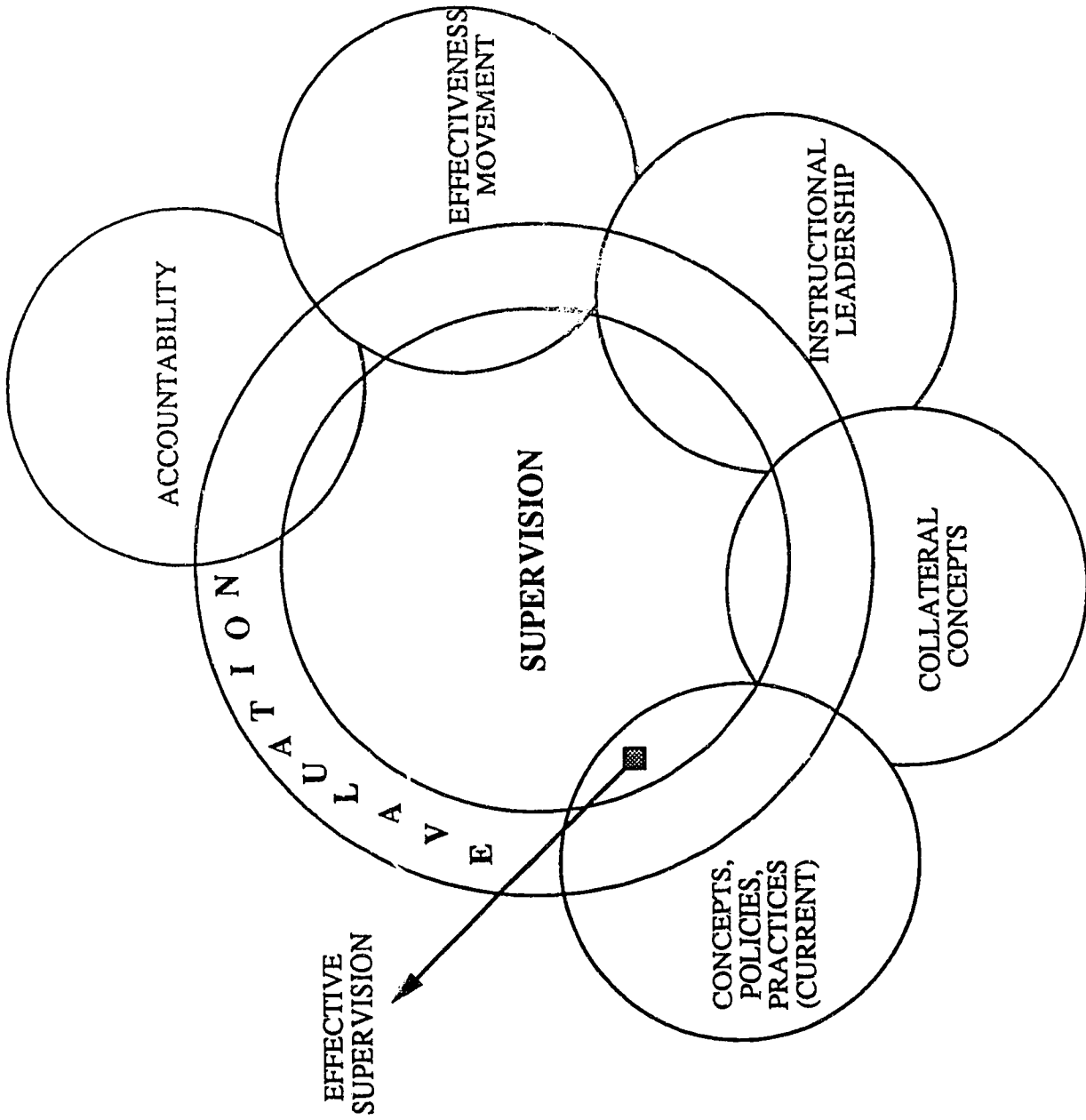
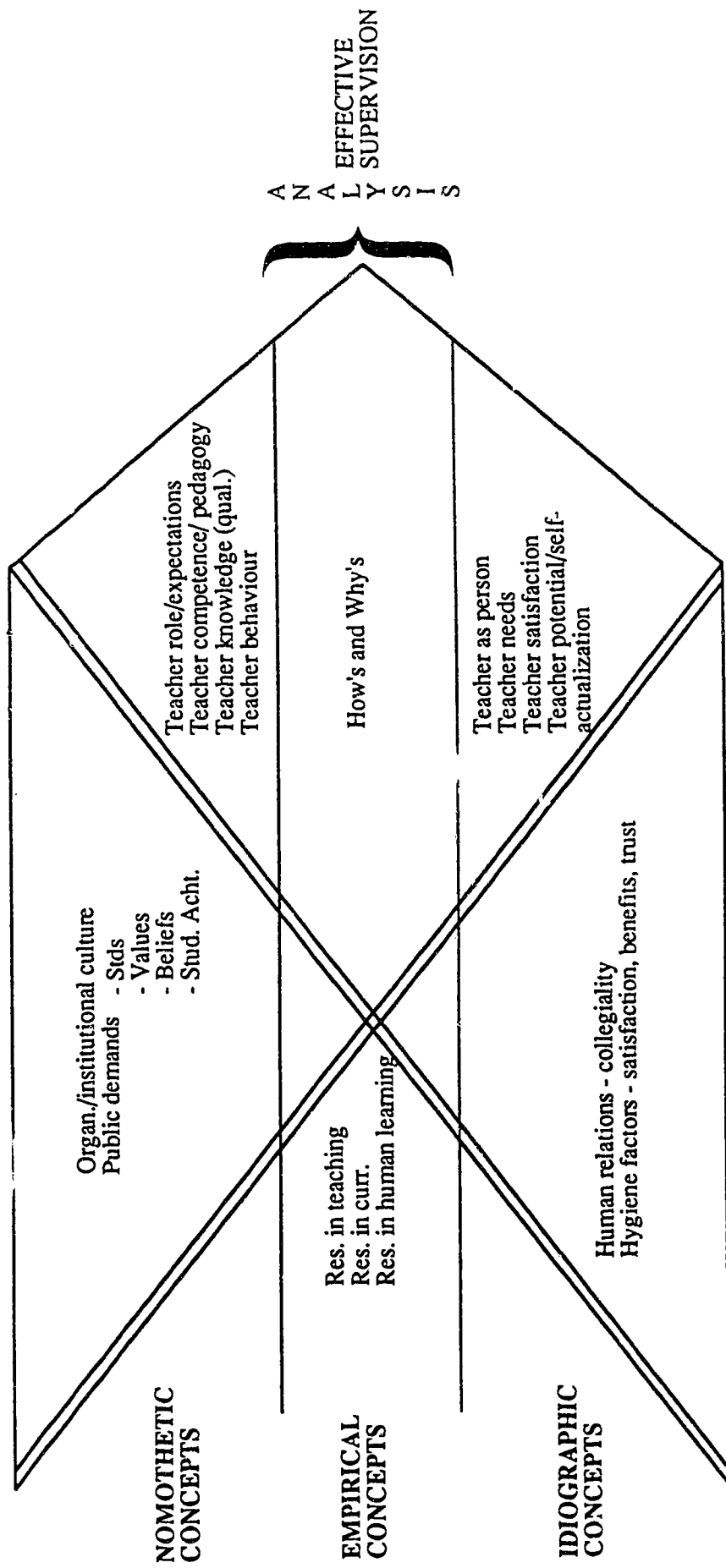


Figure 1. Hypothetical Map I



An inter-play of these dimensions in context, mathematically illustrated:

$$ES = F(N \times E \times I) + C$$

- ES = Effective Supervision
- F = Frequency
- N = Nomothetic dimension
- E = Empirical dimension
- I = Idiographic dimension
- C = Context

Figure 2. Hypothetical Map II

assist teachers in the improvement of their instructional and other professional practices, these factors are to be clearly understood and constantly reviewed by both supervisor and supervisee. The ideographic dimension suggests that in the helping process of effective supervision, factors that encourage, stimulate, empower, self-actualize and celebrate the potential of teachers as human beings are critical components. Teachers are to be understood as persons with needs and a desire for satisfaction and benefits. Therefore, from an analysis of these institutional, research and human components, effective supervision may be derived.

Summary

The current state of supervision and its related issues are examined. The emergence of instructional supervision resulted from the outcry of public dissatisfaction with the performance of schools which precipitated the call for accountability. From among numerous supervisory models, practices and theoretical ideas, there emerged a need to synthesize what was effective. As a result, a problem was located namely, what was effective teacher instructional supervision? Research questions, definition of terms and a theoretical framework were established in order to pursue the investigation. The major guide to tentative responses to the research questions and the entire study was an analysis of concepts, policies and practices.

Organization of Thesis

The first chapter provides an introduction and overview of the context of the study, the background and setting, and the nature and constraints of the problem. It includes the definition of terms, the objectives and research questions, and the theoretical framework that guides the collection and analysis of the data. The second chapter reviews the global literature, the national literature, and the significant historical and theoretical influences on the study. The emerging themes and perspectives are analyzed and discussed and a summary and implications of the review conclude this chapter. In chapter three the methodology is presented. This includes a description of the subjects, instrumentation, pilot study, procedures, and data analysis. Ethical considerations conclude this chapter. Chapter four presents a discussion of the analysis and results of the study. Major principles and criteria that emerged as answers to the research questions are described and discussed. Finally, chapter five summarizes the study and provides conclusions with respect to the overall findings and purpose of the study. A discussion of the practical and theoretical implications and recommendations for further research concludes this chapter.

CHAPTER II

REVIEW OF RELATED LITERATURE

Explorations of the literature and research findings in this chapter focused on areas directly related to the research questions. Broad themes and perspectives formed the background and source from which insights were drawn. Specifically, the review followed a description and analysis of the related literature in supervision.

Five general areas of teacher supervisory trends had surfaced from the international literature. These were thought of as general approaches that have been used.

1. Teacher training/in-service education
2. Teacher centres
3. The workshop approach
4. The import-export approach
5. The bandwagon approach

After a discussion of these areas, a more focused position was drawn in order to develop six pivotal themes. These were the ideas that were common to many of the general approaches.

1. Evaluation concepts
2. Supervision concepts
3. Accountability movement
4. Effectiveness movement
5. Instructional leadership

6. Current concepts

General Trends in Supervision

1. Teacher training/in-service education:

The Council of Europe in its report, "Evaluation of In-Service Education and Training of Teachers," suggested that "formative evaluation should be given preference over summative . . . it permits a continuous adjustment" and that "teacher training activities were justifiable only in so far as they related to the requirements of the school" (Bliesener, 1980). According to this report, the importance of teacher improvement and its present state was the focus and review by representatives of 23 countries and observers from North America. The UNESCO reports of the International Bureau of Education of 1975, 1981, and 1986 remarked that the improvement of education was of highest priority in "Education and the State." In their survey comments on the "changing role of the teacher," the Bureau argued on the positive effects such changes would have on the supervision of teachers.

Bliesener (1980) in summarizing the requirements and understandings of evaluation in this report, stated the following: (a) any evaluation for teacher improvement should start from a clear understanding of the purpose for such evaluation and from an understanding of the goals of all instructional activities. And, (b) a clear understanding must be established by supervisor and supervisee that summative and formative evaluation are complementary in any attempts to help teachers to improve.

In the Soviet Union (Prokofév, 1985) teacher improvement has been stimulated through reforms in education for the past seven years. In China (Wei & Fornian, 1987), a similar focus has been observed in teacher up-grading and pedagogy. In Australia and some African countries, teacher instructional supervision is being decentralized for greater teacher involvement. However, the thrust of these efforts is through in-service training (Halloway, 1988; Tambo, 1988).

2. Teacher Centres:

Although this approach to teacher improvement has proliferated in the British Isles and in Western Europe, Bailey (1975) has described Teacher Centres as "A British First" and that knowledge created a dramatic effect on the teacher supervision movement in the U.S. (Pilcher, 1975).

According to Edelfelt and Overall (1978), a key distinction between teacher centres as a mode of in-service education and other kinds of staff development was that the personal and professional growth of the teacher took precedence over school improvement (p. 9). In Norway and Sweden, these centres were referred to as Pedagogic Centres (Redknap, 1977) and in Kenya in 1974, 74 Teacher Centres were in operation (Odhiambo, 1974).

3. The Workshop approach:

Although the Workshop model for teacher improvement is a common North American approach to personnel improvement, even in the world of industry, the literature indicated, 32 Asian and Pacific countries (UNESCO, 1985), were using that approach. According to Diamondstone (1980) therefore, the central goal of the

workshop is to "initiate systematic change in the participant's behaviour . . . to make a direct impact on children" (p. 2).

4. Import/Export approach:

In this approach, international leaders in education are lured for conference purposes in a specialized subject. The focus is on "training" of educators (Commission of the European Communities, 1983) in curricula and methodology that are inconsistent with local needs and norms (Jones, 1988).

5. Bandwagon approach:

Educational leaders continue to grasp at the fads and encourage teachers to become familiar with new techniques to improve their classroom performance. Various labels have been attached to these intellectual discoveries and supervisory suggestions," such as clinical supervision, peer supervision, micro-teaching, developmental supervision, student evaluation, formative evaluation, and summative evaluation.

The distinct characteristic of this approach is "quick-fix" or "popular strategy" towards teacher improvement. The current fads include learning styles, whole language, brain hemispherity, communicative competence in language development, and a host of other "packaged movements".

Six Themes

From the comprehensive search of the literature on trends in supervision seven common ideas were drawn. Each is discussed briefly in this section in order to indicate the various themes and the associated research questions.

Evaluation Concepts

Evaluation as an act of rating, appraising or judging seems to emerge from a need for efficiency and effectiveness. Cogan (1973), stated that "evaluation is an almost ineradicable human tendency" (p. 63). Evaluation will continue to dominate and remain as an integral part of our decision-making.

Worthen and Sanders (1973) argued that "evaluation is one of the most widely discussed and poorly used processes in today's educational systems" (p. 1). Nevertheless, evaluation has rapidly accelerated from mere inspection (Doll, 1983) and general descriptive reporting, to a highly definitive field of study. For many years, teacher-evaluation research had attempted to answer questions concerning what and how to measure when evaluating teachers.

In this theme therefore, the confusion and need for clarification have continued. These areas have been for example, the validity of subjective judgements (Foley, 1981); principal's lack of time (Savage, 1982); what should be measured or evaluated (Hall, 1980; Johnson, 1980; Popham, 1981; Redfern, 1980; Stular, 1982) and whether rating scales should be utilized (Medley, Coker & Soar, 1984; Spaulding & Spaulding, 1982; Ashton, Webb & Doll, 1983) or structured observation (Medley, Coker & Soar, 1984).

There is a growing evidence towards the refinement of teacher improvement process through evaluation (Campbell, Corbally, & Nystrand, 1983) and further evidence that there is an urgency for a more critical understanding of current progress (Scriven, 1981; Harris, 1986). Harris (1986) and Scriven (1981) both expressed that "teacher evaluation was a disaster" (Scriven, 1981, p. 244) and from

a wider perspective (Harris, 1986) expressed that "teacher evaluation can be much more than it is; more than a perfunctory checking to avoid crisis" (p. 12).

Supervision

No aspect of management has been more staggered by uncertainty and instability than the concept and practice of supervision, whether the focus was in industry or in education. The central uncertainty has been the lack of a theory of supervision and the conflicting views about it. These influences included the role of leadership, role theory, management, and administrative theory, the fluctuations in societal demands in the school, and in the historical perspectives of supervision. However, researchers have agreed that the primary purpose of teacher supervision is for the improvement of instruction (Oliva, 1989).

Historical knowledge gives insight into the nature of supervision, for we are wedded in our practice to the thought of other eras. Such a perspective also focuses attention upon what is going on today under the name of supervision. Briefly, the history of modern school supervision showed that in the first quarter of this century, supervision was dominated by a classical view of people and institutions (Neagley & Evans, 1980). Teachers were regarded as instruments that should be closely supervised to ensure that they mechanically carried out the methods of procedure determined by administrators and special supervisors. During the second quarter of this century, supervision was conceived of as the practice of human relations. This view endowed the teachers with feelings and motives but often gave less attention to their properties as reasoning beings. Presently, there are demands for a supplementary approach which would recognize the importance of both mechanisms and morale, yet stress thinking and reflection in its process. By

stressing thinking and reflection, we mean helping supervisors and teachers develop the intellectual content of their tasks, and acquiring the theories with which to relate particular consequences to the conditions which produce these consequences (Lucio & McNeil, 1979).

During the early decades of this century, the supervisory techniques of the industrial world were utilized in educational institutions. School leaders and supervisors rushed to apply these organizational principles of the "scientific management" movement to school and teacher supervision. The "best" methods of teaching were to be found, and the use of these methods was to be enforced on teachers. The role of the supervisors was to discover education "laws" and apply them through the labours of the teacher. Supervision remained as "inspection" and "traditional." Instead of inspection, the 1930's and 40's encouraged a kind of supervision that embraced the ideals of a democratic order. As a result, supervision became associated with precepts respecting human personality and the encouragement of a wide participation in the formulation of policy. Hence, supervision has continued to flounder between inspection and vitalization (Doll, 1983).

Another sphere of influence that has perpetuated a limited progress in supervision has been its ambiguous theoretical framework. Except for the attempts of Sergiovanni (1982), the literature seemed devoid of a deliberate or concerted effort toward the discovery of a theory of supervision. Much of the supervisory tenets and practices have emerged from and are allied to leadership theory and management concepts. The most critical of these theories and concepts to supervision are as follows: The trait theory suggests the recognition and nurturing

of certain personality and physical make-up for higher productivity in a leadership role. The situational theory views functions performed rather than traits. These are based on factors such as, the nature and distance of the group goals, the restoration of the group etc. In the continuum of the authoritarian-democratic theory, teachers choose their activities and methods freely, whereas in the autocratic model the teacher is ordered and is expected to follow certain traditional approaches. In utilizing the critical theory to improve supervision, the concept of leadership is focused on the power dimensions. Both the supervisor and supervisee gain a critical understanding of those processes control to the re-shaping of leadership on a more participatory and collaborative basis. From the dialectical theory, supervisors gain a perspective of leadership when all human agents are considered in the process of improvement such as, pupils, teachers, parents, principal and support staff. Other democratic influences that continue to pervade supervision are such as, the Likert's system 4T model and several others (Heller, 1986).

Accountability

Quality and excellence are not only the latest buzzwords in the educational enterprise, but have acquired greater prominence and momentum in recent years. When examined more closely, quality and excellence can be reduced to the familiar expression of "accountability" in education. Recently, the expression has been addressed in current terminology such as, school effectiveness, evaluation studies and educational supervision.

The surge of reports, public opinion and writers in the United States (Coleman Report, 1966; Austen, 1979; Gallup, 1984) and in Canada (Livingstone, 1985; Canadian Education Association, 1984) revealed that public confidence in

schools had consistently diminished. Recent studies across Canada indicated that approximately "40% of the population is not very satisfied with the public schools" (Morrow, 1985). Therefore, this third theme of accountability has expanded to dominate the recent educational literature and activity for both practitioners and academics, particularly across North-America (Levin, 1986).

Accountability has been defined as being "concerned with responsibility in some public form" (Lawton, 1983, p. 90). It implies action taken, or to be taken, through which others are able to determine whether a person, or an organization, has carried out prescribed duties in a responsible manner. With declining enrolments, the staggering cost of education, and the questioning of quality in schools by various publics (Meek, 1989), school systems have begun to address the demands not only in comprehensive school purposes and goals but also to assure that effectiveness and competence amongst the instructional staff are appropriately improved.

In order to receive society's approbation and support therefore, the hierarchical approach of a "quality control system" continue in schools and teacher supervision. It is assumed however, that the standardization of curricula and mandated evaluation policy (Alberta Education, 1987, pp. IV-5), and the establishment of a quantifiable system of measurement of goals and objectives will ensure efficiency and effectiveness. On this premise teachers will become effective instructional persons and thus increase student achievement results. However, Popham (1974) cautions us of the potential that lay in precision. Perhaps, what accountability in education suggests is that plans, goals or objectives, whether they

reflect school systems, the school or classrooms, can not continue to be obscured in generalities.

Accountability inevitably rests with all school systems. Perhaps, compounding the problem is the vulnerability of the schools to successive waves of reform by mere reaction and counter reaction, and the attendant failure of educators to reconstruct the situation in a comprehensive effort to find substantive problem solutions for educational improvement (Tanner & Tanner, 1987, p. 274).

Effectiveness

One of the most difficult problems in educational research is that of recognizing teacher effectiveness—of discriminating between more and less effective teachers. The importance to educators of being able to recognize teacher effectiveness had long been acknowledged: in fact, that was one of the first problems ever to be studied by educational researchers. As a result, "research in teacher effectiveness has been going on for almost a century. It is appropriate to examine some of the results obtained and to question why so little useful information has appeared in all this time" (Encyclopedia of Educational Research, 1982, p. 1894).

In this fourth theme therefore, the concern is primarily to elucidate what the term "effectiveness" means and its relation to "teacher competence" and "teacher performance" from which teacher effectiveness is inferred. The effectiveness literature was examined for suggestions that supported the need for effectiveness as exemplified in various conceptual models. Since "effectiveness" is the significant term in "effective supervision" which is the central focus of this study, a greater number of insights are drawn from the literature for clarification, support, and

direction. In a brief examination of the term effectiveness therefore, the following proponents and definitions are presented for analysis:

Hoy & Miskel (1987). "Typical indicators of effectiveness include group output, group morale, and satisfaction of group members" and in reference to Fiedler they argued, that this concept further agreed "on how well the group achieves its task" (p. 288).

McNeil (1982). In reference to A.S. Barr's summary of findings on effectiveness research, concluded that the continuing "problem that needs clarifying before all others is the criterion of teaching effectiveness" and that the most important "constituents of effectiveness are not found in teacher, pupil, or in situations but in the relationships that exist among the three at any given time and place" (p. 23). The nature and degree of the interaction among these variables are crucial for effectiveness.

Hersey & Blanchard (1982). In reference to effectiveness, the authors defined the term broadly; "it includes the evaluation of how well the group achieves its task as well as the psychological state of individuals and groups. In brief, effectiveness is a function of productivity and performance, the conditions of human resources, and the extent to which both long and short-term goals are attained" (pp. 106-124). In short, the performance, motivation and leadership skills, combined with increased production and organizational development are critical variables in effectiveness.

Medley (1982). "Teacher effectiveness . . . refers to the results a teacher gets or to the amount of progress the pupils make towards some specified goal of education" and "teacher competence" refers to the set of knowledge, abilities, and

beliefs a teacher possesses and brings to the teaching situation" while "teacher performance" refers to the teacher behavior of a teacher while teaching a class" (p. 1894). In summary, effectiveness results from teacher expertise and teacher behaviour and the productivity of students towards an objective.

Berliner (1984), argued that "the congruence between the delivered curricula and desired outcome is a good predictor of teacher effectiveness" (p. 2). A high relationship between goal-expectations and goal-achievement is a determiner of effectiveness.

Lawrence (1986), stated that the school effectiveness movement had received an extraordinary amount of attention in the United States, as expressed in nine major reports and 700 guidelines (Spady & Marx, 1984). In some quarters of Australia, Duignan (1985), remarked that "by isolating schools from their social and political context it can find only factors which is none too subtle ways to induct students into the status quo and the prevailing school culture. In short, the differences that effective schools claimed to make, made little difference to the life chances of pupils" (p. 17). In short, the claims of effective schools have focused excessively towards the achievement of specified goals, establishing high expectations and time-on-task criteria so that schools provide limited experiences for students whose needs are for greater pragmatic opportunities and occupational orientations.

Cuban (1984). In presenting a critique of the school effectiveness research, he argued that this approach was severely limited, especially, by its employment of top-down strategies to achieve, essentially, the extremely narrow goals of raising test scores (pp. 129-151). If therefore, a hierarchical approach was utilized (as has

been historically) to raise student's achievement, then there exists a serious weakness and perhaps a misleading perception of effectiveness as applied to "effective schools".

In the school effectiveness movement educators and educational leaders had too long wrestled with statistical data in the study of this school phenomenon—school effectiveness. An inordinate reliance had led to fear of creativity, innovation and risk-taking, that were the ingredients for effective educational leadership and successful schools. Houlihan (1988) predicted that, "If we are not perceptive enough to change with change, we will surely disappear" as institutions (p. 120). However, terms such as "strong leadership", "positive school climate", "high expectations", and "clear focus" suggested a strong emphasis on intangible modes of explanation of school/organizational analysis and effectiveness. Rutter (1979) in an analysis of inner-city schools in London, England found that school effectiveness was not related to physical aspects, demographic patterns or socio-economic factors. Rather, school effectiveness was related to what occurred inside those buildings—the qualitative functioning of level of expectation and school climate. The intangible variables far out-weighed the tangible, traditional modes of explanation. Thirteen characteristics in Rutter's findings supported the vast effective schools research data—that schools did make a difference. Therefore, the fears which were generated by the Coleman Study (1966) and Jencks Study (1973) were quickly allayed. The Rutter study (1979) "demonstrated the potential usefulness of studying the methods of schools" (Goodlad, 1984, p. 17).

In a summary of the recent research on school effectiveness Reid, Hopkins, & Holly (1987), presented the following general and research findings. The

general findings were examples of the over-all observations in the effectiveness movement pertaining to schools, while the research findings pointed specifically to the "what" in effectiveness that have a direct influence.

The following three findings were considered as observations in general as regards effective schools. These suggest the inconclusive nature of the effectiveness movement.

1. There was no simple combination of variables that would produce an effective school (Brookover, et al., 1979). Every school was unique, a miniature society (Shipman, 1976).
2. The literature was also deficient on how schools could be altered in order to make them more effective (Reid, et al., 1987). Researchers had been unsure what to recommend (Purkey & Smith, 1983).
3. Limited information and methodological difficulties inherent in school differences and school effectiveness presented major constraints (Gray, 1981; Reynolds & Reid, 1985).

It was found that eleven emphases lead to effective teaching, effective learning, and effective schools. These were organized as follows:

1. Instructional leadership
2. School management
3. School climate
4. School discipline
5. Methods of instruction
6. Student-centred curricula
7. Student care

8. School reading program
9. Student learning
10. Building appearance
11. Small school population

Leadership

More than any other, the currents of accountability and school effectiveness (Sergiovanni & Starratt, 1988) have obviously begun to redirect the focus of educational effort, and simultaneously redefine the roles and responsibilities of superintendents of school systems, principals, consultants, and supervisors in the educational arena. In accommodating this signal and current fifth theme towards this leadership call was the clamour for the instructional leadership in schools to be relegated to principals so that the urgency and somewhat frenzied demands on them could become less ambiguous and this leadership role could be accomplished with a finesse of commitment and professional refinement and praxis (Goodlad, 1979; Ruthford, et al., 1983; Watkins, 1986; Harris, 1986; Best of ERIC #91, 1987; Duttweiler & Hord, 1987; Floden, 1987). Simply, the ambiguity that currently exists in the role of the principal can be minimized substantially if the instructional leadership is assumed by the principal. Instruction then, can be directed, implemented and monitored more effectively in reference to instructional goals with greater understanding, dedication and practical involvement. Ambivalence and skepticism however, would continue to exist towards this leadership call in supervision (Ubbén & Hughes, 1987) amidst the prevailing conceptions (Hoyle, 1974) of the principal.

There has emerged from well-documented failure of past effort of a vast proportion of such program improvement initiatives for principals (Fullan & Pomfret, 1977; Goodlad & Klein, 1970; Gross, Giacquinta, & Bernstein, 1971; Smith & Keith, 1971). There has also emerged a growing accumulation of research that has identified factors associated with success. Reviews of research (Austin, 1979; Averch, 1971; Reinhardt, et al., 1979; Sikorski, 1976), large-scale evaluations of federally funded change projects (Berman & McLaughlin, 1978; Emrick, 1977) and clinically oriented investigations of educational change (Goodlad, 1975; Gross, Giacquinta, & Bernstein, 1971; Sarason, 1971) have coalesced in support of the school principal as a potentially critical determinant in the success of school improvement. Interestingly however, only a small proportion in this role seemed to realize this potential. Available data suggested that about 50% of elementary school principals actually attempted to assist the teacher in improving instructional programs (Berman & Pauly, 1975; Blumberg & Greenfield, 1980; Leithwood, Ross, Montgomery, & Maynes, 1978). Those who would provide such assistance confronted pervasive norms of teacher autonomy (Deal & Celloti, 1980; Dreeben, 1973; Lortie, 1975; Packard, 1976; Warren, 1975) and minimal direct control over those aspects of classroom life that teachers found most rewarding. However, some principals were successful despite these obstacles. What were these obstacles which confronted principals and supervisors from conducting effective supervision? Five distinct problems became evident from eighteen of the studies reviewed.

Teachers were identified as lacking knowledge and skills in new practices as well as presenting uneven backgrounds of professional training (Goodlad & Klein,

1970). Therefore, the problems that confronted principals were as follows: They were identified as those who lacked knowledge and skills; teachers who operated without a clear educational philosophy, of teaching and educational goals; they were deficient in skills such as, lesson planning, lesson presentation or evaluation of students' progress; many lacked the experience of a common core of professional studies in their teacher-training (Goodlad & Klein, 1970).

Lack of motivation for change or disincentives in teachers emerged as critical problems for principals and supervisors (Goldhammer & Becker, 1971; Dow & Whitehead, 1984). Goodlad & Klein (1970) identified the problem as general resistance to change for instance, resistance to use new programs. Resistance to participate in in-service opportunities and to engage in collegial and collaborative planning were also identified. Several studies (Warren, 1976; Deal & Cellotti, 1980; Hawson, 1976-77) characterized this resistance as a function of the professional autonomy of teachers, the loose-links between classroom and the school-level decision-making which had been attributed to lack of effective supervision (Dreeben, 1973), and the predominantly intrinsic reward structure of teaching (Leithwood & MacDonald, 1981; Lortie, 1975). Therefore, teachers' classroom behaviors were shaped first by the perceived needs and interests of their students and only after by factors psychologically and physically more distant from the classroom. Therefore, teachers perceived their principal to be one of such distant factors of influence. Crowson and Porter-Gehrie (1980b) and Lorzeau (1977) also cited collective bargaining and resulting teacher unions as major problems affecting classroom-level decisions. Therefore, the scope of principals'

discretion and ambitious attempts for improvement in programs and teacher supervision became impeded.

As regards the principal's role, there were considerable data to support the argument that the role was ambiguous and complex. Principals did report an excessive routine with paperwork, management tasks, and house-keeping chores leading to work over-load (Houts, 1975; Lorzeau, 1977). Scarcity of time to attend to and accomplish desired tasks (Lorzeau, 1977; Pellicer, 1982) such as teacher supervision, formed part of this complex role. Both characteristics had been very significant problems for both principals and supervisors but more so, to the principal. Role ambiguity was identified by Blumberg and Greenfield (1980); Reinhardt, et al., (1979); Lorzeau (1977); Houts (1975); and Wolcott (1978). Ambiguity manifested itself as unclear goals and expectations and no viable rationale or defensible criteria to evaluate principals' performance were available. However, in a study of 42 successful principals in various localities, principals were considered pivotal to the elements of a "constellation of factors" in supervision as described in Figure 3.

Further, incumbents created problems related to program improvement stemming from their own lack of knowledge and skills (Jacobson & Marshall, 1984; Drake & Miller, 1982; Burlingame, 1985) and motivation. For example, principals demonstrated a limited view of the larger educational system (Sarason, 1971). Problems presented to the principal were four-fold. For example, from the district-level, excessive hierarchical and complex inter-dependencies among various roles made change difficult (Warren, 1976). In contrast, Weick (1976); Deal and Cellotti (1980) and Peterson, (1977-78) characterized schools and school systems

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Figure 3. The Principal's Role in Instructional Management. [Adapted]

Source: "The search for instructional leadership" by D. Dwyer (1984).
Educational Leadership, 4 (5), 32-37.

as loosely-coupled, (problems in one segment automatically affect other segments) and cited this organizational structure as an obstacle for change. District priorities, policies, and procedures had been cited by Goodlad and Klein (1970) as a second class of problems. Principals reported that procedures for the evaluation and dismissal of teachers were excessively elaborate and time-consuming (Crowson & Porter-Gehrie, 1980b). It was evident also that failure of school districts to provide adequate resources in support of program improvement (Dow & Whitehead, 1984; Goldhammer & Becker, 1971) and very conservative Central Office administrators who ignored initiatives (Berman & McLaughlin, 1979; Warren, 1976) were major constraints to effective supervision. As regards problems from the community, Goodlad and Klein (1971) and Goldhammer and Becker (1971) directly identified problems associated with parents or the larger school community such as pressures from special interest groups of the community and excessively conservative views on the part of communities about the nature of school programs.

Several relatively unambiguous dimensions of the effective instructional leader, especially the principal, had emerged. For example, principals were engaged in goal-setting (Staveland & Stern (1981); "assertive, achievement-oriented leadership" (Shoemaker & Fraser, 1981, p. 180; Jackson, Logsdan, et al., 1983); and involved themselves closely in matching teachers with students whose learning styles were compatible with the teacher's teaching style (Bredo, 1977; Dunn & Dunn, 1986). Effective instructional leaders they further argued, established cooperative interpersonal relationships and frequently encouraged real, rather than symbolic participation, within well-established guidelines and structures of decision-making. Instructional leaders provided teachers with adequate planning

time and their own monitoring of classroom progress was practised. They provided feedback to staff about such progress and secured professional development resources as needed.

Blumberg and Greenfield (1986), argued that a more specific description be attributed to the terms such as "administering" and "leading." The former denoted "to not deviate from established norms in any significant way so that structured operating procedures and inter-personal relationships are not upset" while the latter signified "the process of influencing others to do things differently (p. 166). According to Nixon (1982), leading was "to do the right thing not merely doing it right." Peters (1985) in *A Passion for Excellence*, argued that "managing" and "management" (which were synonymous to "administering" and administration) should be discarded. "Management connoted controlling, arranging, demeaning, reducing and leadership connoted unleashing energy, building, freeing, and growing" (p. xix). Peters agreed that our "organizations are over-managed and under-led". In his *In Search of Excellence*, leadership was described as "loose-tight," where visions were simple and clear as were the shared values. There was room for autonomy, creative expression, love, care and empathy a "visceral form of spiritual energy" (p. 409). Harris (1969) described effective leadership as responsive (pp. 36-37). Those who assumed direct responsibilities for instruction would be expected to create and initiate change and innovation. Of course, this attempt would require further change or "leadership" in the establishment of effective evaluative and supervisory measures. Management and administration may be an integral part of leadership but alone they are no substitute for leadership.

Since instructional leadership seems to focus with greater intensity on the school setting than the central office, on principals rather than superintendents, what then, do researchers and proponents suggest? "The most consistent finding in school effectiveness research was the importance of the principal's strong leadership role," argues Dufour (1986). In an examination of over 400 research reports, there were indications that the most powerful predictor of instructional effectiveness was leadership style or methods of influence (Guild & Garger, 1985). Further, the research indicated that principals with strong leadership qualities (Hord & Hall, 1984) were those who expressed and adapted administrative and supervisory practices based on expertise (Balderson, 1975). They tended to be pivotal persons in bringing about school improvement (Irwin, 1985). In a survey of 426 teachers in 41 Canadian schools, Myer (1974) found that the reason teachers acquiesced to principals' demands was their perception of the principals' expertise rather than any rewards or punishments. The implications were therefore, that principals could no longer control others through the application of pure power. They must rely on expertise and influence—technical knowledge and leadership style to convince others to work with them. Goldhammer and his colleagues (1971), as cited in Mazarella (1976), concluded from their substantive study "principals can determine whether a school is a success or failure or . . . a "beacon of brilliance" or "pothole of pestilence" (p. 9). This expertise alluded to was characterized by other researchers as, technical skills, human skills, educational, symbolic and cultural (Ubbén & Hughes, 1987, p. 22; Sergiovanni, 1984, pp. 4-13).

In suggesting change and innovation for effective leadership, Thomas (1975) argued that there was definite need to avoid the piece-meal attempts that never get to the root of the problem and strongly advocated (a) altering the school's properties in some basic way so traditional bureaucratic approaches will be more congruent with them; or (b) developing alternative models of organization which are a better fit and give guidelines for improving school functioning (p. 63). Therefore, in support of Balderson's (1975) proposal of "expertise", Thomas further suggested that "the application of the model to effect change depended to a large extent on the administrator's knowledge of organizations and change theory" (p. 64). Harris, McIntyre, Littleton, et al., (1985) further affirmed, "those involved in personnel administration must respond to the need for quality . . . in both orientation and technique" (p. ix).

Some researchers suggested that instructional leadership entailed specific action, insight, and vision. These included increasing morale (Reavis, 1986) training and practice (Reilly, 1984) and visions that translated into meeting the needs of students and teachers and the establishment of clear goals for their schools (Rutherford, 1985). These should be attempted in an atmosphere of support (Sweeney, 1982) and careful and continuous assessment (Snyder, 1983).

From this multitude of research findings, and leadership proposals, what could the instructional leader as supervisor of instructors and instruction follow? What then, would be effective supervision? Can effective supervision evolve from a practice of instructional leadership?

Collateral Fields

In this sixth perspective therefore, the related literature was drawn from several collateral fields and theoretical influences that had implications for effectiveness in the practice of teacher supervision. Of several recent studies that had emerged from these collateral contributions, the landmark research presented by Peters and Waterman (1982) and Peters and Austin (1985) suggested that if quality outcome was our educational vision, then input factors and process orientations must be considered imperative in all our efforts. The call for a harnessing of the human power and its skillful manipulation through encouraging and emulative processes was suggested. In a similar expression of ideas, James Lewis Jr. (1986) in *Achieving Excellence in our Schools* suggested that,

The organizations of the best-run companies are organic and entrepreneurial instead of mechanistic and bureaucratic. They are less planned, less rigid. . . . One of the essential differences between the best-run companies and the "others" . . . best-run companies start with their people, trusting them as human beings and trusting their capabilities and their potential. In essence, they are people sensitive (p. xvi).

Summary of Related Literature

From a comprehensive review of the literature, the following were the most significant features. Firstly, the international literature suggested a broad range of practices that were being utilized towards teacher instructional improvement and competence. The inferences from those practices further suggested two fundamental understandings (a) The focus continues to rely on "teacher training", the acquisition of technology and methodology rather than a shift to "teacher growth and development" through a continuous and systematic assistance. The dominant

approach to assist them. Currently, is characterized by "doing something to or for teachers." Secondly, teacher supervision and evaluation continue to be dominated by a centralized pool of experts from Central Offices and Boards of Education whose established policies, guidelines and procedures are developed for principals and teachers. Input from the field towards these regulations remains minimal.

Thirdly, the seven perspectives that emerged from the literature and have been described in this report, directed our attention to critical variables that indicated their high inter-connectedness towards the improvement of teacher supervision and evaluation programs and policies. Perhaps, the current ambiguity and hiatus lay between "what" was attempted or accomplished for teachers—the perceived need and "what" was meaningful and relevant to teachers in their daily tasks—the actual need. Therefore, amidst this current state, the need to investigate what is "effective supervision" has even become more critical and of paramount importance.

CHAPTER III METHODOLOGY

Introduction

In this descriptive study, the purpose was to determine what was effective teacher supervision. This was accomplished by identifying and examining the current thought and practice in teacher instructional supervision.

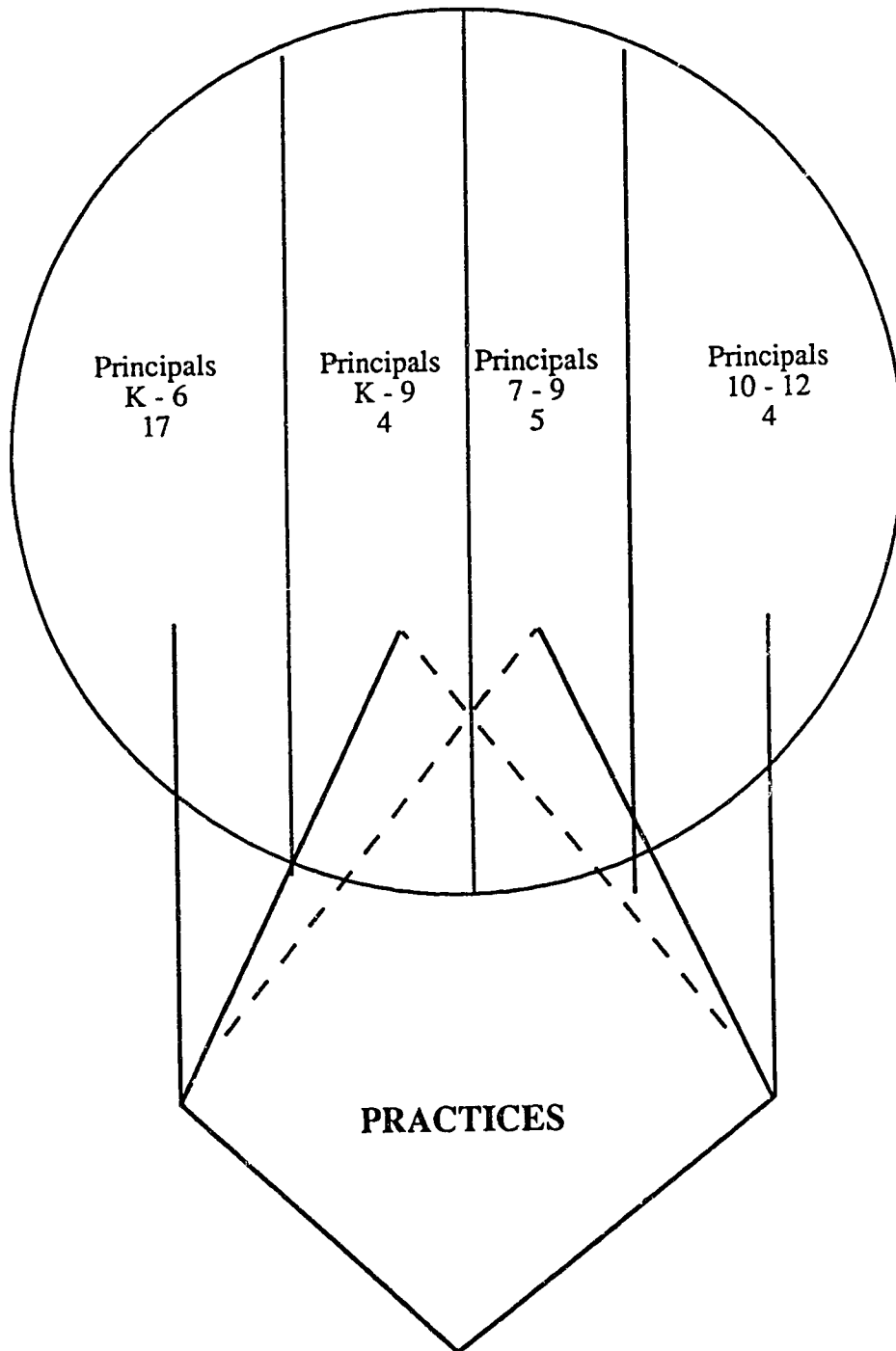
A survey method was employed in this study. It is a "method of systematic data collection" (Borg & Gall, 1989, p. 416) which describes and explains (Jackson, 1988) the nature and extent of the phenomena under study. The study was guided by the theoretical framework (De Vaus, 1986) as illustrated by Figure 2 which concluded that effective supervision was the result of a combination of a complex set of variables—institutional, theoretical and human and when acting in balance they exhibited effectiveness.

Subjects

The selected population consisted of 82 schools (elementary, junior high and senior high) of Edmonton Catholic Schools. Ten schools were excluded from this population since the principals were participants in the pilot study. A stratified random sample of 30 principals was selected from the population.

Instrument

The rationale for the selection of the interview guide was based on consideration of time, cost, ease of administration (Lawler, et al., 1980), accuracy of responses, and clarity of information. It was pilot tested on a group of ten



Congruency
with current scientific concepts

Figure 4. Constituents of Sample

principals from the Edmonton Catholic Schools to improve its validity and reliability (Gordon, 1930; Gay, 1987; Brenner, et al., 1987; Borg & Gall, 1989). The pilot test resulted in revisions to the interview guide. This revised instrument was used in the collection of data.

Pilot Study

According to Lawler et al. (1980), the purposes of a pilot study are (a) to determine the clarity of items and to reveal ambiguity and confusion in the wording of questions in areas where knowledge is lacking, (b) to determine the distribution of responses to the items in order to examine the discriminable probability of the items, (c) to reveal whether particular topics or questions were reasonable or practicable, (d) to note indications of reasonable time and the length of the instrument, (e) to consider the facility in coding for data analysis, (f) to increase facility in administration of the interview guide, and (g) to assess the over-all comprehensiveness of the instrument.

In order to achieve these purposes, the 15-item draft interview guide that had been informally pre-tested on principals from the Department of Educational Administration was piloted with ten randomly selected school principals from the population of 82 principals in the school jurisdiction. These ten were excluded from the final research sample. For this pilot, the schools were grouped into strata of K-6; K-9; 7-9 and 10-12.

Procedure

Prior to the conduct of this study, clearance was obtained from the Ethics Review Committee of the Department of Educational Administration of this

university. The data collected consisted of interview data as well as policies from Alberta Education and the Edmonton Catholic School Board. The policy documents are included in Appendices D, G, H, I, J, and K.

In conducting the interviews, the following steps served as a guide. Prior to the actual interviews, respondents were informed by telephone of their selection. Participants were offered the option to participate or withdraw during the interviews. A commitment was requested at this time. Interview time schedules were agreed upon between the researcher and the participants.

During the interview, a questionnaire was given to each respondent. The interviewer read the questions orally and respondents marked their answers. The rationale for this approach gained support from the pilot study. It was observed that when respondents followed the interview guide silently, there were fewer misunderstandings in what was required. The interviewer recorded open comments verbatim. During each session, the interviewer's role was non-directive and provided enhanced clarification. No opinion was offered. At the close of each session, respondents were offered the opportunity to make further comments which were noted for use in the analysis and interpretation of the data.

Data Analysis

Another stage in the research procedure was the analysis of the data. The following is a description of procedure and a diagrammatic plan (see Figure 5). This figure indicated that the over-all process was the matching of the literature data with the field data. The purpose was to find a consistency in order to determine the

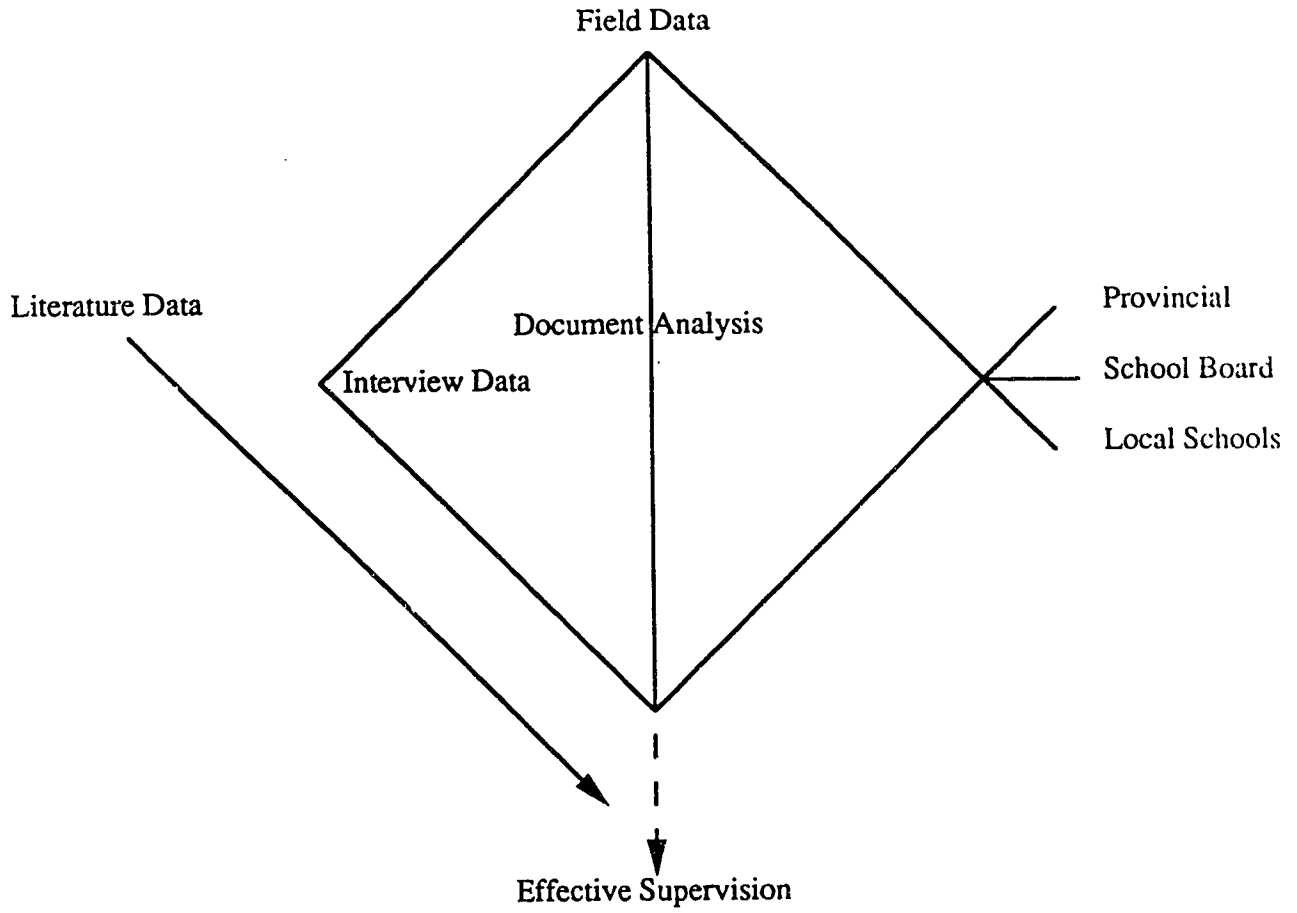


Figure 5. Directions of Analysis

effectiveness of supervisory practices, the effectiveness of supervisory policies, and the effectiveness of supervisory methodology.

The data analysis procedures of this study consisted of the following. The data extracted from the literature were analyzed by a content analysis method. This is a technique that is used to analyze objectively the content of written as well as verbal interaction (Krippendorf, 1980). Holsti (1969) concluded that content analysis may be quantitative or qualitative. In this study, content analysis was utilized as a method of analyzing and identifying the presence of significant categories of content in selected policy documents of supervision and evaluation of an urban school system and of Alberta Education. The purpose was to substantiate that the three supervisory principles, the seven elements of a good policy structure, and the five criteria of a good policy of teacher supervision were fundamental to all current concepts and models. The data extracted from the field were collected from interviewing 30 school principals and from policy documents of supervision and evaluation from the Edmonton Catholic School Board and Alberta Education. The data from both sources were content-analyzed and frequencies and percentages were derived.

Summary

The procedure consisted of the following. Firstly, a comprehensive search of the literature was conducted in order to discover current principles of teacher supervision, elements of a good policy and criteria of effective supervision policies. Secondly, data were gathered from documents of supervision policies through a content analysis and an analysis against the literature data. Thirdly, data on

concepts, policies and practices from the field were gathered from 30 practising school principals by conducting interviews. These data were analyzed against the literature data.

CHAPTER IV

DATA ANALYSIS AND RESULTS

Introduction

The analysis and findings that resulted from this study were guided by the research problem and its associated questions. The following constituted the procedure in this process. (1) Three principles of effective supervision that emerged from the literature were employed for the analysis of concepts of supervision. (2) Elements of a "good policy structure", and criteria of an "effective supervision policy" were determined from the appropriate literature. (3) Data from the interviews were analyzed according to the three principles of supervision and also with the criteria of a good policy. (4) Practices and beliefs of school principals as regards the concept of supervision, policies, and practices of supervision in their individual schools were analyzed according to the three supervision principles.

Figure 6 illustrates the stages of the over-all analysis. Stage I describes the major aspects of the research problem that were analyzed. Stage II describes the research questions that emerged from the problem and were responded to throughout the study. Stage III indicates the source of data for the research questions and Stage IV describes what were the findings of the analysis of the data.

Figure 6

Stages: Problem to Findings

Problem: To investigate effective supervision by an analysis of concepts, policies and practices

Problem Focus I	Question No. II	Data Source III	Findings IV
Analysis of Concepts	#1 and a-f	Literature	a) 3 principles b) 7 good policy elements c) 5 criteria of effective supervision policy
Analysis of Policies	a, c, d, f	Policy Documents	Support for a) structure of good policy b) effectiveness of policies
Analysis of Practices	#1 and a-d, f	Interviews	Support for a) congruence with sup. concepts b) congruence with policies c) congruence with practices

There were three principles that occurred prominently in the search for "effective supervision." These three principles were utilized in an analysis of the data from policies and practices. The three principles were (a) Instructional leadership, (b) Instructional contextuality and (c) Instructional methodology.

Principle I: Instructional leadership is critical to teacher competence and confidence

After two decades of the education spotlight on teaching strategies, new curricula, organizational innovations, and various special programs, in the last few years the education spotlight has reverted to the principal. Much of the earlier

research, for example, did not examine the principalship, but some particular program or innovation. According to Harris (1977), that emphasis was on instructional change. Campbell (1977) reinforced that notion that instructional leadership, "embodies diverse professionally trained persons involved in and responsible for the schooling and education process . . . in terms of affecting the learning environments that intimately involve the teacher" (pp. 11-14).

The following is a list of the instructional leadership principles from the literature.

Administrative and Leadership Qualities:

- a) "Effective principals are a combination of proper training and development" . . . and the product of better selection (Yukl, 1982, p. 11). Of the former, Sergiovanni and Starratt (1983) described as part of the tactical and strategic requirements of leadership (p. 197).
- b) Smyth (1980) argued that the principal did not need to have as much specialized academic knowledge as individual teachers, but . . . was an expert in pedagogical practice, curriculum planning, analysis of learning processes, and program implementation (p. 3).
- c) Convincing evidence from researchers indicated that the positive effect of strong administrative leadership is an element of effective instructional leadership (Murphy, Hallinger, Weil, et al., 1983; Sweeney, 1982). These included (Murphy et al., 1983), as (i) "type of principal activity, (ii) functions employed by the principal and (iii) organizational processes used" (see Figure 7).

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Figure 7. Instructional Leadership: A Conceptual Framework

Source: Murphy, J., Fallinger, P., Weil, M., & Mitman, A. (1983). Instructional leadership: A conceptual model. Planning & Changing, 14 (3) 137-139.

d) Persell and Cookson (1982) identified, in 75 research studies and reports, "nine current behaviors that good principals display" towards instructional leadership. These were as follows (p. 22):

Demonstrating commitment to academic goals—clear vision, long-term goals and a role model of commitment (Leithwood & Montgomery, 1984).

Creating a climate of high expectations—teachers held responsible for pupil learning and a tone of respect set by principals (Brookover, et al., 1977).

Functioning as an instructional leader—directly involved in instructional policy (Fullan, 1981) encouraged and supported teacher's attendance at workshops (Brookover, et al., 1977) and stressed teaching strategies and behaviors to achieve expectations (Levine & Doll, 1971).

Being a forceful and dynamic leader—exhibited high energy levels (Egerton, 1977), and took charge, and wished to make the school over in his/her own image (Rosenblum & Jastrzab, 1980).

Consulting effectively with others—Hargrove, et al., (1981) concluded that principals followed a leadership style of "authoritative-democratic" style, building coalitions of support, encouraged genuine exchange by all stakeholders, (Smyth, 1986; Henry & Kemmis, 1985), strong, decisive and always in control. According to the NIE (1978), effective principals were responsive to both teacher and student input in regards to decision-making and school policy.

Creating order and discipline—effective instructional leaders minimized factors that disrupted learning by initiating structure of order and standards (NIE, 1978; Rutter, et al., 1979), positive support (Rosenblum & Jastrzab, 1980) and facilitated collegiality among staff (Hargrove, et al., 1981).

Marshalling resources—procured and harnessed human and material resources to further the central objective of pupil achievement and school progress and success (Edmonds, 1979).

Using time well—instructional leaders were visible and perceived as involved and not in their offices (Brookover, et al., 1977; Rosenblum & Jastrzab, 1980; NIE, 1978).

Evaluating results—student progress was evaluated in relation to student goals for achievement (Edmonds, 1979; Venezky, 1979). Principals visited classrooms and gave feedback to both students and teachers more frequently (Dombush & Scott, 1975; Katz & Kahn, 1976).

Strong administrative and leadership qualities not only mobilize available resources in order to successfully implement policies but lead to desired outcomes of effectiveness in instructional leadership, teacher instructional improvement and competence and student achievement (Persell & Cookson, 1982).

This second principle that follows delineates what is instructional contextuality its evolution, the nature of trends and future implications for effective supervision.

If teachers are to be effectively supervised (helped), then the specific "context" in which they operate should be understood (Schein, 1980). This

contextuality is beyond the mere physical environment. Contextuality refers to the technical, physical, emotional-psychological, and social-moral atmosphere of operation. Therefore, supervision should be context-specific and not merely teacher-specific or subject-specific.

Principle II. Instructional contextuality is a major characteristic in the establishment of meaningful and relevant teacher supervision for instructional competence.

In the examination of instructional contextuality, five major aspects of that principle surfaced namely, a) a scientific management contextuality, b) a human relations contextuality, c) a neo-scientific contextuality, d) a human resources contextuality, and e) an ecological contextuality.

a) *A scientific movement contextuality* that appeared today in teacher supervision had had its origin in the Taylorian concept of management that stated, "the principal object of management should be to secure the maximum prosperity for the employer coupled with the maximum prosperity for each employee" (Pugh, Hickson, & Hinings, 1986, p. 133). The effort of the supervisor in that context was to concentrate on work efficiency. Today, that pioneering endeavor has led us into a relentless search for the significant variables in the science of teaching and its concomitant behavioral influences on learning. However, McNeil as cited in Sergiovanni (1982) expressed much disappointment in the research effort for "not having determined teaching effectiveness nor the methods by which pupils best learn" (p. 18) after approximately half a century. Doyle (1977) had called for a fundamental conceptual reorganization of research on teaching on the grounds that

"present variables found to be associated with achievement, such as time-on-task, led to spurious interpretations" (pp. 51-55).

Traditional scientific management contextuality represented the autocratic philosophy of supervision where institutional goals and public demands for standards were clearly defined in narrow prescriptions. "Teachers are viewed as appendages for control, accountability, and efficiency" (Sergiovanni & Starratt, 1983, p. 3) that remained the focus of supervision. "The psychological or personal aspects of the mobilization of human effort were ignored" (Campbell, Corbally, & Nystrand, 1983, p. 54) In such a context, supervision became the scientific management of teaching. Eisner (as cited in Sergiovanni, 1982), revealed two inherent fallacies in that attempt:

1. *Fallacy of additivity*: The cumulative effect of all aspects of teaching was an index of quality teaching and "the quality of the content of interaction" was sacrificed.
2. *Fallacy of composition*: "The whole is equal to the sum of its parts". That was based on the presence of discrete characteristics that were rated by observers. Excellence in teaching was supposed to be indicated by having high scores on all those characteristics, not realizing that the whole was different than the sum of its parts.

Eisner directed our attention further to several less significant fallacies when supervisors operated in such a context e.g. *fallacy of concreteness* (exclusive referent of observation was the manifest behavior of the student); *fallacy of the act* (too precision-oriented for the classroom environment); *fallacy of method* (neglect of process—conditions and criteria that were immune to researcher instruments

were omitted (pp. 55-57). That contextual orientation to teaching and supervision therefore, failed to appreciate the fact that teachers needed a sense of pride and satisfaction.

b) *A human relations contextuality.* A context that emerged not in entire opposition but, as a modification of the scientific management practice in supervision was the human relations movement. It appeared as a result of research in industrial management e.g. the Hawthorne Studies of Elton Mayo and other Harvard researchers and the Mary Parker Follett Papers on the human side of organizations. The fundamental problem they raised was that, in all organizations, developing and maintaining dynamic and harmonious relationships were crucial. Unlike the scientific management approach which was as a result of autocratic beliefs and values, the human relations approach had its genesis in a democratic vision.

Characteristically, "teachers are viewed as 'whole people' in their own right rather than as packages of needed energy, skills, Supervisors work to create a feeling of satisfaction among teachers by showing interest in them as people Participation is to be an important method 'Personal feelings' and 'comfortable relationships' are the watchwords of human relations. It is assumed that a satisfied staff will work harder and will be easier to work with, to lead and to control" (Sergiovanni & Starratt, 1983, p. 3). Therefore, the human relations approach tempers the concentration on organizational structure and predictability of outcomes with an emphasis on personal motivation, satisfaction, and group morale. In sum, "the human relations supervisor like the task-oriented supervisor has an

increase in school effectiveness as the goal with teacher satisfaction as the means to the goal" (Oliva, 1989, p. 388).

However in practice, the human relations context of supervision fell in disrepute as a result of misunderstandings of its intentions and a laissez-faire implementation. Supervision became "keeping teachers happy" and supervisors became "simply" resource people who had no authority. Roles, responsibilities and authority remained unclear and there arose widespread poor communication between the Central Administration and local schools (Lovell & Wiles, 1983).

c) *Neo-scientific contextuality*. As a reaction to the dysfunctions of the human relations movement of supervision, organizational theorists such as Etzioni, March, and Simon developed a more structured view. This was built on the concept of the Weberian bureaucracy that was characterized by a "hierarchy of authority, impersonalization of management, tasks achieved through fixed positions of structure and control maintained through general rules" according to Blau P. (as cited by Lovell & Wiles, 1983, p. 35). That effort to combine the critical features of scientific management and human relations was termed the neo-scientific management and its proponents were Douglas McGregor, Warren Bennis, Chris Argyris, and Rensis Likert (Sergiovanni & Starratt, 1983; Lovell & Wiles, 1983).

Unfortunately, teachers did not accept this "context" for in it was concealed many of the accountability and efficiency elements which they had previously avoided such as, "teacher competency", "performance objectives" and "cost-benefit analysis". The rationale of this "context" was if clear standards can be identified and established, then the performance of teachers can be controlled by holding them accountable to these "standards", and thus ensure better teaching.

d) *A human resources contextuality*. The distinction between the human relations context of supervision and the human resources context is critical. Although both were concerned with teacher satisfaction, human relations-oriented supervisors adopted, shared decision-making in order to increase teacher satisfaction whereas the human resources-oriented supervisor utilized shared decision-making to improve school effectiveness which, hopefully increased teacher satisfaction. Simply, the human resources "context" harnesses and capitalizes on the skills and potentials of individuals in problem-solving and decision-making. The human relations context focuses on creating and maintaining an atmosphere of goodwill and satisfaction. "Human resources represent a higher regard for human need, potential, and satisfaction" (Sergiovanni & Starratt, 1983, p. 5; 1988, p. 11). Castetter (1981) in commenting on the future direction of the personnel function stated that:

Modern thought in personnel administration emphasizes the human resources as well as the human relations approach to the solution of human problems. This viewpoint includes, among other values, careful attention by the organization to goal formulation, clarification, adherence, and internalization, as well as development of plans within the personnel function for improving interpersonal relationships, for seeking better methods of resolving conflict, and for increased mutual understanding among system personnel (pp. 6-7).

The significant characteristics of the human resources contextuality can be summarized as follows:

- 1) Organization members are important sources of ideas, problem-solvers, decision-makers, and controllers. The purpose of participation is to utilize those human resources to improve organizational decision-making, performance, and control. Miles, M. (as cited in Lovell & Wiles, 1983).

- 2) "Organizational members need recognition, creative work, and satisfaction of work well done, and the organization's need for highly motivated workers." (Lovell & Wiles, 1983, p. 38).
- 3) Two basic dimensions of an organization's human resource orientation are concern for people and concern for performance. (Hoy & Miskel, 1987; Doll, 1983).
- 4) Supervisors work with teachers towards achievement of loyalty to the group, commitment to the organization, positive attitudes towards their jobs, mutual trust, and effective communication within the system. (Oliva, 1989).

Finally, Sergiovanni & Starratt (1988), concluded that the human resources contextuality "is founded on beliefs about human nature that centre on human beings as active, responsible and growing persons. It is exercised with a conscious understanding of organizational dynamics. Its logic and intelligibility are rooted in an educational vision and platform that is both personal and yet legitimated within educational tradition" (p. 432).

Principle III. Methodology for effective instructional supervision employs research-based models that would satisfy the differentiated technical and psycho-social needs of teachers.

Current models of prominence from the educational literature are as follows:

1. *The Harris Models (1985).*

The Ten Tasks Model suggested that supervisors should follow the sequence that was drawn from six operational processes such as, assessing, prioritizing, designing, and allocating resources. The data from those that

should influence the change process for teachers, would be categorized into 10 tasks e.g., organizing for instruction, developing curriculum, and providing instructional staff (p. 13).

The Six Orientation Model was developed along a tractive-dynamic continuum. Tractive was characterized as resisting, enforcing, and codifying and dynamic as up-grading, restructuring, and redesigning. Those rate as dynamic were oriented towards continuity and change (p. 24).

The Three-loop Clinical Cycle was a plan for making changes, trying alternatives, and hence teaching that was essentially changed—hopefully improved. That model was viewed as a self-improvement process or an instrument for data collection and feedback for teacher practice. That model helped to overcome some of the weaknesses of the classical clinical model (see Figure 8).

2. *The Oliva Conceptual Model (1989)* The conceptual design of this model conveyed the notion that supervision was both dynamic and service oriented. The model suggested that supervisors played four major roles e.g., coordinator, consultant, group leader, and evaluator in three domains of instructional development, curriculum development, and staff development. (see Figure 9).

3. *Clinical Supervision Model (Goldhammer, Anderson, Krajewski, 1980)*. Although that model had depicted some basic and rather distinct features, in practice several modifications were employed to meet individual contextuality. However, its major clinical tenets remained as follows. It,

- a) was a technology for improving instruction
- b) was a deliberate intervention into the instructional process

- c) was goal-oriented, combining school and personal growth needs
- d) required mutual trust, as reflected in understanding, support, and commitment for growth
- e) assumed a working relationship between teachers and supervisors
- f) was systematic, yet required a flexible and continuously changing methodology
- g) created productive tension for bridging the real-ideal gap
- h) assumed the supervisor knew more about instruction and learning than the teacher
- i) required training for the supervisor

4. *The Hoy/Forsyth Differentiated Model* (1986). This model as summarized in Table 1 differentiated between the supervisory and administrative roles in the supervision of teachers. Supervisors were considered as master teachers providing advice and help to colleagues. They held limited authority which was earned through expertise and human-relations skills. Principals were line officers who executed hard organizational decisions. They represented management and held formal authority and power. They had an organizational orientation—one concerned with the day-to-day consequences of teacher and student behavior.

5. *Glickman's Developmental Model* (1985). Glickman described this model as composed of two possible meanings;

- a) the use of instructional change strategies that moved from persuasive to facilitative,

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Figure 8. A three-loop clinical cycle for changing teaching practice.

Source: Harris, B. (1985). Supervisory behavior in education. Englewood Cliffs, NJ: Prentice Hall, p. 100.

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Figure 9. A Conceptual Model of Supervision

Source: Oliva, P. (1989). Supervision for today's schools. (3rd ed.).
White Plains, NY: Longmans Inc. p. 19.

b) the use of supervisory intervention according to individual and group characteristics of teachers,

The persuasive strategy was the use of logic and wisdom to convince the target group that change was needed. The change agent appealed to the target group's commonsense and emotions to achieve their following. The facilitative strategy was the delivery of resources by the change agent to the target group after the group had determined its plan. The agent served as a helper in terms of supplying goals, providing technical services, and removing obstacles from the path of the target group's plan. For example, a change strategy for a group of teachers with little experience working with each other and characterised by low abstraction and commitment, would be persuasive (pp. 375-377). Glickman's developmental approach to supervision directed the supervisor's attention to recognize stages of professional development and to treat teachers as individuals. The lack of recognition of this individuality of growth and development (Schein, 1978, 1980; Hall, 1976) in supervision and evaluation of teachers had created an antagonism against principals and supervisors and an aloneness among teachers. In describing this alienation Hopkirk (1985) reflected on the "time-consuming teacher evaluation policies and practices that illustrated the age-old phrase ". . . there is nothing so unequal as the equal treatment of unequals" (p. 8). Teachers are individuals and respond differently to various supervisory options (Glickman, 1981; Glatthorn, 1984). As a result, the model provided three categories e.g., *non-directive* (supervisor be listener, clarifier and encourager) *collaborative* (supervisor be mutual planner by interacting and contracting) and *directive* (supervisor be determiner, enforcer, modelling and directing).

Table 1. A Differentiated Model of Supervision of Instruction

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Sources: Hoy, W., & Forsyth, P. (1986). *Effective supervision: Theory into practice*. (1st ed.). New York, NY: Random House. p. 15.

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Figure 10. Supervision for Successful Schools

Source: Glickman, C. (1985). *Supervision of instruction: A developmental approach*. Newton, MA: Allyn & Bacon. p. 383.

Sergiovanni & Starratt—Supervision II (1988)

This model depicted that "teachers, curriculum, students, teaching, strategies, schedules, and events all exist but are disconnected from each other. . . . cogs and pins which are spinning independently in a clockworks gone awry" (p. 33). (see Figure 10). This view was documented by Cohen, March, and Olsen (1972) in the "garbage can model of organizational choice" and Weick's (1976) view that the school organization was a "loosely-coupled system." Supervisors therefore, "rely heavily on developing norms derived from a shared vision of what is important" (p. 37).

Summary

In this section of the analysis, the significant elements of the three supervisory principles were employed in a content analysis approach to identify the consistency between concepts of supervision and these elements. The procedure was as follows. First, a comprehensive description and highlighting of the literature in supervision was completed. Second, the three principles were categorized by their significant elements as described below. Then, a matching of the elements with the concepts proceeded. A high degree of dominance (frequency of category elements) of these elements in the current concepts of supervision indicated the potential effectiveness of the concepts. As a result, several conceptual models in supervision were identified and described.

Elements that were identified and categorized were described:

- a) Training and development
- b) Commitment to academic goals

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Figure 11. Supervisions I and II: The Characteristics and Effects of Bureaucratic and Professional Views of Teaching

Source: Sergiovanni, T., & Starrat, R. (1988). Supervision: Human perspectives. (4th ed.). New York, NY: McGraw-Hill. p. 35.

- c) Stimulating high expectations
- d) Collaboration and shared vision
- e) Building staff support
- f) Securing resources
- g) Evaluating process and feedback
- h) Context-specific practices
- i) Empirically supported models and methods.

In this second section of the analysis, the objective was to discover, through analysis, the criteria of an effective policy and of an effective supervision policy. In order to accomplish this purpose, the following procedures were employed namely, a) an investigation and analysis of definitions and characteristic elements of policy, b) analysis of the process of policy development, c) an analysis of various significant policy models and d) the need and effects of on-going policy analysis.

The criteria that emerged from these analyses were matched with the supervision policies of the Province of Alberta statutes and regulations. This matching provided a clear indication of a "goodness of fit" quality of the policies. As to these policies as "effective supervision policies", these were matched against the RAND study criteria (see Table 3) and which are described later.

Analysis of Policy I

With current widespread criticism of educational institutions, policy-makers have been accused of being "sick" bureaucrats who dehumanized and alienated, whose mechanisms were obsolescent for serving the ends they purported to fulfill. Attacks against institutions may also be attacks against policy. The reason advanced was that policy constituted the regulative mechanism for the daily

operation of institutions. But whether we wish to radically reconstruct institutions, or innovate within them or preserve the status quo, it is essential that we focused on policy and policy analysis.

In Canada and the United States, there has been a tremendous effort to achieve the objectives of policy analysis. Policy analysis has indeed grown in sophistication, rigor, and influence in North America. Since the early 1960s, many intellectuals had seen it as the key to improving government policies and programs and to solving social problems. Because schools were generally viewed as a means of achieving social improvements, policy analysis had been heavily applied within the public education arena. Indeed, the schools had been a leading arena for research and innovation in public policy analysis (Coleman, et al., 1966; Coleman, Kelley, & Moore, 1975; Coleman, Hoffer, & Kilgore, 1981; Rivlin & Timpane, 1975; Williams, 1980).

Definition

What is policy analysis? Dye (1978) stated that policy analysis involved:

... a primary concern with explanation rather than prescription . . . a rigorous search for the causes and consequences of public policies . . . [and] an effort to develop and test general propositions about the causes and consequences of public policy and to accumulate reliable research findings of general relevance (p. 7).

He (Dye, 1978) further noted that:

This involves a description of the content of public policy; an assessment of the impact of environmental forces on the content of public policy; an analysis of the effect of various institutional arrangements and political processes on public policy; an inquiry into the consequences of various public policies for the political system; and an evaluation of the impact of public policies on society, in terms of both expected and unexpected consequences (p. 5).

Such a process, according to Dye (1978), contrasted sharply with what he termed policy advocacy which involved advocates prescribing the policies which they felt should be followed. Quade (1975) discussed the meaning of policy analysis in this vein:

Policy analysis is, . . . any type of analysis that generates and presents information in such a way as to improve the basis for policy-makers to exercise their judgement In policy analysis, the word analysis is used in its most general sense; it implies the use of intuition and judgement and encompasses not only the examination of policy by decomposition into its components but also the design and synthesis of new alternatives (p. 4).

Dunn (1981) defined policy analysis as, "an applied social science discipline which uses multiple methods of inquiry and arguments to produce and transform policy-relevant information that may be utilized in political settings to resolve policy problems" (p. 35).

The purpose of this analysis of policy was to examine specifically what were the major criteria of a good educational policy as substantiated from the literature and in so doing to highlight the characteristic elements and effective models. The purpose was directed further, to examine the effectiveness of educational policies of Provincial Departments of Education, the District level policy and the school level policy in teacher supervision at a subsequent point in this report. Insights of what was effective supervision may thus evolve from this examination and analysis.

Policy Models

To address the central question, what is a good policy in this section therefore, it was by an examination of the common, yet essential elements of the structure of current policy-analysis models, that the criteria of a "good policy" was

deduced and formulated. To address the fourth and final question, the foregoing review was considered necessary—to reduce and synthesize the significant ingredients that constituted an effective policy—one that reflected the "goodness standard" as supported by the current literature. Therefore, to respond to the final question, what were the critical elements of a good policy, the following seven statements reflected a summary:

Elements of Good Policy

a. *Authoritative*—Easten, 1975 & Lowi, 1975 viewed a public policy as an authoritative allocation of value for society. Policies were instruments to exercise coercion over the governed. According to Alberta Education (1987), policies reflected the directions of the Minister and the Government of Alberta via the Public Education Act and the Learning Act.

b. *Guidelines*—Dror, 1978; Davies & Bricknell, 1970 stated that policies were discretionary guide to action. They were major direction; not specific regulations and were couched in flexible terms. Boyd (1984) argued that such policies accommodated various staff discretions in "top-down", "bottom-up" or "loosely-coupled" organization and leadership approaches.

c. *Goal-directed*—Alberta Education (1987); Dunn (1981); Davies & Brickman (1970); Mitchell & Encarnacion (1984) described this criterion to consist of a clear rationale and fidelity to purpose; indicators of effectiveness were expressed such as in quality, equality, and equity; advocated a balance of fact as well as value claimed and expressed a justification for value served.

d. *Acceptability*—Coleman (1980) stated that the policy reflected fairness; that it could withstand resistance and had been developed from a moral and ethical stance (Downey, 1988). Eisenhart, et al., (1988) suggested that to strengthen this criterion, teacher beliefs were considered. Dunn (1981) elaborated further that the policy must reflect a social rationality (equity) distributed to all stakeholders.

e. *Feasibility*—This criterion considered the likelihoods and probabilities of the policy. Jenkins (1978) described this as the consideration stage and in Brewer & de Leon (1983), as the estimation stage. The political viability—the least disruptive effects were assessed. Further, the policy reflected an operation within the economics of resources (financial, material and professional expertise) that is, within a cost-benefit and cost-effective parameter. Within the framework of this criterion, there was provision for the test of robustness i.e. a consideration for the strengths, weaknesses and possibility of efficient implementation.

f. *Desirability*—A good policy fulfilled a need. Dunn (1981) argued the significance of this need under three terms namely, responsiveness, appropriateness, and adequacy. This criterion related to the extent that policy "satisfies the needs, preferences, or values of a particular group," whether the objectives served by the policy were "the proper ones for the society" and that level of effectiveness was adequate to satisfy the needs, values, or opportunities that gave rise to the policy problem (pp. 237-238).

g. *Future-oriented*—Policies that satisfied the "goodness standard," did depict a forward-looking character. The premise of improvement was inherent (Oddèn & Doherty, 1982) for the best directions for future decisions. It was amenable to change.

Some further commonalities in the policy analysis process were presented by Mayer and Greenwood (1980) to judge the adequacy of policy recommendations:

1. *Efficiency*, which focused on the relationship between the cost of resources employed to implement a policy and the extent of the benefits it delivered;

2. *Effectiveness*, which focused on the utility of the relationship between the means and the ends, that is, the substantive effects that were achieved by the means employed;

3. *Feasibility*, which addressed the effect of the policy on the political constituency whose support was necessary for its successful implementation; and

4. *Ethics*, which focused more on the goals and objectives of the policy than on its outcomes, dealing with the relationship of a particular policy goals to the values, either explicit or implicit, of the policy-making system (pp. 13-14).

Summary

In order to address the question, what were the criteria of an educational policy that should be in accord with the "goodness standard", it was necessary to address three other questions. Firstly, what is an educational policy? Secondly, what are the precedents to the development of an educational policy? And thirdly, what are the essential elements of an educational policy? From the responses that emerged from the literature to these questions, seven criteria surfaced and were described in this report.

According to Downey (1988), school boards "operate under legislative and regulatory guidelines (prescriptions, prohibitions, permissions)" and on the basis of

the latter specification, they formulate their authority of governance via instruments of policy.

Analysis of Policy II

Before an attempt is made to analyze a policy, it is considered critically wise to remind ourselves of the nature and dynamics of the variety of input and deliberations that must have occurred in the formulation of policy. For example, a repertoire of policy-making intelligence must have been engaged, manipulated and entered. Downey (1988) described these as "conceptual intelligence" (maps of the territory on how to proceed); "technological intelligence" (methodologies and technologies); and "political intelligence" (strategies on how to accommodate varying group demands). Therefore, the assumption was that prior to the final policy statement, some or many considerations must have been discussed and debated. However, Dunn (1981) held that methods of policy analysis were neutral instruments that might be used by analysts who were disinterested and detached from policy problems. "Facts" and "values", according to this view, should be separated in the course of analyzing policy problems" (p. 87).

In this analysis of several documents on teacher supervision policy from the Edmonton Catholic School system and the Ministry of Education of Alberta, several questions were posed for example, 1. What were the provincial requirements for supervision policy as expressed in the current statutes and Acts? 2. How did Boards of Education respond in policy development and implementation from these statutes? 3. And, how well policy statements of Boards met the criteria of a "good policy"? The seven criteria as described previously in this report, formed the basis

of the analysis. The following was a brief description and response to the questions advanced. Policy implications for the supervisory process for school teachers and principals could be observed and deduced.

In beginning this stage of document analysis, a brief description of the relevant sections 13 and 15 of the Alberta School Act (1988) focused attention to the teacher and principal with reference to their instructional roles.

Provincial Requirements: Province of Alberta, School Act, 1988: Part 2, p. 13 entitled "Schools operated by a Board", (see Appendix G).

Section: 13—A teacher while providing instruction or supervision must;

- a) provide instruction competently to students;
- b) teach the courses of study and education programs that are prescribed, approved or authorized pursuant to this Act;
- c) promote goals and standards applicable to the provision of education adapted or approved pursuant to this Act;
- d) encourage and foster learning in students.

Section: 15— A principal of a school must;

- a) provide instructional leadership in the school;
- b) ensure that the instruction provided by the teachers employed in the school is consistent with the courses of study . . .
- c) evaluate or provide for the evaluation of the teachers employed in the school.

In a close examination of the statutes of the Ministry of Education School Act, 1988 (see Appendix C), there was greater emphasis on "what" was expected of teachers than on "how". Of the seven clauses of section 13, only clause 13a most clearly and emphatically required "how" from all instructional staff. For example, teachers "must provide instruction *competently* to students." Although competence remain undefined, the general assumptions were that processes that enabled students to learn and acquire skills and knowledge were acceptable and should fulfil this requirement. Secondly, teachers were to be supervised in order to improve their instructional skills towards this required "competence".

In section 15 of the School Act (see Appendix C), principals were mandated to "provide instructional leadership in their schools". Principals therefore, must serve beyond the managerial and administrative roles and deliberately engage in the improvement and maintenance of the instructional competence of teachers. Again the methodologies and technologies to be applied for this achievement were the responsibilities of Boards of Education. In summary, Boards of Education must assume the responsibility for the interpretation and implementation of these regulations in the form of policy.

Board of Education Response: (Edmonton Catholic)

In responding to question (2): How did Boards of Education respond to these regulations? An example of the Edmonton Catholic School District policy on Teacher Evaluation and Supervision served this initial purpose (see Appendices--- H, I, J, K). In responding to evaluation and supervision, Edmonton Catholic Schools launched a major initiative in 1985 to meet the growing demands of

accountability and quality in their schools. As a result, Policy #203 was developed in June of 1985 to reflect the interpretation of the regulations of the Ministry of Education. The Board further established Guidelines #203 and Administrative Procedure #203 in the process of implementation. The Policy #203 was revised in October of 1986 and similar revisions were undertaken of Guidelines #203 and of the administrative procedures in October of 1987.

Although Policy #203 captured the spirit of teacher supervision as espoused in the provincial regulations (Sec: 13a, d; 15a), technically these seven regulatory statements of the Act were more of a reflection of "evaluation" rather than of supervision. However, a few statements pertaining to "teacher instructional improvement" could be highlighted for example, a) "the program will be constructive. It will emphasize the growth, improvement and professional development of all certificated teachers assigned to schools" (p. 1), b) "affirm the worth and dignity of all parties involved" and c) "assist teachers to become more effective in their work with students" (p. 1). Guideline #203 defined the framework within which the evaluation policy was implemented. This consisted of two major types of performance evaluation for example, a) self-evaluation and b) formal evaluation. The criteria were clearly defined as a) District criteria and b) School-based criteria. The district criteria were further outlined into several categories. For the purposes of formative evaluation or supervision, these guidelines served as staff professional activities or opportunities for individual teacher instructional assistance for example, a workshop on lesson planning or program planning (long-range and short-range).

The administrative procedure #203 outlined "how" teacher evaluation, as reflected in the policy and policy guideline, was completed. Three phases that constituted these procedures were described; the (a) General evaluation stage (b) the Goals for improvement stage and a (c) Review stage (see Appendix G). Each teacher might be submitted to each of these stages, dependent on their level of competence based on criteria as described. Of major significance was the development and use of school-based criteria of supervision and evaluation by staff and principals.

Congruence with "good" policy:

Consistent and congruent educational policies were not merely for satisfying the accomplishment of the purposes and objectives of specific educational mandates but when under scrutiny, should characterize elements and general features consistent and congruent with normative "goodness criteria". From an earlier descriptive delineation, the following was an outline of these criteria for instance, policies should be: 1. Authoritative 2. Guidelines 3. Goal-directed 4. Acceptable 5. Feasible 6. Desirable and 7. Future-oriented. Therefore, in the document analysis of the ECSSD Policy #203, several critical questions were raised;

- 1) To what extent Policy 203 met the criteria of a "good" educational policy?
- 2) To what extent Policy 203 met the "goodness" of a teacher supervision and evaluation policy?

3) And, to what extent was the congruency of Policy 203 with the educational literature (theory) reflected and assured the practice and maintenance of "effective supervision"?

Policies #100 and #203 of the Edmonton Catholic Separate School District (ECSSD) were measured against the seven criteria of a "good policy" as described earlier. The elements of the criteria were therefore matched with the significant elements and statements from each supervision policy. A "level of dominance" was established and categorized and for the purpose of analysis, a numerical value was computed (see Table 2).

Policy #100SG described the philosophy of education, the purpose, goals and expectation of education. The functions and operations of these broad system goals and objectives satisfied the needs and expectations of all stakeholders within a Catholic framework.

Policy #203PS described the methods and expectations of teacher evaluation and supervision as mandated by the School Act and within the Board's basic goals as expressed in Policy #100SG.

Policy #203PG emphasized in a brief outline the cardinal considerations and understandings to accomplish an effective supervisory and evaluative program for example, "it will emphasize the growth, improvement and professional development of all certificated teachers assigned to schools" (p. 1).

Table 2

Congruence of Criteria Elements with ECSSD Policies #100/203*
(Goodness Fit)

Criteria	Key Elements	Pol.100-SG	Pol.203-PS	Pol.203-PG	Pol.203-AP
1	a. authoritative	4.0	4.0	4.0	4.0
	b. legal direction	4.0	4.0	4.0	4.0
2	a. discretionary	4.0	4.0	3.0	2.0
	b. imprecise	4.0	4.0	2.0	2.0
3	a. purposeful	4.0	4.0	4.0	4.0
	b. quality, equality, equity	4.0	4.0	4.0	4.0
	c. values	4.0	4.0	4.0	4.0
4	a. fairness	4.0	4.0	4.0	4.0
	b. moral/ethical	4.0	4.0	4.0	4.0
	c. teacher beliefs	1.0	4.0	4.0	4.0
5	a. political viability	1.0	4.0	4.0	4.0
	b. economic viability	1.0	1.0	1.0	1.0
6	a. robustness	1.0	1.0	1.0	1.0
	b. target needs (t)	1.0	4.0	4.0	4.0
	c. target needs (s)	4.0	4.0	4.0	4.0
7.	a. adaptable	4.0	3.0	2.0	2.0
	b. forward-looking	4.0	4.0	3.0	2.0

(t) = teachers, (s) = societal

**Policy Type:* SG = System Goals
PS = Policy Statement
PG = Policy Guidelines
AP = Administrative Procedure

Congruence Value:

4.0 = High Congruence—clear, emphatic
3.0 = Intermediate Congruence—moderate emphasis
2.0 = Low Congruence—unclear, generalized
1.0 = Implicit Congruence—implied, professional assumptions

Policy #203AP clearly described how superintendents, Central Office supervisors, principals, and teachers accomplished the goals of quality education via the mechanisms established for instructional monitoring.

Therefore, the purpose of Table 2, illustrated whether the four policies on supervision and evaluation of the Edmonton Catholic School Board contained the seven criteria of a "good policy". And if so, to what extent? The higher the congruency denoted that the policies reflected structural elements of a good policy.

In response to question (2) that addressed the "goodness criteria" for a teacher supervision and evaluation policy, the findings from the massive study by the RAND Corporation as cited by Babiuk (1987) and compiled by Wise, Darling-Hammond, McLaughlin, and Bernstein (1985), were utilized for further verification. Before this model on effective teacher supervision was employed, a brief description of these characteristics must be undertaken. The RAND study included several special school districts that had developed unique forms of teacher supervision and evaluation in the United States. The study concentrated on four factors: organizational commitment, evaluator competence, collaboration, and strategic compatibility. Five conclusions resulted from this study (Wise, et al., 1985, pp. 103-113). First, teacher evaluation and supervision programs "must suit the educational goals, management style, conception of teaching, and community values of the school district" (p. 103). Second, there was great need for support from all educational leaders within the district, "for top-level commitment to and resources for evaluation and supervision outweigh checklists and procedures" (p. 104). Third, "the school district must decide the main purpose of its teacher evaluation and supervision system and then match the process to the purpose" (p.

106). Fourth, to maintain commitment and support, "teacher evaluation and supervision must be seen to have utility, which in turn depends on the efficient use of resources to achieve reliability, validity, and cost-effectiveness" (p. 108). Finally, "teacher involvement and responsibility improve the quality of teacher evaluation and supervision" (p. 110). These recommendations constituted a model for the development of an effective teacher evaluation and supervision program.

Wise et al., (1985), however, caution readers on their use:

Educational policies and procedures must be tailored to local circumstances. Our conclusions and recommendations, therefore, may be best thought of as heuristics or starting strategies, to be modified on the basis of local experience. (p. 103)

Therefore, in summary the criteria and elements were modified and presented as follows with concurrence from various studies. (1) Goals, purposes, and procedures must be clearly established, made explicit to all involved and that these must match the evaluation and supervision system (McGreal, 1983; Barber, 1982; Freer & Dawson, 1985; Huddle, 1985; Larson, 1984; Prince, 1985; Medley, 1983). (2) Top levels of district administrators must be committed to the goals and objectives. This researcher added that it was opportune for commitment from trustees and parents to be included. Concurrence towards this latter criteria emerged from studies by (McGreal, 1983; Huddle, 1985; McLaughlin, 1984; Churnside, 1984; Auzaldua, 1984). (3) There needed to be a level of competency for both evaluators and teachers being evaluated and supervised. This was necessary for the process to be valid and reliable and hence considered useful (McGreal, 1983; Barber, 1982; Churnside, 1984; McLaughlin, 1984; MacNaughton, et al., 1984). (4) There was a need for collaboration between

teachers, supervisors or administrators. Wise et al., (1985) referred to this element as involvement and responsibility. This criteria received support from other studies (McGreal, 1983; Auzaldua, 1984; Freer and Dawson, 1985; Huddle, 1985; Manatt, 1985; Stiggins & Bridgeford, 1985).

The procedure that was employed in the analysis of the four ECSSD policies in order to indicate their level of congruence with the RAND effectiveness criteria was as follows. First, the five effectiveness criteria were described on pages 150 and 151 and from this RAND study, the criteria were identified as follows: consistency, commitment, competency, collaboration, and compatibility. Table 3 described the consistency and congruency of the ECSSD Policy #100/#203 against these criteria of "effectiveness."

Table 3

Congruence of Effectiveness Criteria with ECSSD Policies #100/203*

RAND STUDY	Pol.100-SG	Pol.203-PS	Pol.203-PG	Pol.203-AP
Consistency	4.0	4.0	4.0	4.0
Commitment	4.0	3.0	3.0	4.0
Competency	4.0	3.0	3.0	3.0
Collaboration	4.0	3.0	3.0	3.0
Compatibility	4.0	4.0	4.0	4.0

**Policy Type:* SG = System Goals
 PS = Policy Statement
 PG = Policy Guidelines
 AP = Administrative Procedure

Congruence Value:

4.0 = High —clear, emphatic
 3.0 = Intermediate —moderate emphasis
 2.0 = Low —unclear, generalized
 1.0 = Implicit —implied, professional assumptions

In this section of the study, the interview data were analyzed and results that pertained to the group of research questions were described in textual and tabular form. The steps were as follows. Firstly, the interview sample was grouped according to a school-type variable for example, K-6. This selection of the variable was facilitated from an official alphabetical list of schools within the ECSS Board jurisdiction. Table 4 described this organization of the sample. Secondly, each question of the interview guide was analyzed to reflect the appropriate response to the major research questions of this study.

Table 4

Sample of Interviews

School Group	Number of Principals
K-6	17
K-9	4
7-9	5
10-12	4
Total	30

The numbers as stated for each group of principals were derived from a stratified random sampling. The sample selected within each stratum was established as representative of the total number of schools for each stratum. The number of schools was established therefore, for representativeness and in consideration of the

factor of time. The percent of each category of schools indicated the relationship to the research sample of 30 and not of the population of each category namely, 45, 11, 10, and 6. Of 30 principals, 25 were males and 5 females. Would the results have been different had the sample had more females? Although this is an important observation, gender was not a factor in this study.

From the response to question 1 of the interview guide, ten identifiable variables of effective supervision were categorized as described in Table 5. Respondents were requested to define "effective supervision." They expressed their understanding by writing words, phrases, and assertions. These were matched against the definition and criteria of the literature. These unit codings ("being visible") were summarized and expressed as frequencies to indicate the most common and prevailing perceptions and beliefs. For example, nine principals of 30 expressed that "being visible" was considered effective supervision. As reflected from Table 5, 60% of the respondents indicated that the term supervision, as applied to supervisors, denoted "helping towards teacher growth and development and 80% indicated that help must be presented "when needed". Therefore, "helping teachers towards growth and development when needed" was the significant definition that emerged and this was congruent with the prevailing view in the educational literature. It was most noticeable that although the literature advocated variable #9 (systematic assistance) as a significant element of the definition, it was identified with the lowest frequency of 6.7%. From their open comments, principals indicated a "lack of time" was an obstacle to more frequent and continuous help to teachers.

Question 2 of the interview guide was reflected in Table 6. The five variables characterized what constituted effective supervision as suggested in the literature.

The purpose was to further investigate whether there existed a common and clear understanding of what was "effective". Responses from Table 5 and Table 6 indicated a positive agreement towards "meeting teachers needs" "goal-oriented" and "collaborative" approaches as most effective. 50% of respondents in their #1 and #2 choices indicated that a major characteristic of teacher supervision was goal-oriented; 46% stated "teacher needs" and 43% stated "collaborative" approaches. The analysis clearly indicated an interesting result as regards the characteristic of "collaboration" in the practices of principals. Although the

Table 5

Variables Defining Effective Supervision

<u>Variable of Supervision</u>	<u>Frequency (n = 30)</u>	<u>Percent</u>
1. Being visible	9	30.0
2. Informal visits	16	53.0
3. Help as needed	24	80.0
4. Monitor student progress	6	20.0
5. Understanding effective teaching	8	26.7
6. Monitor teacher behaviour	12	40.0
7. Staff development	10	33.3
8. Helping for growth	18	60.0
9. Systematic assistance	2	6.7
10. Providing resources	15	50.0

literature most vigorously advocated the need for greater dialogue and consensual decision-making for teacher improvement, 30% of principals considered collaboration as their second choice as opposed to 13.3% who considered it as choice #1. Open comments from the interview indicated that principals' remarks were "lack of trust", "lack of credibility in supervisors" and "lack of consistency" as hindrances to open communication and collaboration.

The beliefs and perceptions of principals on question 3 in Table 6 indicated that there was strong support for the theoretical concepts of "contextuality" as described on pages 87-93. In short, principals expressed the importance of engaging teachers in their own development based on these variables that are critical to them and in the context in which they serve. Climate and culture of the school would assist in determining the particular orientation for teacher assistance and practice. 80% of the respondents indicated contextually-based teacher supervision was considered effective and 63.3% suggested individually planned programs. Those orientations of teacher supervision indicated strong support from the literature. However, the orientation that indicated low advocacy although considered a major principle for practice, was the research-based orientation. That low response may have stemmed from principals' expressions from open comments such as, "The staff feels what is relevant and promotes instructional competence should be utilized rather than the use of prescriptions or models." Other principals remarked, "teacher needs are most important." Table 7 further described those responses of concepts of practice that principals considered effective for teacher supervision.

Table 6

Major Characteristic of Supervision

<u>Characteristic</u>	<u>Choice #1</u>		<u>Choice #2</u>	
	<u>Frequency</u>	<u>%</u>	<u>Frequency</u>	<u>%</u>
goal oriented	10	33.3	5	16.7
student achievement	4	13.3	5	16.7
teacher needs	6	20.0	8	26.7
collaborative	4	13.3	9	30.0
developmental	6	20.0	3	10.0

Table 7

Principal's Choice of Supervision Practices

<u>Practices</u>	<u>Choice #1</u>		<u>Choice #2</u>	
	<u>Frequency</u>	<u>%</u>	<u>Frequency</u>	<u>%</u>
contextual	17	56.7	7	23.3
research-based	1	3.3	7	23.3
individual	9	30.0	10	33.3
goal-oriented	2	6.7	4	13.3
student outcome	1	3.3	1	3.3

In question 4 the purpose was to rank-order the theoretical concepts of question 3. That ordering from 'most important to least important' was aimed at accumulating further evidence of beliefs and perceptions that matched current practice. Table 8 described the order. Caution should be taken in accepting the responses since the least important concept may not suggest being unimportant.

Table 8

Rank-order of Supervision Concepts

Concept	Most Important				Least Important					
	5		4		3		2		1	
	n	*%	n	*%	n	*%	n	*%	n	*%
contextual	8	26.7	6	23.1	4	14.8	3	10.7	8	17.6
research-based	6	20.0	6	23.1	5	18.5	7	25.0	4	13.8
individual	4	13.3	6	23.1	8	20.6	6	31.4	5	17.2
goal-oriented	5	16.7	5	10.2	5	18.5	8	28.6	3	10.3
student outcome	7	23.3	3	11.5	5	18.5	4	41.3	9	31.0

* valid percent—calculated in actual number of responses

In the over-all distribution of responses in Table 8, a few critical observations must be noted. The rank ordering was certainly a dilemma for principals. This was indicated in the ambivalence expressed for each concept. The differences in choice were extremely close for example, 14 responses ranked the concept of

contextuality at the most important rank and 11 responses indicated the same concept at the least important rank. In their open responses, respondents remarked during the interview, that "they are all very important and it is rather difficult to choose." However, the ranking further supported the highlights of the literature concepts of contextuality, research-based and individualized supervisory practices for teacher improvement. In response to question 5 which of the concepts in question 4 were the focus of the individual school practice, 60% responded to a contextual (school-based) practice and 10% for goal-oriented. Goal-oriented practice (10%) may have been confused with school goals rather than teacher goals. From the raw data the responses of all school group variables for contextually practised supervision were very positive. In response to question 6 respondents overwhelmingly claimed that the nature of their school-based practice was dominated by 46.7% in-service activities and 26.7% classroom observations then followed by peer supervision practices. Principal-directed activities and leadership delegated to staff members were the least favoured. The analysis indicated that the principal although called to be instructional leaders may not lead by dominating or delegating teacher supervision. This finding suggested that principals believed that the locus of control for decision-making in supervision should be from the teachers themselves which is consistent with the literature.

In reference to question 7, 90% of principals expressed that their supervisory practices were consistent with the school board policy on teacher supervision and 10% adapted their school practice. The open comments from this latter group were such as, "a preponderance of a diverse student population", "variety of special

school programs", and "teacher special needs" that contributed to this adaptation in practice.

Table 9

Congruency of Board Policy and Supervisory Practice

<u>Variable</u>	<u>Frequency</u>	<u>Percent</u>
Adapted	3	10.0
Partially congruent	10	33.3
Very congruent	17	56.7

Table 9 concluded that there was a high congruence between the ECSSD Board policy and practice of supervision in the schools. The description further concluded that Board policy was adequately followed and accepted. In responding to question 8 on collegiality and collaboration towards school supervision, principals indicated that it was positive. For instance, 46.7% responded as exceptionally high and 36.7% considered it high. From the raw data, 5 principals considered collegiality and collaboration in teacher supervision as adequate. Of this number 4 were from the K-6 group and 1 from the 10-12 group. In response to question 9 to what extent was the teaching staff active in teacher supervision decision-making, 40% of the respondents claimed that there was very active participation and 46.7% considered participation as adequate. The raw data indicated that the staff of 13.3% of principals "partially" participated in decision-

making in supervision. Three out of 17 of K-6 schools and 1 out of 4 of 10-12 schools were identified in these groups. In responding to question 10 how consistent school practices of teacher supervision were with the educational literature, 53.3% considered it very consistent and 40.0% as adequate. An overwhelmingly positive result was indicated. A small percentage of principals (6.7%) indicated that their practice was partially consistent. Open comments indicated expressions such as, "it was more important to meet teachers' needs" than follow "a model or prescription that was unrelated to the particular situation."

Table 10

The "Quality" of Current ECSSD Policies

<u>Value</u>	<u>Frequency</u>	<u>Percent</u>
Good	21	70.0
Excellent	9	30.0

As regards how well designed, fair and adequate were the supervision and evaluation policies, the total response was overwhelmingly positive. Most principals commented that "it captured the spirit of Policy #100 SP" and "provided the necessary guidelines for effective implementation." Table 10 displayed a positive result on question 11. To facilitate the matching between the literature "elements of a good policy structure" and the policies under study, the question identified these elements. This "goodness of fit" quality was referred to in this

study. Response to question 12 in terms of the effectiveness of the policies for teacher supervision, 76.7% rated them "excellent" and 23.3% as "good". The "effectiveness criteria" from the literature were identified in the question. Twenty-three of 30 principals considered the policies were "excellent" and 7 principals considered the polices as "good".

Research Findings

The research findings of this study were derived from the analysis of three sources of data namely, the educational literature, policy documents on supervision and evaluation from the Edmonton Catholic School system and Alberta Education, and from interviews conducted with 30 principals with regards to field practice of teacher supervision. In this section therefore, the findings were systematically matched with the appropriate research questions. The research questions were stated at first. Then, the relevant data were briefly described for each question or group of inter-related questions. Finally, the results or findings were described. Wherever applicable, tables and figures were employed to clarify this description. Figure 6 enhanced the discussion and summarized the inter-connection and relationship of the significant aspects of this study—from the research problem and questions to data analysis and findings.

Findings from the Literature

The following research questions (#1 and a-f) formed Group 1 questions that sought answers for supervision principles, supervision policy criteria and the structural elements of a good policy. In response to these questions, a

comprehensive search of the literature was conducted. The following were lists of findings for each major aspect.

a) Principles of Supervision:

Three significant principles emerged from the literature as critical to effective teacher supervision namely, instructional leadership, instructional contextuality and instructional methodology.

b) Supervision Policy Criteria:

Five criteria that were critical to the formation of an effective teacher supervision policy consisted of the following namely, consistency, commitment, competency, collaboration and compatibility.

c) Elements of Good Policy:

The following seven elements were discovered as most critical to the structure of a sound policy namely, authoritative, guideline, goal-oriented, acceptable, feasible, desirable, and future-oriented.

Findings from Policy Documents

The research questions that specifically focussed on this source of data were (a, c, d, f). These questions primarily sought answers and confirmation for the presence of the "elements" of a good policy structure and the "criteria" of effective supervision policy. The focus of the analysis of the policy documents was to describe how effective were the laws and regulations of the Alberta Government that pertained to teacher supervision; the policy and regulations from the Alberta Education; and the policies, regulations, and procedures of the Edmonton Catholic School system.

Document data—A content analysis approach was employed in the analysis of three sources of documents. Communications scientists define content analysis as "a method of observation" (Kerlinger, 1974, p. 544), "a systematic technique for analyzing message content . . . for analyzing overt communication behaviour" (Budd, et al., 1977, p. 2) and "the replicable and valid method for making specific inferences from text to other states or properties of source" (Krippendorff, 1979, p. 103).

The aims and goals of the research study formed the basis for the cues to category development for the content analysis. Secondly, coding units of words, assertions, and themes were identified in the documents. For instance, categories were identified such as, "supervision of teachers", "instructional competence", "systematic help", "contextual and goal-oriented" focus. As regards the quality and effectiveness of the policies, criteria items of a "good policy" and criteria items of an "effective supervision policy" assisted in the analysis. These were described previously. Since the data were derived from three limited sources, a pragmatic or validation method was employed in which an observation of content-presence indicators (George, 1969) was required. The implicit or explicit presence of category units was considered adequate and acceptable.

The content analysis of the selected documents therefore, supported the congruency that was sought between the literature expectations (elements, criteria) and the policy documents on supervision and evaluation. Tables 5 and 6 illustrated and confirmed this support.

Findings from the Interviews

The purpose of the interviews that were conducted among 30 principals was to obtain field data in support of the research questions (#1, and a, b, c, d, f). Fundamentally, the analysis of this data was to match theoretical data against field data in order to find to what extent were the concepts of effective supervision, its policies and practices were implemented and applied in this major Alberta school jurisdiction.

The data in this category sensitized and clarified for the researcher, the perceptions, beliefs, and current practices of school principals. For instance, principals clearly supported their understanding of the meaning of effective supervision with the expectations of the literature. Principal's conception of effective supervisory practice was consistent with the three principles of effectiveness as supported in the literature namely, the principle of leadership, contextuality, and methodology. The elements of a good policy which were critical to the formulation of an effective supervision policy were recognized and confirmed as currently in practice within policy structures pertaining to supervision and evaluation of the school board.

CHAPTER V

SUMMARY, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS

Introduction

For a considerable time evaluation studies and the study of teacher evaluation and supervision have been dominant movements in western education. Evaluation not only became a certification of progress but a desirable and acceptable form of discovering the capabilities and the level of competence of professionals, the acceptability of a product and the viability of programs, projects and services.

In this study, several research questions were addressed. The central focus was to synthesize "what" was considered "effective" as supported by the educational literature, from a critical examination of a school Board's teacher evaluation and supervision policies, an examination of the policies of the Ministry of Education in the province of Alberta, the appropriate sections of the Alberta School Act of 1988, and the practices of principals in thirty schools of the Edmonton Catholic school system.

SUMMARY OF THE STUDY

Purpose of the Study

The purpose of the study was to investigate what is effective teacher supervision. The main research problem was to identify, examine, and analyze current concepts, policies, and practices.

Significance of the Study

This study was significant for several practical and theoretical reasons. Firstly, this study provided results of interest to those who initiate organizational change, those who develop and formulate policy, and those who improve teacher instructional competence. Secondly, the results yielded several critical insights. For instance, a greater awareness of effectiveness was developed from suggestions on leadership, supervisory environment, and teacher involvement in supervision. There is however, an urgent need for a clear theory of supervisory practice.

Related Literature

The extensive review of the related literature focused on evaluation concepts, supervision concepts, accountability movement, effectiveness movement, instructional leadership, collateral studies, and current concepts, policies and practices. These were considered significant for the following reasons. These perspectives provided support for the research problem and for the justification of the study; secondly, the explorations of the literature provided support for each of these perspectives; and thirdly, the review provided support for what was previously studied in this field and what was boldly advocated for effective teacher improvement.

Conceptual Framework

In establishing the parameters of the study, a number of basic assumptions were made. These were: that the level of understanding and knowledge of the research sample were vitally important with regard to concepts, policies and practices of supervision; that the combined critical aspects of supervision for

instance, human, research, and institutional were also important; that these and the researcher's own values, beliefs, perceptions, and biases would influence the collection, analysis, and interpretation of the data.

Methodology

To discover the necessary data, three strategies were employed. A search for major supervisory principles and elements and criteria of effective supervision was completed. Current documents of supervisory policies were content-analyzed. The perceptions and practices of school principals were also analyzed in relation to concepts, policies, and practices from the literature. The instruments for data collection consisted of interviews and a document search. Interviews were held with 30 principals from an urban school system. The overall analysis of the data confirmed a congruency between the literature data and the field data.

Findings

The following statements summarize the findings of the study. From a broad literature review and a subsequent analysis of the major current supervisory concepts, several theoretical models, and views and perspectives presented, three significant principles emerged that clearly and positively supported the research questions. They were as follows:

Principle 1. Instructional leadership is critical to teacher competence and confidence

In a delineation of this principle and an elucidation of its several elements, the following instructional leadership behaviours and qualities surfaced: (a) effective principals resulted from a combination of proper training, development, and

selection , (b) principals need not be subject experts but experts in pedagogy, curriculum planning, analysis of learning processes and program implementors. Finally, strong administrative leadership was required continuously to support the practice of instructional leadership. Several critical behaviors characterized this administrative leadership. These were identified as a demonstration by leaders for a commitment to academic goals. Leaders were to create a climate of high expectations. And, they were to directly involve themselves in instructional policy and in the evaluation of results.

Principle II. Instructional contextuality is a major characteristic in the establishment of meaningful and relevant teacher supervision for instructional competence.

In the examination of this principle, five types of contexts surfaced namely, (a) a scientific management contextuality, (b) a human relations contextuality, (c) a human resources contextuality, (d) a neo-scientific contextuality, and (e) an ecological contextuality. The educational literature however, suggested that the practice of teacher instructional supervision varied from a highly controlled approach to a collaborative, and collegial approach.

Principle III. Methods for effective instructional supervision are research-based models that satisfy the differentiated, technical, and psycho-social needs of teachers.

The leading methods suggested were described as supervisory models. Firstly, the Harris Models consisted of three types; the ten task type, the six orientation type and the three-loop clinical type. Secondly, the Oliva Model depicted the dynamic and service orientations of supervision. Thirdly, the Goldhammer Clinical Model maintained the classical clinical stages but allowed for

contextual and personal modifications. Fourthly, the Hoy/Forsyth Differentiated Model separated the supervisors and principals' roles in teacher supervision. Fifthly, the Glickman Developmental Model determined supervisory intervention according to individual and group characteristics and from a persuasive to a facilitative mode. Finally, the literature suggested a new model of supervision in the horizon where supervisors will rely on a "shared vision" for developing norms of practice.

In the second phase of this study, two significant efforts dominated the research (a) to define policy and policy analysis and (b) to retrieve the critical elements of a "good policy" and identify criteria for effective supervision policies. Seven "elements" of a good policy surfaced such as, (a) authoritative (b) guide (c) goal-oriented (d) acceptable (e) feasible (f) desirable and (g) future-oriented. Criteria of an effective supervision policy were: commitment, competence, collaboration, consistency, and compatibility. The purpose of this attempt was to match various educational policies with the criteria so as to determine the "goodness" of the policies. The underlying assumption was that "effective supervision" was also a derivative of the establishment and effective implementation of good supervision and evaluation policies.

In the final phase of the research, there were significant positive findings concerning the practice of effective supervision as expressed in the interviews with 30 principals. What was considered "effective" emerged as those practices that were contextual and school-based and those practices that were individualized through several approaches. From the analysis of the interview data, an important finding

emerged. It was observed that there was little concurrence from principals for "research-based practices" in their schools.

CONCLUSION

The following statements reflect inferences and conclusions reached through consideration of the research findings.

1. It was evident from the responses of the four groups of selected principals, that the need for teacher and supervisor collaboration and teacher active involvement in supervisory decision-making must be actively pursued and implemented.
2. Supervisory concepts that have direct and practical relevance for the teaching-learning act, sensitivity for their unique environment, and for the teacher's needs are critical aspects for consideration towards effective supervision.
3. From the literature and field there was concurrence that the basis of effective supervision was built on sound policy structures and criteria that recognized and released teacher potential, teacher autonomy, and teacher impetus for change.
4. The preferences and perceptions of principals with regard to effective supervisory practices indicate a positive direction towards a teacher-need and context-specific orientation.
5. Improving teaching competence is a complicated process but is achieved more readily when teachers are placed in situations where those designated to guide

them are perceived by teachers as having a high degree of expertise and credibility.

6. Effective supervision is a process of continuous understanding and manipulation of complex human, social, institutional and cultural variables for teacher instructional change.

IMPLICATIONS

As a result of the narrow focus of this study, caution must be exercised in its interpretation for the purpose of educational practice and research. However, for practice some beneficial findings could be considered: (1) The selection and training of instructional leaders and supervisors must be accorded a high priority. (2) The supervisor and supervisee must jointly agree upon what constitutes effective supervision. (3) Mere collegiality and collaboration in supervision cannot effect change towards teacher competence and confidence. There must be present simultaneously a stimulation and encouragement towards professional commitment and a reflective practice. (4) All supervisory attempts to reflect effectiveness, should seek teacher involvement in decision dialogue and in the development of relevant practice. (5) Lastly, creating a condition for change greatly facilitated the change itself.

RECOMMENDATIONS

General:

1. In future studies, a broader population should be used so that generalizations can be made.
2. This study should be replicated in other provinces.
3. The educational literature advocates that supervisory personnel should be selected based upon a criteria that are critical to the role. Their development and training also, should be separate.
4. A supervision policy therefore, should reflect this independence of development and administration. This can generate two major advantages:
 - a) The perception of all stakeholders and actors can be raised toward the importance of supervision as a continuous process.
 - b) Personnel performing both roles of "helper" and "judge" can lessen the dilemma and display greater expertise, fairness, and confidence when interacting with teaching personnel.
5. In these times of high stress and teacher burnout, the focus in supervision cannot express mere teacher instructional improvement such as, technical skills but also to focus on the need for emotional support. Sensitivity to teachers' personal lives and satisfaction in the workplace must be vigorously considered.

CONCLUDING STATEMENT

Those of us involved in the theory, research and practice of providing for the continuing education of teachers would do well to dwell on what it means to be engaged in genuinely collaborative learning about the complex and intriguing process of teaching. "In education, it is a long time since we paid homage to the essence of our profession" (Goodlad, 1978, p. 322).

Effective supervision in the form of excellent criticism has a value higher than anything except the most excellent teaching, which it exists to foster.

Arthur J. Lewis & Alice Miel
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APPENDIX —A
LETTER FROM DEPUTY MINISTER



Devonian Building, West Tower, 11180 Jasper Avenue, Edmonton, Alberta, Canada T5K 0L2

TO: BOARD CHAIRPERSONS
SCHOOL SUPERINTENDENTS
PRIVATE SCHOOLS
PRIVATE E.C.S. OPERATORS

RE: EVALUATION POLICIES MANAGEMENT AND FINANCE PLAN

An important aspect of the Management and Finance Plan is that all school jurisdictions, private schools and privately operated Early Childhood Services Centres are required to develop and implement, within the framework of provincial policy, their own student, teacher, program, school and school system evaluation policies.

As of January 31, 1985, all Alberta school jurisdictions should have in place teacher evaluation and student evaluation policies, guidelines and procedures. As of June 30, 1985, policies, guidelines and procedures should also be in place for the evaluation of programs, schools and the school system.

Regional Offices of Education are responsible for providing assistance in the development of policies and for the implementation of these policies.

Enclosed, as information, is a set of guidelines which will be used by the Regional Offices for monitoring student, teacher, program and school evaluation policies. Guidelines for monitoring school system evaluation policies will follow the same format and will be ready in the near future.

These guidelines have been developed for the use, primarily, of our Regional Offices. Therefore, the guidelines should be considered as non-prescriptive with the exception of the mandatory inclusion of an appeal and due process procedure in the teacher evaluation policy. It should be further noted that although a due process and appeal procedure is mandated with respect to teacher evaluation policy, Alberta Education does not propose to specify its content.

Your continuing support in the implementation of the Management and Finance Plan in the interests of providing quality education for children in our province is appreciated.

Sincerely,

Reno A. Bosetti
Deputy Minister

c.c. Honourable David King

Enclosure

APPENDIX — B
INTERVIEW SCHEDULE

INTERVIEW SCHEDULE

Q-1

Definitions of Supervision (Open-ended)

1. Being visible
2. Informal visits
3. Help as needed
4. Monitoring student progress
5. Understanding effective teaching
6. Monitoring teacher behaviour
7. Staff development
8. Helping for growth
9. Systematic assistance
10. Providing resources

Interview Questions
(For Principals)

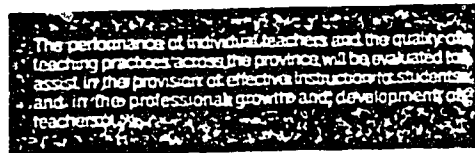
- Q-1 How would you define teacher supervision? (see page 222)
- Q-2 A major characteristic of effective teacher supervision is (Mark choice 1 and 2):
- a) goal-oriented
 - b) student achievement
 - c) teacher needs oriented
 - d) collaborative
 - e) developmental
- Q-3 According to your beliefs and perceptions, effective supervision should be (Mark choice 1 and 2):
- a) contextual
 - b) research-based
 - c) individualized
 - d) goal-oriented
 - e) student-outcome oriented
- Q-4 According to your beliefs and perceptions, place these supervisory concepts in order of importance (Most important to least):
- a) contextual
 - b) research-based
 - c) individualized
 - d) goal-oriented
 - e) student-outcome oriented
- Q-5 Which of the above is the focus of practice in your school? (Mark choice 1 and 2)
- Q-6 How is your practice with teachers expressed? (Choose one or combination):
- a) principal directed
 - b) peer supervision
 - c) clinical supervision
 - d) classroom observation
 - e) delegated to staff
 - f) developmental
 - g) inservice activities
- Q-7 How consistent and congruent is your present supervisory practice with the district policy?
- 4) very congruent
 - 3) partially congruent
 - 2) adapted
 - 1) not followed

- Q-8 To what extent is your school practice collegial and collaborative?
4) exceptional
3) high
2) adequate
1) inadequate
- Q-9 To what extent is your teaching staff active participants in teacher supervision decision-making?
4) very active
3) adequate
2) partial
1) no participation
- Q-10 To what extent is your school practice consistent and congruent with the scientific literature? (research-based)
4) very consistent
3) adequate
2) partial
1) no consistency
- Q-11 Good policies are characterized by clarity of purpose, goal-oriented, its desirable, feasible, needs oriented, and forward-looking. How would you rate this Board's policy?
4) excellent
3) good
2) weak
1) poor
- Q-12 Effective teacher supervision policies are characterized by the following: consistent, collaborative, compatible, competent and committed. How would you rate your Board's policy?
4) excellent
3) good
2) weak
1) poor

APPENDIX — C
PROVINCIAL EVALUATION POLICY



POLICY



GUIDELINES

- 1 The primary responsibility for the evaluation of individual teacher performance and for the quality of teaching practices lies with each school board.
- 2 Each school board will develop, keep current, and implement 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 boards 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 from school boards whose policies are consistent with the principles of natural justice and provide an appeal mechanism. Alberta Education may consider such appeals from teachers employed by school boards whose policies do not contain such provisions.
- 4 Alberta Education and school boards are responsible for ensuring that:
 - (a) teacher evaluation policies and guidelines are implemented appropriately and that
 - (b) high standards of teaching practice are achieved and maintained across the province.

- 5 Teacher evaluation policies:
 - (a) will be applicable to all teachers;
 - (b) will be fair and consistent in application;
 - (c) should permit consultation with teachers in the development of policy, guidelines, and procedures;
 - (d) will ensure that the evaluation report is made available to the teacher in question after its completion; and
 - (e) will be consistent with the principles of natural justice and provide an appeal mechanism.
- 6 The results of evaluations will be utilized to:
 - (a) assist the professional development of teacher
 - (b) develop improved measures of teacher performance and
 - (c) take appropriate action with respect to teacher performance if unacceptable.
- 7 Alberta Education will conduct teacher evaluations at schools and privately operated Early Childhood Centres for the purpose of recommending certification.
- 8 Alberta Education will investigate specific incidents of professional staff in the employ of school boards where deemed by the Minister to be necessary and in the public interest to do so.
- 9 A teacher who desires to appeal any matter relating to suspension or cancellation of a certificate may appeal to the Council on Alberta Teaching Standards.

Program, school and school system evaluations are separate but closely linked processes. The results of program and school evaluations can form part of the school system evaluation process. Consequently, the three interrelated policies are below and one set of guidelines are provided for all these

GUIDELINES FOR MONITORING
TEACHER EVALUATION
POLICIES, GUIDELINES AND PROCEDURES

A. Format

- (1) The suggested format of background, policy, guidelines and procedures is used.

B. Background

- (1) The background statement outlines the context and rationale for the accompanying policy, guidelines and procedures.

C. Policy Statement

- (1) The statement tells what is desired and why.
- (2) The statement provides positive direction to management and staff but does not prescribe methods.
- (3) The statement permits managers and staff to meet changing conditions without rewriting the policy.

D. Guidelines

- (1) The guidelines clarify the key elements of the policy statement.
- (2) The guidelines indicate, generally, how major aspects of the policy will be administered.
- (3) The guidelines differentiate between mandatory and discretionary provisions. That is, mandatory guidelines are denoted by shall or must, discretionary guidelines are denoted by should or may.
- (4) The purposes and the priorities of the evaluations are identified. These may include some of the following:
 - certification
 - recognition of excellence
 - staff deployment (placement, transfer, teacher assignments)

- 2 -

- tenure
 - termination
 - professional development (e.g.: inservice, consultation, conference)
 - promotion
 - improvement of instruction
 - other
- (5) Teachers covered under the policy are specified. For example, these may include:
- probationary status teachers (new to the system)
 - tenured teachers
 - substitute teachers
 - temporary contract teachers
 - other

E. Procedures

- (1) The procedures delineate between mandatory and discretionary activities.
- (2) The procedures for evaluating teaching performance are clear and appropriate relative to the following:
 - a) The sequence of activities required to carry out the evaluations is stated.
 - b) The various stages of teacher evaluation and the person (s) responsible are identified; some examples of stages are:
 - evaluating teaching performance
 - administering due process and appeal
 - maintaining records
 - reviewing and keeping current the policies, guidelines and procedures
 - other
 - c) The reference to the means of data collection and the criteria for evaluating teaching performance is made.
 - d) Timelines for the evaluation process are specified and represent a regular review of teacher performance (e.g.: one per year, one every two years).
- (3) There are provisions for keeping current and for systematically reviewing the policy, guidelines and procedures. For example:
 - a) Person(s) responsible for initiating the review are identified.

- 3 -

- b) The basis (e.g.: frequency, conditions, etc.) for the initiation of a review is identified.
 - c) Others
- (4) There is a delineated due process and appeal mechanism which outlines:
- a) How appeals are initiated.
 - b) To whom the appeal is addressed.
 - c) How teachers and others are informed of the process.
 - d) Other

A due process and appeal mechanism is required by Alberta Education.

- (5) Procedures for the maintenance of records of teacher evaluations are outlined. The procedures include:
- a) Where the files are located.
 - b) Who is responsible for the files.
 - c) Who has access to the files.
 - d) A description of confidentiality parameters.
 - e) The teacher receiving a copy of the evaluation.
 - f) The teacher adding material to file.
- (6) The procedures outline how the public can access the policies, guidelines and procedures.

F. Other

- (1) Stakeholder involvement and the nature of involvement are outlined.
- teachers
 - parents
 - students
 - administrators
 - trustees
 - others
- (2) Other comments/factors to consider:

APPENDIX — D
CORRESPONDENCE

Department of Educational Administration
7-167A, Education North
Faculty of Education
University of Alberta
T6G 2G5

March 1, 1989

Dr. John Brosseau
Chief Superintendent
Edmonton Catholic School District
9807—106 Street
Edmonton, Alberta
T5K 1C2

Dear Dr. Brosseau:

I am a graduate student in the Department of Educational Administration at the University of Alberta and I am seeking permission and the opportunity of conducting administrative research in teacher supervision within the jurisdiction of your Board. The research proposal for this study has been approved by the Ethics Committee of the above department. It is in partial fulfillment for an M.Ed. Degree in Educational Administration.

For personal identification, may I add, that I have served as a classroom teacher in the Caribbean, in Ontario, Alberta, and in the State of Illinois. In Ontario, I have served as a Teacher Practicum Associate in the Faculty of Education at York University. In Alberta, I have served as principal in two schools of Northlands School Division #61 and the Little Red River Board of Education (K-9 and K-12) respectively. Presently, I am an instructor in the Faculty of Education at the University of Alberta.

The purpose of the study is to identify, examine, and analyze the current concepts, policies, and practices that characterize effective teacher instructional supervision. Significantly, this analysis will be measured against the current scientific literature.

The design shall consist of a descriptive study with emphasis on a survey methodology. A pilot study shall precede the major data collection. Stratified random sampling of central office supervisors and principals (Elementary/Secondary) will be required. The instruments to be applied shall comprise of interviews, observations and the content analysis of policies and practices.

The empirical findings of this study have potential for the furtherance of knowledge in Educational Administration, to provide a realistic perspective from the diversity of perceptions at present, and contributions for the development of a theory of supervision. For practical purposes, this study may yield beneficial and critical insights for constituents such as Boards of Education and educational administrators for policy development, the improvement of instructional leadership of principals, and implications for the instructional competence of teachers.

The strict adherence to confidentiality of research data and documents, the anonymity of participants, and the option to participate or withdraw, at any stage of the study, will be assured. The intellectual and personal integrity of each participant will be respected throughout this study and also the research protocols of your Board.

I would appreciate receiving your reply by March 15, 1989. I shall be most pleased to address any questions or comments that you may raise. I should be pleased to send you a summary of the interview data.

Thank you for an anticipated participation.

Yours respectfully,

Hamid Solomon Mohammed
Telephone: Office (403) 492-4913
Department (403) 492-5241

Supervisory Committee

Dr. Don Richards (Supervisor) Professor of Educational Administration
Dr. Frank Peters (Advisor) Associate Professor of Educational Administration
Dr. Andrea Borys (Advisor) Professor of Education

APPENDIX — E

ALBERTA SCHOOL ACT—1988

Appendix C

10(1) Where

- (a) a student who is required to attend a school under section 8 does not attend school, and
 - (b) attempts to enforce school attendance under section 9 have, in the opinion of the board, not been effective,
- the board of which the student is a resident student or that operates or supervises the school in which the student is enrolled may refer the matter to the Attendance Board.
- (2) Where a student who is required to attend a school under section 8

- (a) is enrolled in a private school, and
- (b) does not regularly attend that private school,

the person responsible for the operation of that private school shall refer the matter to the Attendance Board.

11(1) If property of a board is destroyed, damaged, lost or converted by the intentional or negligent act

- (a) of 1 student, the student and his parent are jointly and severally liable to the board in respect of the act of the student, or
- (b) of 2 or more students acting together, the students and their parents are jointly and severally liable to the board in respect of the act of the students.

Liability for damage to property by student

(2) Subsection (1) does not apply to the parent of an independent student.

PART 2 SCHOOLS

Division 1 Schools Operated by a Board

12 This Division applies only to schools operated by a board.

13 A teacher while providing instruction or supervision must

- (a) provide instruction competently to students;
- (b) teach the courses of study and education programs that are prescribed, approved or authorized pursuant to this Act;
- (c) promote goals and standards applicable to the provision of education adopted or approved pursuant to this Act;
- (d) encourage and foster learning in students;
- (e) regularly evaluate students and periodically report the results of the evaluation to the students, the students' parents and the board;
- (f) maintain, under the direction of the principal, order and discipline among the students while they are in the school or on the

Application of Division Teachers

school grounds and while they are attending or participating in activities sponsored or approved by the board;

(g) subject to any applicable collective agreement and the teacher's contract of employment, carry out those duties that are assigned to the teacher by the principal or the board.

14(1) A board that operates 1 or more schools shall designate a number of teachers as principals.

- (2) The board shall assign a principal to each school.
- (3) The board may assign a principal to be a principal of more than 1 school.

Principals designated

15 A principal of a school must

- (a) provide instructional leadership in the school;
- (b) ensure that the instruction provided by the teachers employed in the school is consistent with the courses of study and education programs prescribed, approved or authorized pursuant to this Act;
- (c) evaluate or provide for the evaluation of programs offered in the school;
- (d) direct the management of the school;
- (e) maintain order and discipline in the school and on the school grounds and during activities sponsored or approved by the board;
- (f) promote co-operation between the school and the community that it serves;
- (g) supervise the evaluation and advancement of students;
- (h) evaluate or provide for the evaluation of the teachers employed in the school;
- (i) subject to any applicable collective agreement and the principal's contract of employment, carry out those duties that are assigned to the principal by the board.

Principals

16(1) In this section, "alternative program" means an education program that

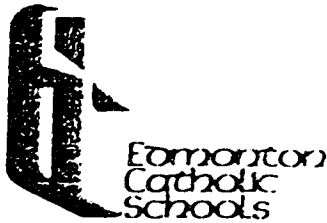
- (a) emphasizes a particular language, culture, religion or subject-matter, or
- (b) uses a particular teaching philosophy, but that is not
- (c) a special education program,
- (d) a program referred to in section 5, or
- (e) a program of religious education offered by a separate school board.

Alternative programs

(2) If a board determines that there is sufficient demand for a particular alternative program, the board may offer that program to those students whose parents enroll them in the program.

APPENDIX — F

EDMONTON CATHOLIC SCHOOL POLICY—#100 SG

POLICY: 100

Reference: _____

Approved: November 1, 1982

Catholic schools, as agents of Catholic parents, have the responsibility to help all children to develop their unique individual capabilities to learn and to live, and thereby experience humanity and the world as created by God and redeemed by Jesus Christ.

Catholic schools and Catholic parishes are complementary to the family, which is the primary agent responsible for the child's formation.

OBJECTIVES OF THE EDMONTON CATHOLIC SCHOOL SYSTEM

General Objectives

Education must be based on the Christian concept of the individual. The objectives and purpose of education as stated by the Alberta Department of Education must be set in this total Christian concept. The general objectives of the school system are then:

Growth in Academic and Interpersonal Skills

Catholic schools will strive for excellence in education for all students to develop their academic and interpersonal skills. In this way, students will be prepared to use their God-given talents to live and work effectively in society.

Growth in Personal Values

Catholic schools will assist all students to choose and develop a hierarchy of values consistent with human nature and the teachings of the Catholic Christian faith.

Growth in Christian Faith

Catholic schools, in cooperation with parents and parishes, will strive to develop the gift of Catholic Christian faith by assisting all students to:

- perceive faith as a personal, free and joyful response to the gift of God Himself;
- experience the person of Christ in his/her own life through relationship with others and the community of believers;
- pray and celebrate his/her faith as a source of strength in daily life;
- become aware of their religious heritage and to acquire a better understanding of the various rites of the Catholic Church.

Growth in Social Responsibility

Catholic schools will help all students to realize their responsibility to transform the world by practising the Catholic Christian faith and values in a pluralistic society.

Growth in Physical and Mental Health

Catholic schools will foster the mental and physical well-being of all students through:

- appropriate programs which emphasize physical, aesthetical and leisure activities;
- a respect for the worth and dignity of the individual.

APPENDIX — G

EDMONTON CATHOLIC SCHOOL POLICY—#203 PS



GUIDELINE:	<u>203</u>
Reference:	<u>Policy 203</u>
	<u>A.P. 203</u>
	<u>Rev. Oct. 6, 1987</u>
Approved:	<u>June 26, 1985</u>

EVALUATION OF TEACHER PERFORMANCE

The following guideline defines the framework within which the evaluation policy will be implemented.

I. EVALUATION OF TEACHER PERFORMANCE

Self evaluation and informal evaluation are ongoing processes.

Formal evaluation is conducted in the following situations:

- during the first year of employment
- during the first year in a school
- prior to permanent certification
- prior to being granted a permanent contract
- when a teacher requests an evaluation
- when a principal deems an evaluation necessary
- when the Chief Superintendent or an Area Superintendent requests an evaluation
- at least once in a five year period

II. TEACHER PERFORMANCE CRITERIA

Teacher Performance Criteria will assist administration and teachers in determining performance expectations. Criteria to be used for evaluation will be of two types: firstly, general district criteria as outlined, and secondly, school based criteria to be developed by the school principal in consultation with the staff.

While the following is not a complete list of all the criteria which constitute the effectiveness of teacher performance, it is intended to provide guidelines. The criteria are not in rank order, and each criterion has several components. Each major category is to be given an overall rating according to the following statements:

EXCELLENT: The teacher's overall performance demonstrates proficiency deemed to be outstanding as a teacher in the Edmonton Catholic School District.

- VERY GOOD: The teacher's performance exhibits strengths in specific areas beyond the expectations of a teacher in the Edmonton Catholic School District.
- SATISFACTORY: The teacher's performance exhibits the qualities and characteristics expected of a teacher in the Edmonton Catholic School District.
- UNSATISFACTORY: The teacher's performance exhibits weaknesses and deficiencies that are deemed unsatisfactory as a teacher in the Edmonton Catholic School District.

PART ONE - GENERAL DISTRICT CRITERIA

I. TEACHING PROCEDURES

A) Planning

- Knowledgeable about program of studies
- Incorporates short and long range planning
- Prepares daily lesson plans
- Selects appropriate objectives from the program of studies
- Prepares appropriate materials and resources
- Evaluates students' progress, both formally and informally on a regular basis.

B) Instructional Presentation

- Adheres to objectives of prescribed curriculum
- Demonstrates knowledge of the content to be taught
- Demonstrates ability to match instruction materials and resources to objectives
- Provides initial focus for content to be taught
- Actively involves learners
- Provides clear demonstrations/illustrations/models
- Clearly explains, informs, gives directions
- Directs lesson activities appropriate to the objective
- Checks student's learning throughout the lesson and adapts accordingly
- Concludes lesson

C) Motivation

- Consistently encourages students' learning
- Relates material to student needs and interests.
- Provides immediate and specific feedback to the student.

D) Questioning Techniques

- Effectively uses questioning strategies
- Allows appropriate wait time
- Uses a variety of question types

E) Assignments

- Assigns independent work appropriate to the content and ability level of students
- Assigns work with adequate direction
- Corrects assignments and provides specific feedback to students

F) Provision For Individual Differences

- Demonstrates an awareness for individual differences and needs
- Uses a variety of teaching strategies and assignments to meet individual needs.

II. CLASSROOM MANAGEMENT

A) Effective Classroom Management

- Demonstrates awareness of school policy on discipline
- Establishes and maintains reasonable rules of conduct
- Uses discipline strategies effectively
- Maintains a classroom atmosphere that is conducive to learning and exemplifies Christian values
- Uses class time efficiently
- Carries out daily routines effectively.

B) Effective Interaction with Students

- Sustains attention and involvement of students
- Shows empathy and develops climate for mutual respect.

III. COMMUNICATION AND INTERPERSONAL SKILLS

A) Communication

- Keeps systematic records of students' progress
- Communicates information to parents and administration
- Communicates effectively with students
- Communicates effectively with parents and other community members.

B) Interpersonal Skills

- Cooperates and works with teachers, administrators and support staff.

IV. PROFESSIONAL RESPONSIBILITIES

A) General Professional Responsibilities

- Accepts and acts in accordance with a Christian philosophy of education
- Reflects a positive professional attitude toward teaching
- Keeps abreast of new developments in education
- Seeks to be informed about relevant issues in Catholic education.
- Understands and implements policies of the Edmonton Catholic School District
- Participates in professional development activities

B) School/Community Responsibilities

- Relates positively with colleagues, parents, and members of the parish community
- Contributes to professional development of other staff members
- Carries out general supervision of students
- Participates in staff meetings
- Supports and cooperates in the approved co-curricular activities of the school.

PART TWO - SCHOOL BASED CRITERIA

Recognizing that each school is unique in terms of its students, staff, and community, school based criteria is a significant component of the evaluation process. These criteria are to be developed by the principal in consultation with the staff. The criteria are to be rated according to the rating scale.

PART THREE - COMMENTS AND SUMMARY STATEMENT

This section includes the evaluator's/principal's comments, a summary statement, and the teacher's comments. The evaluation form is to be signed by the principal, evaluator, and teacher. The teacher's signature indicates that the teacher has read and discussed the report with the evaluator.

III. ROLES AND RESPONSIBILITIES

It is recognized that the Board of Trustees is ultimately responsible for all teacher evaluations in the school district. Under their mandate it is noted that the principal is the primary evaluator. Assistant principals may be asked to share in this responsibility.

In situations where assistant principals are involved, the principal must review the evaluation, and note that there is concurrence with what is stated. The principal must also sign the evaluation form.

It is recognized that there are particular situations when other expertise may be necessary. In such specific situations, principals in consultation with the teacher may call on centrally assigned certified staff and/or school based department heads to assist them in the formal evaluation process.

While other personnel may be involved in the formal evaluation process, it must be recognized that this is at the request of the principal and that these educators function in an advisory capacity. The principal's responsibility is in no way fully delegated to other personnel.

All documentation provided by other personnel must be signed by them and reviewed by the principal who is responsible for the formal evaluation report submitted.

Teachers are involved in all levels of the evaluation process.

APPENDIX — H

EDMONTON CATHOLIC SCHOOL POLICY—#203 PG



POLICY	<u>203</u>
Reference:	<u>Guideline 203</u>
	<u>A.P. 203</u>
	<u>Revised Oct. 6, 1986</u>
Approved:	<u>June 26, 1985</u>

EVALUATION OF TEACHER PERFORMANCE

"Catholic schools, as agents of Catholic parents, have the responsibility to help all children to develop their unique individual capabilities to learn . . ." (Policy 100, Edmonton Catholic Schools). In order to achieve the foregoing goal, parents, teachers, students, the parish and the community all have a cooperative role to play in Catholic Education.

To ensure that a quality Catholic education is offered to students, the District supports a continuous evaluation program of teacher performance. This program will be constructive. It will emphasize the growth, improvement and professional development of all certificated teachers assigned to schools.

The evaluation program of teacher performance will:

1. affirm the worth and dignity of all the parties involved
2. communicate performance expectations
3. acknowledge effective teaching
4. aid the teacher in the process of self-evaluation
5. assess the quality of instruction
6. assist teachers to become more effective in their work with students
7. provide information to be employed in decisions regarding permanent certification, continuous contract, promotion, transfer, dismissal and references.

The Board of Trustees is responsible for all teacher evaluations. This evaluation program of teacher performance is a process involving teachers and other certificated educators. The principal is the primary evaluator.

Teachers will have verbal and written input into their formal evaluations. A copy of all formal evaluations will be included in the teacher's Personnel files.

Teachers may appeal an evaluation within a specified period of time. A written appeal may be made to the office of the Chief Superintendent. Further appeals will respect the provisions of the School Act.

APPENDIX — I

Edmonton Catholic School Policy • #203 AP



ADMINISTRATIVE PROCEDURE:	<u>203</u>
Reference:	<u>Policy 203</u>
	<u>Guideline 203</u>
	<u>Rev. Oct. 6, 1987</u>
Approved:	<u>June 26, 1985</u>

EVALUATION OF TEACHER PERFORMANCE

The following Administrative Procedure arises from Policy 203 and Guideline 203 and details the procedure for the evaluation of teacher performance.

Teachers involved in the evaluation process must be aware of the criteria to be used and the time frame in which the evaluation will be carried out. It is suggested that these matters be discussed at a staff meeting early in the school year.

A review of the Policy, Guideline and Administrative Procedures will be done on a regular basis.

The process of formal evaluation of teacher performance will include the following phases:

- Phase 1. General Evaluation - applicable to all teaching staff. It is expected that the majority of teachers will only be involved in this phase.
- Phase 2. Goals For Improvement - procedures for performance improvement when performance has been evaluated as unsatisfactory. (Category 4)
- Phase 3. On Review - procedures to be followed when Goals For Improvement have not been met.

I. Phase 1: GENERAL EVALUATION

The general evaluation of teacher performance will include the following steps:

A. Planning

- 1) The initial step in the teacher evaluation shall be a conference between principal and teacher to establish an understanding of the process of evaluation.

Administrative Procedure 203

- 2) This step includes identification of the characteristics peculiar to the teaching situation such as: type of class, size of class, and background of teacher.
- 3) The criteria to be used when evaluating will be identified.
- 4) The principal and teacher will discuss what constitutes successfully meeting the criteria.

B. Observation

Information will be collected regarding the teacher's performance in the classroom. The style of observation to be used and the type of information collected must conform with agreements made in the planning. New criteria may be introduced or changes may be made to the procedure. These new criteria would be discussed by the principal and teacher prior to subsequent observation.

C. Analysis

The teacher is accountable for the achievement of the objectives specified in the planning. A conference(s) will be held as soon as feasible following the observation(s). Discussion will focus on those objectives specified in the planning. Within seven teaching days following the final conference, a written report will be submitted by the evaluator to the teacher for study and inclusion of written comments. The report is to be signed by the principal, evaluator, and the teacher. The teacher's signature indicates that the teacher has read and discussed the report with the evaluator.

D. Report

The original will be placed in the Personnel file at Central Office, a copy given to the teacher and a copy kept by the principal. The format of this report will be consistent with guidelines established by the district administration.

E. Appeal

Within seven (7) teaching days of receipt of the written evaluation report, a teacher may make a written appeal of the evaluation to the Area Superintendent. An appeal may be made on process or content of the evaluation. The Area Superintendent

will then review the matter and may grant another formal evaluation, the form of which will be determined in consultation with the principal. If the Area Superintendent determines that another formal evaluation by the school principal is inappropriate, the Area Superintendent may arrange for another evaluator from outside the school to do a second evaluation. The Area Superintendent's decision will be communicated in writing to the teacher.

F. Teacher Performance is Unsatisfactory

A teacher whose performance has been evaluated as unsatisfactory will be placed in Phase 2: Goals for Improvement.

Phase 2: GOALS FOR IMPROVEMENT

- A. The Goals For Improvement, determined by the principal in consultation with the teacher, shall be stated in writing with a copy to the Area Superintendent and shall include:
- 1) the areas of required improvement
 - 2) the methods by which improvement may be accomplished
 - 3) the resources available to assist the teacher in improving
 - 4) a reasonable time limit
- B. If, within the time limits set out, the teacher achieves satisfactory improvement in the designated areas, as demonstrated by a subsequent formal evaluation, the teacher is removed from Goals For Improvement by the principal. This formal evaluation is to follow the same procedures as outlined in Phase 1: General Evaluation. The Area Superintendent is to be notified of the removal from Goals For Improvement.
- C. If the teacher fails to satisfactorily meet the Goals For Improvement, the matter is referred by the principal, in writing, to the Area Superintendent with a copy to the teacher. Following consultation with the principal and teacher, the Area Superintendent makes a decision.
- 1) to place the teacher in Phase 3: On Review, or
 - 2) to continue the teacher on Goals For Improvement for another specified period of time.

The Area Superintendent communicates the decision to the principal and teacher.

- D. If a teacher or principal transfers to another school during this phase of the evaluation process, the teacher will remain on Goals For Improvement. The Area Superintendent will ensure that the necessary information will be shared with the new principal in such a way as to facilitate ongoing assistance and a fair assessment.

III. Phase 3: ON REVIEW

- A. This phase begins when the Area Superintendent notifies a teacher in writing, with a copy to both the principal and Superintendent of Personnel Services, that because the teacher's performance remains unsatisfactory, the teacher is now On Review. It is further noted that unless there is appropriate improvement, a recommendation will be made to the Superintendent of Personnel Services that consideration be given to terminating the teacher's contract.
- B. The principal in consultation with the Area Superintendent will send written notification to the teacher stating:
- 1) specific goals to be achieved
 - 2) indicators for determining whether goals have been reached
 - 3) assistance available to the teacher
 - 4) length of time allotted to achieve the goals
 - 5) the advisability of consulting with the Alberta Teachers' Association regarding clarification of legal rights

A copy of this letter is to be forwarded to the Area Superintendent and the Superintendent of Personnel Services.

- C. During the On Review Phase, the principal is responsible for monitoring the progress of the teacher and indicating that assistance is available.
- D. At the end of the On Review Phase, the principal, teacher, and Area Superintendent discuss the degree of success achieved by the teacher.

Administrative Procedure 203

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- E. The principal states in writing to the teacher, with a copy to the Area Superintendent and Superintendent of Personnel Services, that:
- 1) on Review goals have been achieved. The teacher is to be removed from the On Review Phase and receive continued assistance and be subject to a formal evaluation within one year, or
 - 2) the teacher has not achieved the On Review goals.
- F. If the teacher has not achieved the On Review goals, the Area Superintendent will bring, to the Superintendent of Personnel Services for review, the existing documentation on the teacher and request that the matter be reviewed by the Chief Superintendent with the Area Superintendent. The Chief Superintendent will then inform the teacher in writing of a decision to:
- 1) continue On Review for a specified period of time. Subsequently there will be a further review of the situation, or
 - 2) recommend to the Board of Trustees the termination of the teacher's contract.
- G. The teacher may appeal the decision to terminate the teacher contract under provisions of the School Act.

Vitae

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