

THE DEVELOPMENT OF A MODEL FOR  
THE SELECTION OF PRINCIPALS

by

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## ABSTRACT

This paper is a literature review of principal selection methods and effective principal behaviours. Articles on current selection practices indicate a need for a systematic, research-based process for selecting administrators.

A principal selection model is proposed that incorporates sound educational administration practices related to the selection process, methods and techniques found in exemplary principal selection processes, and criteria based principal identification methods. The model addresses current problems and provides a framework for a district wanting to make improvements in its principal selection process to increase the probability that the principals it chooses will have the characteristics it seeks.

The Principal Selection Model takes place in two Stages, the Pre-Vacancy Stage, and the Vacancy Stage. The Pre-vacancy Stage occurs before any principal vacancies, and covers district and candidate preparatory activities. The District Preparation Phase includes district goals and priorities, human resources surveys and needs assessments, the development of policies and procedures, setting positional and personal criteria, and data selection, screening and evaluation decisions. The Candidate Preparation Phase builds a pool of well trained, thoroughly assessed aspirants through individual preparation,

in-district training, multistep evaluation, and internships or mentorships. In the Vacancy Stage, needed administrators are chosen from this pool in a sequential selection process. Candidates are matched with positional requirements, and a final choice made in the Selection Phase. Activities designed to socialize new administrators and evaluate the process occur in the Development Phase.

It is not possible to state that any selection process will guarantee the selection of effective principals. Through the use of a model such as is proposed, however, principals will be chosen with greater care, and with a higher probability of meeting the district's criteria.

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## Chapter 1

### BACKGROUND AND STATEMENT OF PROBLEM

As disenchantment with public education increases and the search for excellence in schools continues, the role of the principal grows in importance and the quality of administrative leadership in schools becomes vital. Studies on high achieving schools indicate that the school principal is one of the main factors contributing to school effectiveness (Block, 1982; Blumberg, 1980; deBevoise, 1984; Duke, 1987; Hall, 1984; Leithwood & Montgomery, 1986; Lipham, 1981; Manasse, 1983; Mangieri & Arnn, 1985; Persell, 1982; Rutherford, 1984; Sweeney, 1982). "The turbulent, demanding environment facing public schools today clearly requires responsive, skilled, and informed leadership" (Boyd, 1987).

But, as we examine how principals are chosen, it becomes obvious that in most school districts the principals' importance is not reflected in the methods used for their selection (Baltzell & Dentler, 1983). It seems that school districts in British Columbia are not, on a regular basis, using techniques in selecting principals that are designed to or have any assurance of ensuring the best, most effective person is chosen for the job (Kelsey & Leullier, 1978; Legg, 1984; Newberry, 1975).

#### PRINCIPAL SELECTION IN BRITISH COLUMBIA

A comprehensive survey of British Columbia's School

*District Policies for the Identification, Selection and Training of Principals* (1978) was done by Kelsey and Leullier, and complements earlier studies by Newberry (1975) and Bruce (1976). In the Kelsey and Leullier survey, the superintendents of 93% of British Columbia school districts responded to questions on whether the district had any "printed policies or established procedures" (p.1) used in the identification, selection and training of school and district administrators. The most striking finding was that 60% of the responding districts had no policies and procedures for identification, selection or training administrators. Kelsey and Leullier found that while "the literature...has urged systematic and careful attention to administrator selection" (p.5), only four of seventy-five school districts in British Columbia had comprehensive policies and procedures in this area. Tables 1.1 and 1.2 show Kelsey and Leullier's findings.

Several of Kelsey and Leullier's conclusions and implications relate directly to this paper. The first deals with the purpose of policies and procedures that were in place. Though the implication was that the purpose was "to ensure a continuing and systematic effort to obtain the kind of administrators a district wants" (p.5), the existing policies did not appear to "contain statements which ensure the district will obtain the kind of people it wants" (p.5). Even when a systematic process was in place, there were

Table 1.1 NUMBER OF SCHOOL DISTRICTS REPORTING PRINTED POLICIES OR ESTABLISHED PROCEDURES FOR IDENTIFICATION, SELECTION AND TRAINING OF ADMINISTRATORS		
policy or procedure governing	number of Districts	% of Districts
Identification only	0	0
Selection only	1	1.5
Training only	2	3.0
Identification & selection	9	13.0
Identification & training	1	1.5
Selection & training	4	6.0
All three activities	11	16.0
None of the activities	42	60.0

TABLE 1.2 NUMBER OF DISTRICTS IN EACH OF FOUR SIZE CATEGORIES REPORTING PRINTED POLICIES OR ESTABLISHED PROCEDURES FOR IDENTIFICATION, SELECTION AND TRAINING OF ADMINISTRATORS			Policies/Procedures					
size category (pupil enrolment)	number of districts	number of Districts as % of N (n=70)	(I) Identification (alone or in combination with II or III)		(II) Selection (alone or in combination with I or III)		(III) Training (alone or in combination with I or II)	
			No.	%	No.	%	No.	%
a. over 20 000	7	10.0	5	24.0	6	24.0	2	11.0
b. 8000 - 20 000	13	18.5	6	28.5	6	24.0	5	27.5
c. 2000 - 7999	33	47.0	8	38.0	11	44.0	10	55.0
d. below 2000	17	24.0	2	9.5	2	8.0	1	5.5
TOTALS	70	99.5	21	100	25	100	18	99

Source: Kelsey & Leullier (1978)

almost no attempts to include statements on selection criteria. As well, those training programs that existed were almost exclusively inservice remediation for current principals and not part of a pre-principalship experience. Bigger districts had proportionately more selection policies, and fewer training programs than mid-sized districts, while small districts did very little in any area. Kelsey and Leullier stressed the need to develop some provincial or multi-district training and selection procedures, as opposed to purely local ones, and they recommended that districts and the provincial universities work together to develop programs for administrator identification, selection and training. To Kelsey and Leullier, the high (93%) survey return rate coupled with requests for survey results and regrets that no policies could be reported, was an indication of interest. Legg's (1984) paper, however, gives no indication that this interest has since been translated into practice.

Legg's (1984) study on *Criteria and Procedures Used In The Selection of School Principals in The Province of British Columbia* indicates that there has been little change in traditional methods of selecting principals. Responses to his questionnaire, sent to district superintendents and one hundred and fifty principals in twenty-seven districts, were compared "to determine the procedures and criteria presently being used" (p.iii) in the selection of school principals "and also to ascertain if they have changed since 1950"



(p.111). Legg found the top four factors in principal selection processes used in British Columbia were:

1. previous teaching experience
2. previous experience as a vice-principal
3. interview performance
4. letters of recommendation

He found that

Less than 10% of districts surveyed make use of objective assessments of candidates or have programmes aimed at identifying potential school principals,...that present procedures and criteria are not geared towards ensuring the appointment of the best personnel available, [and that] methods of selection of principals have not changed markedly since 1950 (p.iv).

Major findings from Legg's paper are summarized in Appendix A, and did not differ from those of an earlier study by Newberry (1975), *Practices and Criteria Employed in the Selection Of Elementary School Principals in British Columbia*. Newberry found that

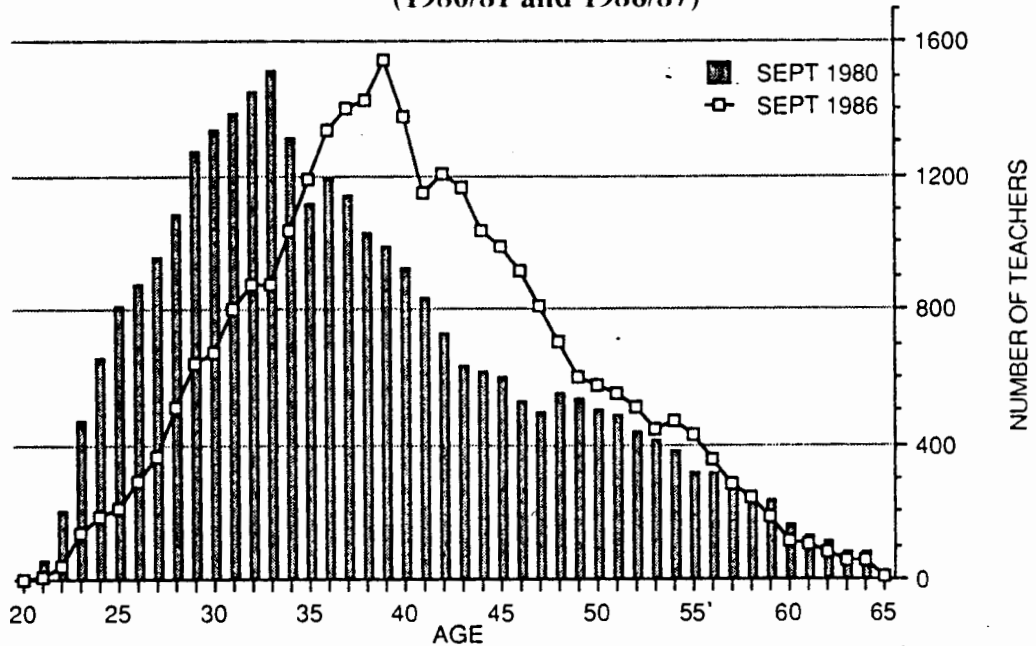
The majority of respondents reported no written policy for the selection of the elementary principal and no written job description for the role of the elementary principal (p.3).

Newberry's major findings are included in Appendix B.

#### STATEMENT OF PROBLEM

Many school districts in British Columbia are staffed by an aging population of teachers and administrators. [Tables 1.3 and 1.4]. For example, in the Vancouver School District, the average age of teachers is 47, and of administrators, much higher. In many school districts, in recent years, the dual problems of declining enrollment and restraint have cut

**Table 1.3 Age Distribution of B.C. Teaching Force  
(1980/81 and 1986/87)**



Source: Schools Research and Analysis

**Table 1.4 Age Distribution of the B.C. Public School Teaching Force  
(Actual Headcount)  
(1981/82 - 1986/87)**

	Less Than 21	21-30	31-40	41-50	51+	Not Reported	Total	Average Age
1981/82	8	7,326	12,724	6,402	3,789	0	30,249	38
1982/83	3	5,983	12,897	6,900	3,927	59	29,769	39
1983/84	0	4,648	12,806	7,709	4,220	161	29,544	39
1984/85	0	3,670	12,202	8,243	4,078	54	28,247	40
1985/86	0	2,586	11,561	9,080	4,309	15	27,551	40
1986/87	1	3,096	11,907	9,155	3,872	13	28,044	41

Source: Schools Research and Analysis.

**Table 1.5 Change in Number of Faculty of Education Students  
Qualifying for Initial Certification  
(1980/81 - 1985/86)**

	Total	% Change From Previous Year
1980/81	1,683	- 1%
1981/82	1,498	-11%
1982/83	1,503	0%
1983/84	1,233	-18%
1984/85	1,195	-3%
1985/86	1,128	- 6%

NOTE: 1986/87 data is not available from the universities.  
Source: Teacher Services.

### **Teacher Demand-Supply**

Projections suggest elementary enrolments will begin to increase within the next year or two. Total enrolments will increase soon after as the influx of students progresses to secondary school. As discussed earlier, the teaching force is becoming older. Early retirement incentives and natural attrition will produce more vacancies than in the recent past. In 1986/87, a few districts reported difficulty in finding qualified teachers in some speciality areas, and it is expected that this difficulty will increase. These trends may result in an increased demand for teachers. The supply will likely come from both newly certified teachers and those returning to the profession.

the hiring of new, younger teachers to almost nothing though there is clear evidence emerging that this situation is changing. Over a seven year period, there was declining enrolment in the Faculties of Education at British Columbia universities [Table 1.5], though there are indications this is changing. Within five to ten years there will be a major crisis in British Columbia's education system, brought about by massive numbers of teachers retiring and a scarcity of teachers to replace them. Retiring with the teachers will be a correspondingly high number of administrators. Though it is possible to ascertain the exact number of administrators who are eligible to retire within the next 5 years, this is not an accurate assessment of possible administrator turnover. Though the British Columbia School Act sets 65 as the age of mandatory retirement [Section 147], some provision exists to extend the retirement age beyond this [Section 147(a)] (British Columbia Ministry of Education, 1988). There is also the possibility that mandatory retirement provisions may be deemed unconstitutional, though this is undecided. With early retirement provisions, many administrators will be eligible, though not required, to retire. In any case, many school districts will be faced with the need to appoint a large number of principals.

The purpose of this paper is to develop a principal selection model that incorporates

1. sound educational administration practices related to

the selection process,

2. methods and techniques found in exemplary and alternate principal selection processes, and

3. criteria based identification.

Principal selection processes that include some of these desired aspects provide a positive guide and show what should be done. The expectation is that when a principal selection model that incorporates the above is used, principals will be chosen with more care and will be more apt to have the characteristics being sought. Certainly the growing number of published works that deal with the effective principal indicate the kind of person desired. Developing processes to help ensure careful selection requires a great deal of thought, preparation and effort.

#### LITERATURE REVIEW AND METHODOLOGY

A systematic review was made of the literature in two areas: current principal selection methods, and school and principal effectiveness. A variety of books, including reference textbooks, journal articles, syntheses of research published in journals or books, and studies and theses were reviewed. These were located through:

- a. ERIC computer searches, followed by the use of the ERIC microfiche index at the University of British Columbia. Descriptors used were: selection; administrators; principals; selection and (administrators or

- principals); school effectiveness; selection and (administrators or principals) and school effectiveness.
- b. books recommended by members of the Faculty of Education, Simon Fraser University.
  - c. scrutiny of the bibliographical information contained in the above sources.
  - d. manual searches of the catalogues at the University of British Columbia and Simon Fraser University.

Findings from the literature in these sources on exemplary selection methods and techniques are combined with research on effective principal behaviours, organized under the main and subheadings of the paper, and form the basis for the proposed model.

#### LIMITATIONS

The model developed in this paper is not based on any specific leadership theory. The various theories of organizational behaviour: descriptive, predictive and prescriptive; universalist and contingency (Gray & Starke, 1984); are acknowledged here, but not dealt with in the literature review. It appears that effectiveness is a combination, both behavioural and situational rather than inherent in the person (Fiedler, 1967; Leithwood, 1986). In this paper, effectiveness is defined in behavioural terms. The influence of situational variables is dealt with in the

model under *Needs Assessment* in the District Preparation Phase.

Though studies on "effective schools" indicate the principal is one of the main factors contributing to school effectiveness, very few empirical studies exist in the area of effective principal selection methods. The limitations of the research in each of the areas reviewed are addressed at length in the chapter dealing with that research. Though much of what is currently written about the selection of effective principals is not empirically based, it provides a guide for developing more effective processes. No one recipe will guarantee effectiveness. However, the development and implementation of a systematic principal selection process combined with continuous evaluation and refinement of selection methods, will ensure more care in principal selection. The model in this paper is one way to set up a systematic principal selection process and increase careful selection.

No new data were collected for this paper. It is a synthesis of research findings in the areas of principal selection, and effective principal behaviours. The model is an idealized representation and makes no allowances for the day-to-day operational differences of school districts. It is an attempt to show how a district might systematically develop a selection process that contains essential elements for effective principal selection. It is a look at "what

could be", not "what is".

#### DEFINITION OF TERMS

Effective principal: Leithwood's (1986) definition of the effective principal is used in this paper. His

descriptions of the effective principal incorporated behaviors capable of (a) reducing the cost of learning to students; (b) increasing the proportion of students mastering conventional school objectives ("the basics"); and (c) increasing overall student self-direction and problem-solving capacity. Other orientations to improvement were considered relevant only when they appeared in the company of such gains for students (p.7).

Groupthink: The term groupthink was used by social psychologist Irving Janis (1983)

as a quick and easy way to refer to a mode of thinking that people engage in when they are deeply involved in a cohesive in-group, when the members' strivings for unanimity override their motivations to realistically appraise alternative courses of action....Groupthink refers to a deterioration of mental efficiency, reality testing, and moral judgement that results from in-group pressures (p.9).

#### ORGANIZATION OF THE PAPER

The development of the model takes place as follows:

Chapter 1 defines the problem and provides background for the paper.

Chapter 2 examines selection processes. First, it provides an overview of general personnel selection processes in education. The major difficulties with the development of policies and procedures related to selection are examined, and selection decisions related to positional and personal



requirements are discussed. Areas of recruitment and selection are examined in three stages, preselection, selection and postselection. The need for an affirmative action program in the selection process is explained and traditional data sources are evaluated. Second, research related specifically to principal selection is examined. Topics include common principal selection processes and typical principal applicants. Those elements found to be essential to any principal selection process are summarized.

Chapter 3 deals with effective principal selection processes, outlines alternate, exemplary principal selection processes and techniques including the use of assessment centers, internships and structured interviews; examines essential elements of effective principal selection processes; and proposes guidelines for the development of a principal selection process.

Chapter 4 is a summary of research findings on the characteristics of effective principals. These findings provide the basis for the criteria used in the principal selection model developed in Chapter 5.

Chapter 5 outlines the Principal Selection Model. It is organized in two stages, each with two phases.

The Pre-vacancy Stage is made up of the *District Preparation Phase* and the *Candidate Preparation Phase*. The

District Preparation Phase includes: setting district goals and priorities; human resource surveys; policy and procedure development; personal and positional criteria; and, data selection, screening and evaluating. The Candidate Preparation Phase is concerned with building the candidate pool. Topics include affirmative action, training, preselection.

The Vacancy Stage consists of the *Selection Phase* and the *Development Phase*. These phases are concerned with the actual selection process; matching the candidate to the position. In this stage are included topics related to evaluation and cost of the process, and includes provisions further training for successful candidates.

The final section deals with considerations for implementing the model.

## Chapter 2

### THE SELECTION PROCESS

Finn (1984) advised developing effective school-level leadership by selecting and nurturing first rate principals and removing weak ones. He felt we should make the careful selection and deployment of professional staff a school-level responsibility. Goodlad (1983b) recommended a proactive search for promising leaders and a two year training program to develop leadership and management skills. Fullan (1985) recommended strengthening potential leaders by identifying and developing the talents of assistant principals, vice-principals and others through the use of mini-courses, and apprenticeships. He felt this would serve the dual purpose of improving skills of leadership staff and developing a talent pool for future principals.

Leithwood and Montgomery (1982) found the principal's role inherently ambiguous because of a lack of clear expectations for the role and because no defensible criteria for assessing principals' performance are available. Fullan (1985) noted the need to clarify and develop the role of principals and the criteria for school based processes. To address these problems, Fullan recommended school districts develop procedures and criteria for the selection of principals based on demonstrated interest and basic skills in leading and in supporting school improvement efforts.

Musella (1983) lists many problems inherent in the most prevalent selection methods being used in North America:

1. the lack of agreed upon criteria;
2. inadequate data collection procedures;
3. lack of valid and reliable information;
4. lack of clarity on the role of the selectors at different stages of the selection process;
5. lack of appropriate involvement by those in the best position to know; and,
6. use of criteria unrelated to success on the job.

This chapter is an overview of general personnel selection processes in education, and research related specifically to principal selection. Topics covered in this chapter include: personnel recruitment and selection; affirmative action programs; difficulties associated with standard selection processes; problems related to the development of principal selection policies and procedures; selection decisions related to positional and personal requirements; and, traditional data sources. The areas of recruitment and selection are examined in three stages, preselection, selection, and postselection. Training and socialization as they relate to selection are included. Essential elements of principal selection processes are summarized in conclusion.

#### PERSONNEL SELECTION

William B. Castetter's (1986) book, *The Personnel Function in Educational Administration* is an extremely thorough, detailed examination of all personnel functions related to educational administration. The two chapters that

deal with personnel recruitment and selection relate directly, though not exclusively, to principal selection, and provide a framework for the development of a principal selection process. The first part of this chapter summarizes Castetter's main steps in personnel recruitment and personnel selection. Reference is made as well to *Personnel Administration in Education* (1987) by L. Dean Webb, John T. Greer, Paul A. Montello, and M. Scott Norton; *Selecting School Administrators* (1983) by Donald Musella; and, *Administrator Selection, Career Patterns, Succession, and Socialization* (1988) by Erwin Miklos.

#### *Personnel Recruitment*

Castetter uses the term recruitment to mean "those activities in personnel administration designed to make available the numbers and quality of personnel needed to carry on the work of the school system" (p.184). He stresses that before any decisions can be made regarding recruitment, a complete study of present personnel and future personnel needs must be made. This "human resources planning" must focus on both short and long range needs. Comparing the intended organizational structure and the projected profile of existing personnel gives a good indication of future personnel requirements. These requirements can often be filled internally through transfer, promotion, development or training, and improved use or deployment of existing

personnel. Where a shortage is indicated, specific plans must be developed to recruit from external sources. Musella (1983) terms this a district needs assessment to

identify those elements of need that have a direct bearing on the position analysis, with the expectation that the selection decision will result in selecting the person(s) best equipped to meet this need (p.17).

Castetter's (1986) "Model of the Recruitment Process", Figure 2.1, consists of five essential sequential steps. In Step 1, a recruitment policy, including antidiscrimination and affirmative action programs, is developed. In Step 2 recruitment activities are identified, assigned to different people at various levels of the organization, and coordinated. In Step 3, various internal and external sources for locating applicants are examined. In this step, as in Step 1, employment of the disadvantaged is an issue. Step 4 deals with the coordination of the applicant search. In Step 5 the recruitment process is evaluated in terms of its cost, and efficiency of sources and processes. This evaluation of the efficiency of the process is essential and should be on-going.

Webb et al (1987) stress that

all parts should interrelate to form a whole. [A human resource plan]...is not simply a collection of plans from several subunits of the organization but rather a single plan reflecting personnel recruitment, selection, allocation, compensation and development (p.62).

They see a human resource plan as (a) comprehensive, (b) integrative, (c) continuous, (d) multiyear planning

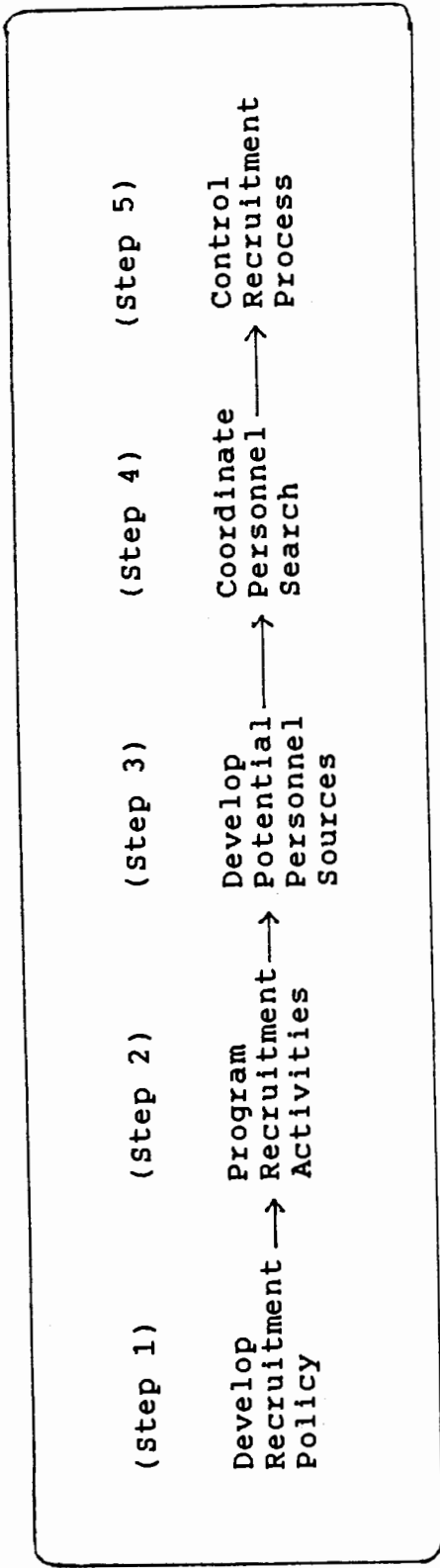


Figure 2.1.1. Model of the Recruitment Process

Castetter, 1986, p.190

formatted, (e) participatory, (f) flexible and modifiable.

### Affirmative Action

Castetter lists six types of employment discrimination: discrimination on the basis of race, gender, national origin, religion, handicap and age. He emphasizes the need for affirmative action policies and programs in any selection process to curtail and eradicate discrimination. Recent research (Miklos, 1988, p.56) confirms that the proportion of women administrators has actually declined in recent years due to a variety of barriers that impede access to administrative positions, such as (a) discrimination in hiring practices, (b) restricting the availability of information, (c) discouraging competition, (d) expecting higher qualifications, (e) restricting job types, (f) discouraging job and role socialization.

In the United States, in addition to Constitutional provisions, extensive legal reforms have occurred, such as the Equal Employment Opportunity (EEO) legislation, aimed at correcting abuses of individual employment rights. In spite of the apparently positive effect of some aspects of affirmative action, doubts have been expressed about the extent of policy adoption and implementation as well as effectiveness. The need for assertive hiring policies, specialized training programs, individual and institutional initiatives and the immediate hiring of large numbers of



women was stressed (Miklos, 1988, p.57).

In Canada our equality rights are guaranteed under s.15(1) of the Canadian Charter of Rights and Freedoms (1982).

Every individual is equal before and under the law and has the right to equal protection and equal benefit of the law without discrimination and, in particular, without discrimination based on race, national or ethnic origin, colour, religion, sex, age or mental or physical disability.

Subsection (2) adds

Subsection (1) does not preclude any law, program or activity that has as its object the amelioration of conditions of disadvantaged individuals or groups including those that are disadvantaged because of race, national or ethnic origin, colour, religion, sex, age or mental or physical disability.

In subsection (2) affirmative action programs to right job discrimination are permitted.

Castetter breaks the building of affirmative action programs into seven steps (p.192).

1. The core of any affirmative action program is a policy statement to the effect that equal opportunity will be provided for all persons who apply.
2. Responsibility for all aspects of the affirmative action program, including administering and coordinating all aspects of the information systems must be clearly laid out.
3. Clear and open communication of the content of the affirmative action program using both formal, informal and alternate networks must be part of the system design.

4. A work-force analysis will show what imbalances exist in current staffing, and where action must be taken.
5. Goal setting and timetables for meeting affirmative action goals, both short-term and long-term, is also essential.
6. The affirmative action program must be linked with the personnel process so that women and minority groups are actually recruited, provided with training and development activities to increase their effectiveness and ensure they warrant promotion.
7. Program control through on-going evaluation and monitoring must proceed in a systemized way.

#### *Standard Selection Processes*

Castetter feels that most districts do not make effective use of existing knowledge about how to choose the best candidate. Problems with standard selection processes include the following.

1. Many influences can neutralize efforts to appoint personnel on the basis of merit.
2. Personnel are often chosen for reasons that have nothing to do with the selection techniques.
3. Even the best selection techniques have a margin of error because of the human judgement involved.
4. Economic constraints, incomplete or inaccurate data collection, and insufficient numbers of applicants all negatively affect the selection process.

Personnel administrators face a number of formidable problems in developing a selection process, including: developing job requirements and role criteria; selecting what data to collect, and how the data is to be collected and evaluated; setting up evaluators; screening the candidates to form an eligibility list; and finally, recommending the most suitable candidate (Castetter, 1986; Musella, 1983; Webb et al, 1987). Above all, the selection process presents opportunities to correct problems relating to affirmative action and staff balance.

#### Traditional Data Sources

##### Preliminary Screening Interview

This interview is to ascertain the presence of key requirements and minimal qualifications; it must request only job related information, and contain no screening biases (Castetter, 1986). When used in conjunction with written information from the application blank and personnel file, a decision about whether the candidate meets minimum requirements can be made (Webb et al., 1987).

##### Second Interview

Castetter (1986) feels a second interview is the best device for gathering information not provided by transcripts or application forms, for observing interpersonal skills and responses, for testing thought processes, and judging values

and aspirations. Included are decentralized interviews, team interviews, group interviews, and final interviews.

Structured interviews have been found to have a greater inter-interviewer reliability than unstructured interviews (Castetter, 1986, p.242), and because of their higher predictive validity, Castetter recommends districts spend time to develop a structured interview. Musella (1983) recommends interviewees be assessed on pre-determined criteria. Through the use of key questions and scorable answers, a relative score for the candidates can be obtained to make the choice as unbiased as possible.

Castetter (1986, p.243) lists 9 research findings regarding interviews.

1. Interviewers usually reach decisions within a few minutes.
2. Unfavorable information almost always carries more weight than favorable data.
3. The effect of unfavorable information about an applicant depends on when it is perceived and when the judge records impressions.
4. Once a judge is committed to accept an applicant, additional information increases confidence in all decisions but does not improve its quality.
5. Nonverbal as well as verbal interactions influence decisions.
6. Training and experience have minimal effects on the quality of judgement.

7. Training may reduce interview error but there is no evidence that the reduction of error improves judgement.
8. If several really promising or very unpromising applicants have been evaluated in succession, one who is "average" will be under- or over-rated.
9. Interviewers develop a stereotype of the good applicant and seek to match applicant to stereotype.

Castetter acknowledges the limitations of the selection interview, but recognizes its indispensibility.

#### Application Blank/ Biodata

The application blank, structured application, weighted application blank, biographical inventory, and future autobiography belong in this section, and have three purposes:

1. to determine whether the candidate meets minimum hiring requirements,
2. to serve as a supplement to and preparation for the interview,
3. to obtain biographical data and work-history information that can be used to predict some assessable aspect of job proficiency (Landy and Trumbo, 1980; Musella, 1983).

#### College Transcripts

In Musella's (1983) opinion, college transcripts are of little use in selecting the most appropriate candidate, since there is little evidence of a relationship between success at university and success on the job. Leithwood et al (1984)

agrees that training is no guarantee of competency.

### Letters of Reference

Similarly the validity and reliability of letters of reference are uncertain. To increase their validity Musella (1983) recommends the district seek specific job-related information by asking referees for written responses to questions developed from a position analysis. Checks of reference information should be made using multiple credible sources, and the information used as a data source for the interview. However, Musella feels it is best to avoid placing any significant reliance on letters of reference. Stauffer (1975) recommends that referees be asked to respond to specific questions on a rating scale dealing with candidates's characteristics and knowledge, opinions on personality and temperament to handle interpersonal relations, leadership ability and overall potential.

### Written tests

Written tests for data collection should only be included if the tests can be shown to be job-related as far as the content is concerned, non-discriminatory, based on job knowledge and understanding, or must test the skills needed for the job. An example of job related tests are those used in National Association of Secondary School Principals Assessment Centers that focus on the supervisory and administrative skills identified by the school district as essential for success as a school principal in that district.

Research in Miklos (1988) cautions that testing should be complementary to other selection techniques, and not the overriding selection tool, and should not be allowed to obscure other factors that are relevant to the selection decision (p.54).

#### CASTETTER'S MODEL OF THE PERSONNEL SELECTION

Castetter emphasises that no matter what the size of the district, thorough selection processes are necessary. The cost of developing and operating an efficient system is less than the waste of time, money and effort that occurs when the wrong people are chosen.

A poorly planned or hasty selection can precipitate a potentially endless flow of personnel problems. The employment of the wrong person can reduce the effectiveness of instruction, jeopardize existing working relationships among the staff, and require costly remedial support or necessitate an unpleasant termination - not to mention the possible hardship to the individual involved (Webb et al, 1987, p.77).

Figure 2.2 is Castetter's (1986) Model of the Personnel Selection.

Though it would appear from studies (Baltzell & Dentler, 1983; Kelsey & Leullier, 1978; Legg, 1984) that the major emphasis in most school districts is on the selection phase in principal selection, Castetter places great emphasis on the essential elements of the preselection phase.

#### *Preselection Phase*

By developing selection policies and the procedures for implementing them, a decision system is set up that targets

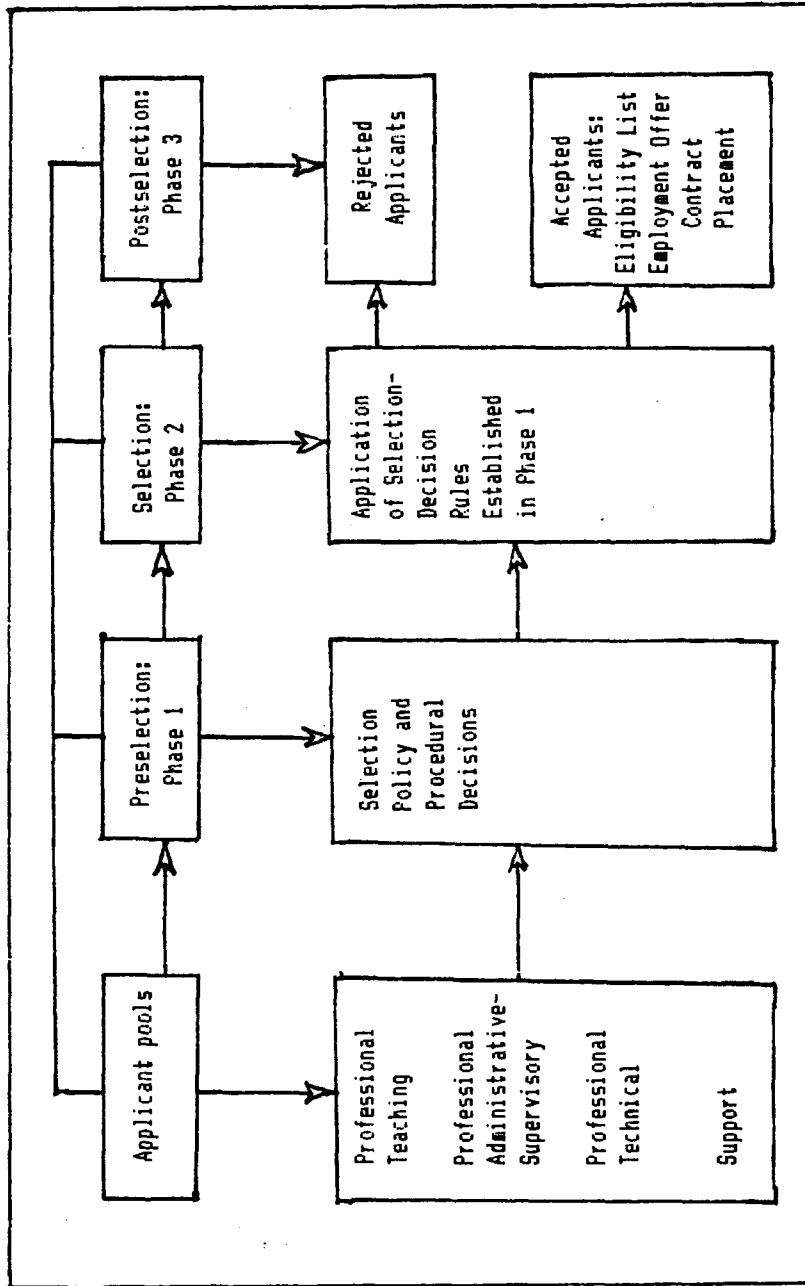


Figure 2.2. Model of the Personnel Selection

Castetter, 1986, p.224



the school board's efforts on selection objectives before the start of the actual selection process. Decisions related to laws and regulations, positional and personal requirements, effectiveness criteria, performance predictors and selection responsibilities are crucial at this stage (Castetter, 1986).

### Selection Laws and Regulations

In dealing with employment discrimination and equal employment opportunities, Castetter feels a proactive stance designed to overcome biases and focus on the rights of the candidate to be judged on merit, can be achieved through:

1. a policy statement guiding selection decisions,
2. an affirmative action plan,
3. continued assessments of personnel for balanced representation,
4. carefully designed selection mechanisms,
5. emphasis on and supervision of selection processes to ensure equal opportunity for all applicants.

### Selection Decision Components

#### Position requirements.

In order to determine if a candidate can perform or is performing effectively in a position, an analysis of the requirements of the position must be done. The individual in charge of personnel selection must know what to look for, and applicants must know the kind of person being sought. A written statement of position specifications must include

position title, primary function, major responsibilities, a summary of key duties, special assignments, relationships and areas of authority. The position guide must consider district goals and school objectives in developing realistic and directly job related specifications (Castetter, 1986). In developing a list of job responsibilities, input should be sought from the person currently in the position, from the superior or evaluator of the position, and from the subordinates (Musella 1983). This helps ensure merit is used as a primary selection criterion (Castetter, 1986).

Webb et al.'s (1987) Position Analysis Outline [Table 2.1] covers these positional areas, and includes personal and performance areas, defined in behavioural terms.

#### Personal requirements.

For administrative positions, Castetter lists three components to ensure the relationship between position and personal requirements does not result in discriminatory selection practices:

- (a) personal characteristics; general health, work motivation, oral and written expression, initiative, emotional stability, mental ability,
- (b) process criteria; tasks that must be performed,
- (c) product criteria; outcomes of the process.

Combinations of traits, process or product may also occur.

Research reviewed in Miklos (1988) indicates general

Table 2.1. Position Analysis Outline (PAO)

- I. Strategic Nature of the Position
  - A. Mission of the school system
  - B. Strategic objectives of the subunit
  - C. Organizational structure of the subunit
  - D. Expectations for personnel sought
    - 1. In immediate work setting
    - 2. In relation to members of the school system
    - 3. In relation to members of the subunit
    - 4. In relation to external groups or individuals
- II. Static and Dynamic Features of the Position
  - A. Important considerations at the beginning of the assignment
  - B. Anticipated changes in position requirements and factors influencing changes
  - C. Effect of others on the position
  - D. Nature of important constituencies of the position
- III. Behaviours Required and Desired
  - A. Required
    - 1. In immediate work setting
    - 2. In relation to members of the school system
    - 3. In relation to external groups or individuals
  - B. Desired
    - 1. In immediate work setting
    - 2. In relation to members of the school system
    - 3. In relation to external groups or individuals
- IV. Screening and selection Criteria
  - A. Aptitudes
  - B. Skills and abilities
  - C. Knowledge
  - D. Education and experience

(Webb et al., 1987, p.80)

professional criteria include previous preparation, experience and competence. As well, human relations skills, organizational ability, communication skills, and the ability to elicit co-operation are also considered important (Miklos, 1988, p.54). Important personal characteristics include: judgement, personality, character, openmindedness, physical and mental health, poise, intelligence, sense of humor, voice, and cultural background (Miklos, 1988, p.54). However, though agreement on criteria at a level of principle was apparent, it was less evident in application (Miklos, 1988, p.55).

#### Effectiveness criteria.

Once a guide for personal and positional requirements is written, performance criteria for judging their presence or absence must be developed. Each of these criteria must be assigned a weighting factor, so those with the greatest success in predicting effective performance are given the greatest weight (Castetter, 1986).

#### Performance predictors.

How data on these criteria is to be gathered, and how it is to be evaluated must be clearly indicated. Each of the data sources must be rated as to its effectiveness in predicting performance and assigned a weighting. A combination of sources and techniques should be used to maximize the probability of selecting the best candidate (Castetter, 1986).

### *Selection: Phase II*

This phase deals with the match between candidate and positional requirements. Table 2.2 illustrates the distribution of responsibilities involved in the personnel selection process (Castetter, 1986). Areas of concern in appraising the data and the applicants include: checking reference material to determine its accuracy, and checking for the presence or absence of conflicting information. Using a numerical value to assess information from data sources, or weighting the various data sources themselves is suggested. Tables 2.3 and 2.4 contain examples of these procedures.

### *Postselection: Phase III*

In this phase, decisions are made about which candidate or candidates will be hired. Castetter discusses the advantages of developing an eligibility list of qualified, suitable candidates to ensure the presence of merit. In the event that no suitable candidate is found, alternatives are given, including providing specific developmental experiences for persons considered to be good risks but who need to improve skills to fill position expectations. This goes hand-in-hand with affirmative action programs.

### PERSONNEL INDUCTION AND PERSONNEL DEVELOPMENT

Castetter also includes two chapters on personnel induction and development as means of socializing new personnel and helping them achieve the highest level of performance in the shortest period of time. He feels

**Table 2.2. Distribution of Responsibilities Involved in the Personnel Selection Process**

Selection Activities	Responsible Agent							
	Superintendent	Assistant Superintendent	Personnel Director	Principal	Assistant Principal	Supervisor	Department Head	Other
Development of selection policy								
Organization and administration of selection process								
Budgeting for selection process								
Provision of clerical and secretarial support								
Employment of consultant services								
Conduct of training sessions for personnel selection								
Development of position guides								
Formulation of selection criteria								
Development and administration of forms and records to facilitate selection process								
Gathering applicant information								
Checking applicant information								
Processing of applicant information								
Evaluation of applications								
Selection of personnel								
Notification of unsuccessful applicants								
Employment of personnel								
Assignment of personnel								
Evaluation of results of selection process								
Updating and improving selection plans								

Castetter, p.253

Name of Applicant _____ Date _____ Assessor(s) _____		Assessment Summary	
Key Skill Requirements For Principalship	Performance Level Indicators	Weight of Requirements	Weighted Assessment
			Assessment of Applicant
Instructional leadership	Promoted to present position on basis of assertive instructional leadership role	10	90
Participation in staff selection	Relies heavily on central staff recommendations	9	45
Provision of support to teaching staff	Not as assertive as desired in enforcing discipline	9	54
Staff development	Staff development programs not closely tied to instructional program	10	50
Classroom observations	Judged to spend considerable time in observing teaching-learning activities	9	72
Implementation of systemwide purposes, policies, programs	Understands system mission and focuses activities of school attendance unit on linking individual unit, and systemwide plans	10	80
	(Total)		391

Table 2.3. Assessment Summary Form for Principalship Applicants, Green Mountain School District. [Source: Illustrative position skill requirements selected from Educational Research Service, Inc., *Effective Schools: A Summary of Research* (Arlington, VA: The Service, 1983), 26-30.]

**Table 2.4. Position-Person Compatibility Profile Employed in Selection Process**

<i>Position Requirements - Rate Applicant Information as Follows:</i>			
	1= Marginal	2= Acceptable	3= Desirable
<i>Sources of Information about Applicant</i>	A Ability to Perform Key Duties	B Personal Qualifications	C Position-Related Preparation and Experience
1. Application Blank	1	3	3
2. Interviews			
a. Preliminary		3	2
b. Diagnostic		1	3
3. Biographical Inventory		1	3
4. References	3	2	3
5. Academic Transcripts			
a. High School			2
b. College			3
c. Graduate School			3
6. Test			
a. Medical			
b. Paper-Pencil			
c. Teaching Performance	3	3	3
7. Performance Assessment	3	3	2
8. Placement Agency Data	2	2	3
<b>Total for Applicant</b>	<b>12</b>	<b>18</b>	<b>30</b>
<b>Standard for Position</b>	<b>10</b>	<b>16</b>	<b>22</b>
<b>Difference</b>	<b>+2</b>	<b>+2</b>	<b>+8</b>

Column A= Ability to perform key duties: (a) planning for teaching, (b) developing classroom climate, (c) managing the classroom.

Column B= Personal qualifications: (a) role commitment, (b) aptitudes, (c) interests, (d) physical requirements, (e) social requirements.

Column C= Position-related preparation and experience

\* Key teaching duties are those reported and categorized from findings of effectiveness research and summarized in Thomas L. McGreal, *Successful Teacher Evaluation* (Alexandria, VA: Association for Supervision and Curriculum Development, 1983, 74-93)

Castetter p.248



A school system can recruit and select personnel, but, until newly appointed members become fully cognizant of and adjusted to the work to be performed, the environment in which they will function, and the colleagues with whom they will be associated, they cannot be expected to contribute efficiently and effectively to the realization of organizational expectations (p.287).

Through development activities, staff performance can be improved, key skills can be developed in anticipation of vacancy needs, and satisfaction enhanced. Musella (1983) includes district training programs for prospective administrators, preparation and job training for incumbents, and remediation for those candidates not selected. Each of these areas of training benefits the district by strengthening present and future administrators.

Induction and development should be an integral part of selection because they contribute to district and staff effectiveness. Studies in Miklos (1988) focus on three areas of socialization: socialization prior to appointment; the significance of sponsors, mentors and role models; and, socialization following appointment (p.65-68). Recommendations from these studies are included in the model presented in Chapter 5.

#### PRINCIPAL SELECTION RESEARCH

In the second chapter of the *Handbook of Research in Educational Administration* (Boyan, 1988), Miklos has summarized empirically based research on "Administrator

Selection, Career Patterns, Succession, and Socialization".

He feels that:

Issues such as who becomes an administrator, through what processes and conditions, and under what circumstances assume a high level of significance if the assumption is made that administrators make a difference in the institution of education. The potential exists for bringing about quantitative and qualitative changes in the differences administrators can make through improved knowledge about the recruitment, selection, preparation, and placement of administrators (p.69).

Much of the research he includes was undertaken to meet requirements for doctoral degrees, and as such has not been widely published. Miklos feels the constraints under which the research took place and the research methodology affect the validity of applying the research results widely (p.69). In spite of the lack of professorial research or descriptive surveys of wider populations and in-depth case studies, however, the research he reviews gives an indication of directions to pursue. [Research summarized in Miklos and included in this paper is cited under Miklos' name with a page number reference.]

Though there are many books dealing with general personnel selection, and the role of principals and their effectiveness, little research has been done on how school principals are actually selected. One two part study is Baltzell and Dentler's Selecting American School Principals (1983). Baltzell and Dentler acknowledged the limitations of their study: the lack of a national probability sample and the exclusion of any districts with fewer than 10,000 students.

In Part 1 Baltzell and Dentler describe conventional selection processes in 15 randomly selected school districts in the United States, which includes the vacancy announcements and definition, specification of selection criteria, generation of applicant pools, screening of candidates and employment decisions. Using local standards, the selection processes were evaluated on merit, equitability, legitimacy, and efficiency.

In judging the merit of the process, Baltzell and Dentler asked the participant school districts how merit was defined and its presence identified in that district. They checked whether merit mattered more when the selection group was varied, and whether the selection process was generic or for a specific school or style of candidate. In most of the districts in the study, merit was not really a concern.

Similarly Baltzell and Dentler looked at what the school district meant by equity and how it was applied to the selection process. They checked for equality of access for women and minorities, whether equality was built into the selection process, and, finally, whether the minorities did in fact get hired. When there was a conflict between goals and equity, Baltzell and Dentler looked at which took precedence. In most of the districts in the study, equity was just a statement with no basis in fact.

The legitimacy of the process meant the extent to which the existing system followed openly described steps, how it

was fitted to local customs and norms, and how authentically it was implemented. In most of the districts in the study, the only legitimacy in the process was that the school districts did look for candidates.

The question of the efficiency of the selection process in terms of time and cost involved was examined, and the degree to which the process was subordinated to efficiency was checked. In most of the districts in the study, there was little efficiency in or time spent on the selection process.

Baltzell and Dentler's findings were that, generally, current selection procedures do not do justice to the importance of the principalship. This meant there was no consistent likelihood of getting the best candidate.

#### Problems With Common Principal Selection Methods

Though many districts say that they want the best educational leader for the position, there are no criteria to assess the educational leadership ability of candidates, and principals are appointed on a case-by-case basis (Baltzell & Dentler, 1983). Miklos (1988) found "one of the major discrepancies...is the lack of written policy and explicitly stated procedures" (p. 54). Most districts, in the absence of specific criteria, relied on local notion of "fit" or "image". This meant "interpersonal perceptions of the candidate's physical presence", their "projection of a certain self-confidence and assertiveness, and [the] embodiment of

community values and methods of operation" (Baltzell and Dentler, 1983, p.7). This notion of fit works against women, minority groups and out-of-district applicants. Indeed, even when conditions support a broader recruitment, candidates unusually come from traditional sources: minority and female members perceive and encounter restrictive entrance barriers to the pool (Miklos, 1988, p.55). These are the same problems as those outlined by Castetter (1986) with respect to personnel selection.

Though recruitment and selection processes consume an average of 24.6% of the personnel administrator's time (McCoy, Gips & Evans, 1983), many researchers have

criticized the low priority and limited resources allocated to recruitment and selection, the limited preparation and planning for both activities, the restricted involvement in the process, and the extensive reliance on interviews during the assessment of candidates (Miklos, 1988, p.54).

Baltzell and Dentler (1983) noted that most school districts operate essentially closed selection procedures for principals, making no proactive attempt to develop a pool of suitable candidates. Each vacancy is dealt with on an individual basis. Most often principals' positions are advertised in a non-specific vacancy announcement in the local media stating general job specifications such as the education and teaching experience required. Even when a specific school position is to be filled this non-specificity allows the superintendent to make other administrative moves for

promotions, to solve administrative problems, and to make in-district transfers. Findings by Kelsey and Leullier (1978), Legg (1984), and Newberry (1975) indicate this is the type of selection that occurs in most British Columbia school districts.

Cornett (1983), writing of the practice in the United States, notes that

Selection of principals takes place at two junctures: (1) self-selection by those teachers who decide to pursue graduate educational administration programs to become licenced, and (2) the actual employment decision when superintendents choose new principals, usually from the pool of those district teachers who have earned their administration certificates (p.14).

Since the criterion of suitability for an administrative position is not used in the selection of graduate students, and academic ability does not seem to be a predictor of success as a principal, problems arise. Research in Miklos (1988) indicates departments of education do not recruit widely or aggressively. The dominant selection criterion is the grade point average, and even when other criteria are used, the relative weights assigned to the criteria are seldom made explicit (p.58).

#### Typical Principal Applicants

Baltzell and Dentler (1983) found the typical applicant for a principalship is a local male teacher or coach who has gone through a self-selection process. By his willingness to work after hours, handle discipline, and serve on committees

he built a widespread reputation in the district as an "eager beaver". Encouraged by his principal, the candidate attained an administrative degree, seeking management opportunities at the district level. His first appointment was as assistant or vice principal, or some district position as consultant or coordinator. Depending on the size of the district or the kinds of vacancies, the candidate then began applying for jobs as principal, knowing that it was only a matter of time before he was appointed to a principalship.

Research cited in Miklos (1988) indicates that factors of age, socioeconomic background, education, marital status, religion and political affiliation shape administrative careers. Much of the research deals with female candidates, and how their administrative advancement differs from that of men. Holding qualifications beyond those required for certification enhances access to administrative posts (p.60). The earlier a candidate sets career goals and starts on an administrative career, the more rapid the rate of upward mobility is apt to be (p.60). Though women are younger than men when they enter teaching, they tend to be older than men when they become principals (p.61). Women appointed to administrative posts average 5 to 10 years older than men in similar positions (p.60). As well, there are significant differences in the personal and professional characteristics of female and male administrators (p.61). Though the most

competitive move for women seems to be into the vice-principalship (p.61), once they are working in administration their career patterns do not differ markedly from men's (p.61), though their aspirations are generally lower. In many cases, for women in higher administrative positions, a greater readiness and positioning themselves in the "right" spot helped their advancement (p.61). Without an "old boys'" network for support, encouragement by superiors is very important to the career development of women.

The career patterns of women and cultural minorities are affected by external barriers, socialization processes and cultural expectations (p.62). Minority groups are underrepresented in spite of the use of special criteria, and tend to be given administrative positions in schools with students of the same minority group (p.61).

No matter who the administrative candidate, however, visibility and relevant experiences are significant in career development, and the influence of "Getting Attention of Superiors [GASing], should not be underestimated.

#### *Essential Elements in Principal Selection*

Baltzell and Dentler found that, because of the strong local context, there was no one best approach to developing a principal selection policy, but an array of possibilities. It would appear, however, that there are procedural criteria central to efficacy and technical elements related to merit, sex and race equity, and legitimacy, essential to the



implementation of any principal selection process. [See Table 2.5]. Baltzell and Dentler term the elements "clues to what appears to be essential" (p.53). These *Essential Elements* mirror Castetter's recommendations for the development of effective personnel selection processes.

### Procedural Criteria

Though the actual selection process will vary in design to fit each district, there are five procedural criteria which must be present (p.52).

1. The intake process must be known to be open equally to anyone who meets the eligibility criteria.
2. The process must provide wide access to preparation opportunities if experiences and competencies are required for eligibility.
3. The principal selection procedures must be rigorous.
4. Those appointed under new procedures must reflect perceivable differences from those formerly appointed.
5. The process should build a strong interdependence among central office and building administrators resulting in a network of leadership.

### Technical Elements

Technical elements are also essential to effective implementation.

#### Merit.

If principals are to be perceived as being appointed on

Table 2.5. ESSENTIAL PRINCIPAL SELECTION ELEMENTS

AIMS	VACANCY	SELECTION CRITERIA	APPLICANT POOL	SCREENING	APPOINTMENT
Leadership Merit	If no one knows you are searching, no test of merit is possible	Develop a complete set Connect each criterion with a type of evidence Decide whether general or unique to a school	Generate and prepare continuously Define access clearly Keep size large	Include diverse and divergent screeners Avoid reliance on interviews Evaluate	Avoid excuses to defer Notification protocol for winners and losers
Sex and Race Equity	Women and racial/ethnic minorities depend for their applications upon a vacancy announcement Fair or unfair?	Review of criteria by women and racial/ethnic minorities	Generate women and racial/ethnic pool continuously Prove a list is used Recruit outside district if necessary Use informal networks	Eliminate sources of bias Fair or unfair?	Equalize real appointment outcomes Fair?
Legitimacy	All affected groups are informed	Criteria are made public Criteria are Board-approved	Leaders of affected groups informed of pool members Nominations taken	Broad representation Divergence explained Evaluation results disseminated	Full announcement Full account of process

merit, it is not possible to deal with individual vacancies as they arise (Also, see Castetter, 1986, p.186). The following technical elements related to merit must be in place and operational as part of the principal selection process.

(a) A good principal selection process has built into it a well-laid out, rigorous, efficacious system for generating candidates, including a widely described and accessible pre-vacancy stage (Also, see Castetter, 1986, p.196).

(b) Merit demands a district develop and disseminate criteria for the skills and duties required by a principal. (Also, see Castetter, 1986, p.228-234).

(c) How and what kind of evidence of these criteria will be gathered and evaluated must be decided in advance (Also, see Castetter, 1986, p.200).

(d) The screening process must include a system for collection and evaluation of data. It should have a prescreening component and a format for presenting usable data in a uniform format. In order to assure adequate opportunity to assess candidates on the criteria, formal assessment must begin far in advance of any vacancies or selection (Also, see Castetter, 1986, p.237-246).

(e) The screening committee must contain some component to combat the negative effects of groupthink, and to maintain external credibility (Also, see Castetter, 1986, p.199).

(f) Over-reliance on interview performance or the

unevaluated validity of paper tests should be avoided. Well formulated criteria, multiple sources of evidence sufficient to test for their relative presence, and multiple sources of assessment are needed in a well balanced principal selection process (Also, see Castetter, 1986, p.238-246).

(g) Having arrived at a top ranked candidate, it is important that other considerations, such as in-district transfers and other placements, not divert the appointment as this results in less than highest quality leadership (Also, see Castetter, 1986, p.221-224).

(h) Communication with both the winners and losers, including opportunities to discuss future prospects, will enhance the merit of the process (Also, see Castetter, 1986, p.252-254).

#### Sex and race equity.

Baltzell and Dentler's findings in the area of sex and race equity parallel those of Castetter's Selection Laws and Regulations, and Affirmative Action. They found building sex and race equity into a principal selection process reinforces the concept that merit is found in all segments of the population. Ways that sex and race equity can be implemented include the following.

(a) In order to achieve representativeness, affirmative action goals must be implemented by school officials. This should include training and internship processes which encourage women and minority candidates.

(b) Selection criteria should not contain any barriers or disadvantaging formula, though the balance between merit and equity must be maintained.

(c) To avoid tokenism, a substantial pool of female and minority applicants must be maintained, and used, with recruitment of women and minorities from out of district if necessary. To build the pool, alternate networks of information need to be accessed, with recruitment of women and minorities from out of district if necessary.

(d) Women and minority members should be included in screening groups, and should help determine that criteria are unbiased and performance based.

(e) Women and minority members of observably high merit must be appointed.

#### Legitimacy

The credibility or legitimacy of the selection process determines the degree to which the lead of principals is followed. Baltzell and Dentler's findings are addressed in Castetter's "Introduction to Personnel Selection" (p.222), and include the following.

(a) In order for the appointment to be seen as legitimate, vacancies and procedures for selection must be known to all affected parties.

(b) Before each use, selection criteria should be publicized and explained, especially to candidates.

(c) The board should approve, examine and/or revise the

criteria in public session.

(d) All affected parties should be informed periodically of the makeup and membership of the candidate pool, and there should be widespread public understanding of the ways aspirants can join the pool.

(e) Screening and rating committees should include broad representation of affected groups, guided by local conditions. The role and expertise of non-educators on the screening committee must be clarified and publically disclosed.

(f) Assessment of the screening process should take place concurrently with the assessment of the persons chosen using the new selection process.

(g) The appointment of new principals should be publicized and their qualifications and suitability for the assignment stressed.

(h) The process features of the principal selection procedure and their improvement should form a part of the annual public report from the district.

Castetter (1986) also includes essential steps in his personnel recruitment and selection processes. These are:

1. a complete study of present personnel and future personnel needs;

2. developing a recruitment policy that includes

- (a) affirmative action;

- (b) identifying activities that will be used for recruitment, and the assignment of responsibility and coordination for these activities;
  - (c) identification of candidate sources, both usual and alternative;
  - (d) search coordination;
  - (e) recruitment process evaluation;
3. job requirement and role criteria development;
  4. data selection, collection and evaluation;
  5. setting up evaluators and a screening committee; and,
  6. personnel induction and development activities.

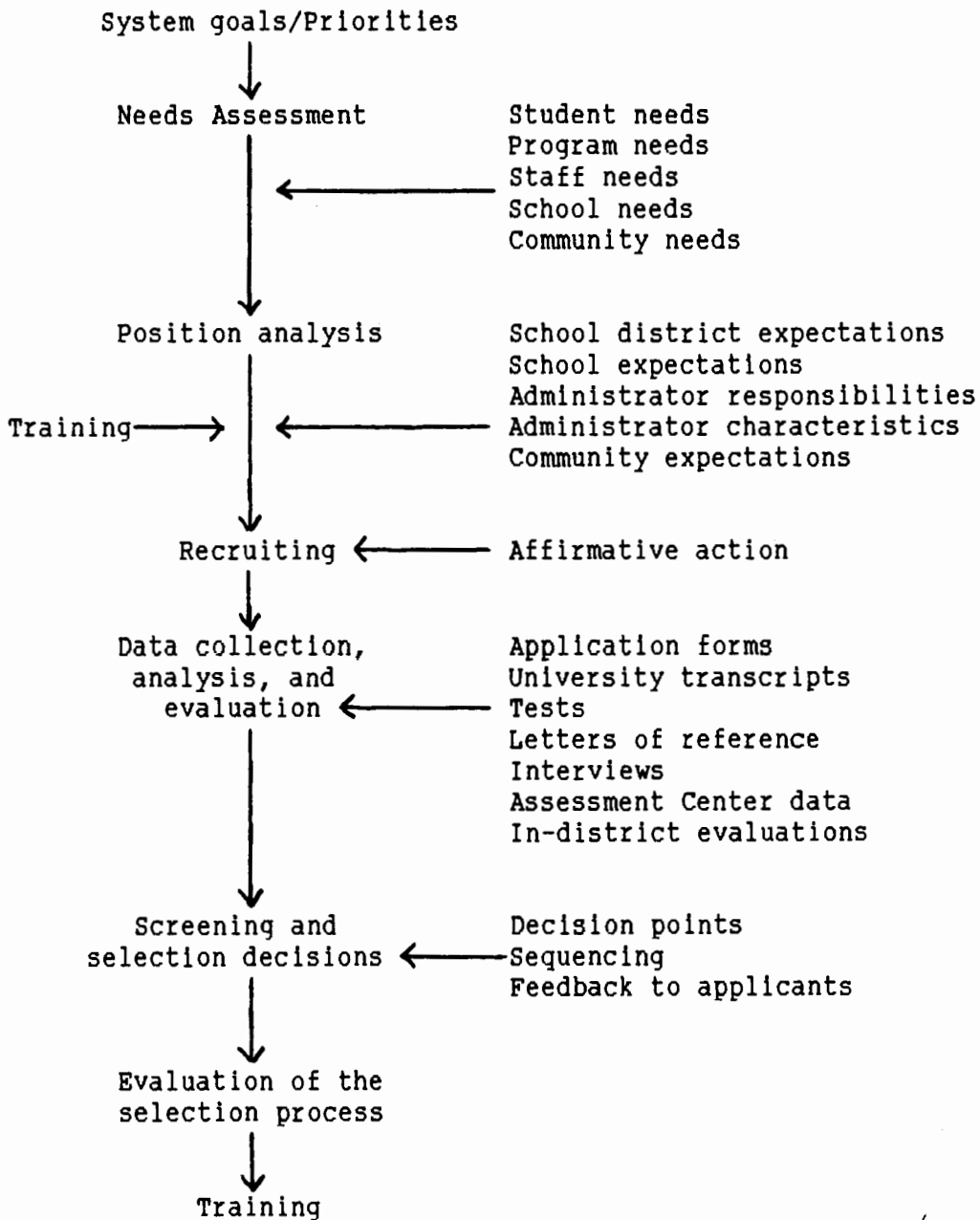
In his Principal Selection Model, [see Figure 2.3], Musella (1983) offers a general selection model, suitable for any size school district, that includes similar essentials:

1. The identification of system and school goals, priorities and needs;
2. a complete description analysis of the position;
3. proactive recruiting;
4. careful collection, analysis and evaluation of valid, sufficient data;
5. a screening system with a comprehensive decision-making process; and,
6. multi-level training programs.

#### SELECTION PROCESS SUMMARY

It would appear that if a selection process hopes to be

Figure 2.3. A School Administrator Selection Model  
 (Musella, 1983, p.24)





truly effective, it must contain all of these essential elements. Districts planning changes should measure their proposed plans against these essential elements. If the proposed process is lacking in any of these aspects, it should be given further attention.

The Principal Selection Model developed in Chapter 5 of this paper is based on these essential elements from Castetter, Baltzell and Dentler, and Musella. The Model attempts to incorporate essential procedural and technical elements in a comprehensive format. Included in the Model are exemplary principal selection processes which research indicates are most effective. These effective principal selection processes are examined in the following chapter.

## Chapter 3

### EFFECTIVE PRINCIPAL SELECTION

Research indicates that although much is known about making personnel selection more effective, school districts do not, on a regular basis, use that information in their principal selection processes (Miklos, 1988, p.54). Baltzell and Dentler's (1983) comparative analysis of districts with effective and those with less effective principal selection processes indicated eight major differences.

1. Effective selection processes have specific, dense, publically known, merit-linked criteria and grooming practices. Candidates complete "a rigorous internship or a lengthy apprenticeship just for the privilege of competing for a principalship" (p.42).

2. Districts with effective selection processes maintain a "ready pool of tested and assessed applicants...apart from any specific vacancy [which] enriches not only the principalship, but the lower levels of administration as well" (p.43).

3. Effective principal selection processes are distinguished by a multilayered, intensive screening sequence that includes career ladders, assessment centers or internships (p.43).

4. Selection of candidates by the superintendents in

effective districts was made on the basis of data provided by the selection process, and these superintendents shared their selection authority widely with those on the selection committee (p.43).

5. Effective principal selection processes maintain affirmative action in relation to sexual and racial/ethnic minority equity goals without compromising their leadership merit objectives (p.44).

6. By building "fairness, competitive vigor and comprehensiveness" into the selection process in effective districts, the position of principal gained prestige and esteem, and the process maintained its credibility (p.44).

7. Superintendents in districts with effective selection processes could make merit based appointments, free of political pressure (p.44).

8. More time and money was spent in the selection processes of effective districts, but these were more than compensated for by the quality of candidate (p.44).

This chapter looks at some principal selection techniques used in exemplary principal selection processes.

#### EXEMPLARY PRINCIPAL SELECTION PROCESSES

In Part 2 of their study, Selecting American School Principals (1983), Baltzell and Dentler investigated five districts whose noteworthy selection processes included assessment centers, district operated internship programs,

and exemplary common practices. These selection processes were based more on merit than on contingencies and had the advantage of sequential screening to give more objective, reliable, and comprehensive data. The principal's position was enhanced because of the vigor and credibility of the selection process.

The principal selection processes were developed after local crises indicated a need to sharpen selection criteria, particularly in the area of educational leadership, and by linking selection to merit, minimize the influence of fit. In a two- or three-tier process, applicants were screened at entry, through internship or in an assessment center, and finally in the actual principalship competition. At each level the selection process increased in rigor, and the number of successful applicants was reduced. Affirmative action was used to maintain equality as part of the process without sacrificing leadership merit objectives. A cadre of potential administrators was built.

Because "fairness, competitive vigor, and comprehensiveness of the process" (p.44) were stressed, the selection process had credibility. The attainment of a principalship had worth, status and prestige. Because the process was so well laid out, selection decisions could be made on merit. Though less efficient and more costly in time and money, districts were able to reach their goal of high leadership equity and merit.

Baltzell and Dentler note that in order to improve principal selection techniques, a district must have a superintendent willing and able to make changes. He or she must be a sophisticated practitioner of modern management principles. In the 5 cases they reviewed, the basic steps for change were: a major crisis in the district which caused the Board to realize something must be done; a change in the District's leadership, generally the hiring of a new superintendent with a special mandate; and the reform and revitalization of the principalship. The latter was achieved through "devising and testing out a new system [including changing] technical features of the selection process [and making] significant role changes" (p.45).

#### PRINCIPAL SELECTION TECHNIQUES

After their 1983 study of current principal selection techniques in the United States, Baltzell and Dentler indicated a real need for more knowledge about how to sharpen principal selection criteria, particularly in the area of educational leadership skills. They looked at finding better ways of conducting behavioural or performance assessments of candidates. They found the influence of local context so strong that viable alternatives must be flexible and adaptable to each school districts' needs and values. This is also mentioned in Musella's (1983) guidelines for development of a district-oriented selection process. Three

alternatives to commonly used selection techniques are assessment centers, internships, and structured interviews (Baltzell & Dentler, 1983; Miklos, 1988; Musella, 1983; Zakariya, 1983).

#### Assessment Centers

An Assessment Center is not a place, but an event, a program designed for identifying and measuring managerial and administrative potential (Musella, 1983). Used first in industry and government, Assessment Centers are gaining acceptance in education as one of the better methods of selecting and training principals (Schmitt et al, 1983). An Assessment Center is a rigorous, standardized, highly structured method of evaluating and identifying administrative talent (Baltzell & Dentler, 1983). By means of multiple observers and techniques a candidate's performance on several behaviourally defined skills is assessed. Through the use of simulations, roleplaying, fact-finding and stress exercises, small and leaderless group experiences, paper and pencil tests, and a structured personal interview, assessment centers provide an intensive assessment of an individual's ability (Leithwood et al, 1987; Miklos, 1988).

The best known Assessment Centers are run through the National Association of Secondary School Principals (NASSP). Beginning in 1975, NASSP worked with a special committee of

industrial psychologists and the American Psychological Association to develop a model to assist school districts in identifying and developing highly skilled school leaders. The model was completed in 1981 after four years of research and development, and a three year validation study (Hersey, 1986) was done by the Michigan State University. They found "the assessment center to be a content valid procedure for the selection of school administrators" (in Hersey, 1986) and that "the performance measures for the centers are all positive, showing high correlations between assessment ratings and job performance of candidates selected as principals and assistant principals" (McCurdy, 1983). Schmitt et al (1983) concluded that ten of the included skills were critical to administrator performance, and that the overall rating was a predictor of job performance (Miklos, 1988). Thornton & Byham (1982) found research gives more support to the assessment center as a technique for managerial assessment than to any other practice.

In Assessment Centers, the strengths and weaknesses of both practicing and potential principals are assessed by six trained assessors through the use of simulated activities in 12 job related behavioural areas (Cornett, 1983), including: problem analysis, judgement, organizational ability, decisiveness, leadership, sensitivity, educational values, stress tolerance, oral communication skills, and written

communication skills which are critical to administrator performance, as well as, range of interests, and personal motivation (Schmitt et al, 1983).

Skill dimensions for each of these behavioural dimensions are listed in Table 3.1. These specifications followed a careful job analysis, and were rated for congruence between the indicators and the behaviours or skills assessed (Miklos, 1988). Schmitt et al (1983) found performance on the skill dimensions correlated with the same degree to which those same skills were demonstrated on the job. Key strategies include behaviour modelling embedded in realistic school district simulation. Assessment Centers employ principles of rehearsal, modelling and reinforcement, resulting in rapid skill development and effective transfer of skills to on-job performance (Hersey, 1986). The participants, who found the activities realistic and a source of personal and professional motivation, expressed interest in having further opportunities to participate in a center (Miklos, 1988, p.58).

After three years of using the NASSP Assessment Center selection process in Howard County, Maryland, the Assistant Superintendent commented the District was pleased with its benefits because it provided a sound basis for "discriminating among the top talent" and represented a "powerful element we have not had before" (McCurdy, 1983).



Table 3.1. NASSP ASSESSMENT CENTER SKILL DIMENSIONS

1. Problem analysis:  
Ability to seek out relevant data and analyze complex information to determine the important elements of a problem.
2. Judgment:  
Skill in identifying educational needs and setting priorities; ability to reach logical conclusions and make high-quality decisions based on available information; ability to critically evaluate written communications.
3. Organizational ability:  
Ability to plan, schedule, and control the work of others; skill in using resources in an optimum fashion; ability to deal with a volume of paperwork and heavy demands on one's time.
4. Decisiveness:  
Ability to recognize when a decision is required and act quickly.
5. Leadership:  
Ability to recognize when a group requires direction, to get others involved in solving problems, to effectively interact with and guide a group.
6. Sensitivity:  
Ability to perceive the needs, concerns, and personal problems of others; tact; skill in resolving conflicts; ability to deal effectively with people concerning emotional issues; knowing what information to communicate and to whom.
7. Range of interests:  
Competence to discuss a variety of subjects (e.g., educational, political, economic); desire to actively participate in events.
8. Personal motivation:  
Showing that work is important to personal satisfaction; ability to be self-policing.
9. Educational values:  
Possession of well reasoned educational philosophy; receptiveness to change and new ideas.
10. Stress tolerance:  
Ability to perform under pressure and opposition.
11. Oral communication skills
12. Written communication skills

(McCurdy, 1983)

Reasons for the choice and several "tips" as cautions for other districts interested in Assessment Centers are included.

Maryland has developed a statewide Assessment Center (Shilling, 1986), and in South Carolina, assessment centers are mandatory for employment as a principal (Burlison, 1986). Other assessment center reports can be found in Baltzell & Dentler (1983), McCurdy (1983), Michaels (1983), and NASSP Bulletin (1986).

Since 1966 Kamloops School District has been operating an Executive Development Program to identify and develop potential school administrators (Bruce, 1976; Meakin, 1980). Implemented because of a dissatisfaction with traditional selection methods, Kamloops has utilized comprehensive research-based identification, selection and training procedures, incorporating nomination procedures, voting by district teachers, interviews, in-basket simulations, testing, self evaluation, and principal evaluation. The University of British Columbia Center for the Study of Administration in Education assisted with the initial design, though the process has undergone many changes over the years to refine the selection process and respond to local needs and criticisms. Candidates go through a process of self-nomination and election, those with the highest number of votes being screened by the District Interview Committee

for testing by U.B.C. This area of the selection process has been the most criticised and changed (Meakin, 1977). A complete profile of each candidate is developed for selection to the district's principal training program which includes an internship and training outside the school during the first two years. During the second two years candidates work as administrative assistants and may be appointed to principalships at any time. Because of restraint, this program had been curtailed over the last few years. How fully it will be reinstated is still unclear.

As of January 1986, there were 40 NASSP projects in operation in the United States, Canada and Germany. The main criticism was that the NASSP centers were not tailored to school districts' individual needs and those using the NASSP model must abide by its standards (Hersey, 1977). However, there are problems and costs associated with setting up an independent assessment center that may outweigh the lack of individuality in the NASSP center (Hughes et al, 1986).

Those school districts who wish to set up their own Assessment Center might look to Musella for assistance. Musella (1983) described the development of an assessment center to assist school districts in selecting principals and diagnosing professional development needs of practicing principals in order to develop training programs to improve their performance. He stressed the materials being used must

be job-related (valid), consistent (reliable), and sufficient for data collection. Whether one candidate could be adequately judged against others, whether the scoring was valid, and the weighting of the items also concerned him.

The key to success appears to be the selection and training of assessors. Training is crucial to the validity and reliability of the process since all assessment must be grounded in evidence and linked to specific and recorded behaviours. This increases the certainty of due process by standardizing the assessment of specific, job-related skills (Baltzell & Dentler, 1983). Musella and Joyce (1972) have developed a set of In-Basket Simulations that could be used as a basis for the development of district specific materials for assessment centers. The techniques and skills included are found in Table 3.2 (Musella, 1981).

### Internships

Internships are of two basic types: "the ordinary type, which is designed to sharpen, codify, and publish the grooming process", and "the equity internship which is designed ...to increase the number of women and minority candidates" (Baltzell & Dentler, 1983).

#### Ordinary Internships

Most ordinary internships include some kind of formal training for the potential administrator plus at least one year of administrative internship with an experienced,

Table 3.2. ASSESSMENT TECHNIQUES & SKILLS  
 (Musella, 1981, p.11)

Skill	In-basket Exercises	Structured Interview	Program Implementation/Evaluation	Leaderless Group	Teacher Evaluation
1. Decision-making	X	X		X	
2. Judgement	X	X	X	X	X
3. Teacher Evaluation		X			X
4. Communication	X	X	X	X	X
5. Problem-solving	X	X		X	
6. Organizational	X	X	X	X	
7. Motivation		X		X	X
8. Planning	X	X		X	X
9. Program Implementation and Evaluation		X	X		
10. Team-building		X		X	X

successful principal. Through "statements of eligibility, requirements and through candidate grooming experiences" (Baltzell & Dentler, 1983), districts sharpen their selection criteria and link them to merit standards. Principal candidates gain considerable skills through a rigorous internship or a lengthy apprenticeship. Screening takes place at entry, in an internship or assessment center, and prior to appointment as principal, increasing the quality of candidate. Curcio and Manning (1986) recommend internship programs for small districts since they require a low monetary investment.

Hayward United School District, Hayward, California, uses three steps in its Administrative Intern Program when selecting within-district candidates. After qualifications for the position are set, the applicants are screened through the use of problem exercises. After this initial screening those remaining are interviewed and given a series of additional written problems. From that group, candidates for the Administrative Internship Program are chosen. The program

consists of various forms of training, including visits, observations, conferences and workshops, interviews, substituting as principals, attendance at board and other meetings, and formal training sessions. Areas of training include personnel evaluation, curriculum development, time management, state and federal programs, due process, and the role of the superintendent and school board (Baltzell & Dentler, 1983).

Zakariya (1983) describes an internship program in Cedar Falls, Iowa. One intern a year was chosen from the best

graduate students at the local colleges to work for a year as an Associate Principal. Though not all interns trained could be hired by Cedar Falls, all of them have gained employment elsewhere in the State.

Kelly (1987) cautions that simply assigning someone to an assistant principalship is not the same as an internship. He found that the assistant principal spends little time on tasks that constitute major responsibilities of a principal and thus there was little correlation between tasks done by an assistant principal and a principal. In order for assistant principalships to be regarded as training for the principalship, "superintendents should define the role of the assistant principal on a district basis with the concept of preparation ground as their guide" (p.18). In some areas Assistant Principals' Academies have been set up to provide inservice training for incumbent assistant principals before their administrative role orientations are crystallized (Peterson et al, 1987).

#### Equity Internships

Metzger (1985) described how the Arizona District of Education set up a regional center of Project AWARE, an equity internship program designed to help women and minorities prepare for principalships by increasing their visibility and competence, by teaching them better job-search skills, and by helping them develop the courage to apply for administrative positions. Through the rigorous recruitment

and selection process, a cadre of highly qualified candidates was developed. Fifty-two percent of the women who went through the series of workshops over a five year period, attained a job in administration within four years. Metzger acknowledges that for women, training is a major steppingstone to administration.

Baltzell and Dentler (1983) note districts having exemplary selection processes build sex and race equity goals into their selection processes and take affirmative action to ensure equity while preserving leadership merit objectives. Other affirmative action based training programs to encourage and facilitate the entry of women into administration are Project SEEL, Project DELTA, and Project ICES. These projects potentially help women and minority members cope with restrictive entry barriers to administrative positions (Miklos, 1988, p.57). Baltzell and Dentler (1983) saw the main problem of internship programs as a lack of openness in testing, rating, and selecting candidates. The objectivity of raters also caused problems in some internship programs. Miklos (1988) questioned whether the training made as much difference as did the selection for training (p.57).

#### Structured Interviews

Structured interviews compare candidate's responses to what research says outstanding principals would reply. Lincoln, Nebraska, in conjunction with a consulting firm "Selection Research, Inc." developed a set of questions for a



structured interview called "Administrator Perceiver" which is used in 300 school systems in the United States (Zakariya, 1983). The criteria were derived from interviews with both outstanding and regular principals, though no indication was given of how the two were differentiated. Responses were compared, a model of the outstanding principal was constructed, and interview questions on 14 recurring themes were developed around the model. The biggest problem with structured interviews lies in response validation. The interviewer must be skilled in the use of the "Administrator Perceiver" to minimize biases and misinterpretations of the responses.

#### CHAPTER SUMMARY: ESSENTIAL ELEMENTS

Other districts have principal selection processes that are termed "exemplary" but do not employ assessment centers, internships or structured interviews. The principal selection processes in these districts share rigorous characteristics that include essential elements from Baltzell and Dentler, and Musella in a process that follows Castetter's model. The model proposed in Chapter 5 will also incorporate these essential elements.

Having identified essential elements of an effective principal selection process in Chapter 2, and exemplary selection techniques in this chapter, the next step is to examine the characteristics of an effective principal. No

matter how efficient the process, the type of person being sought must also be clearly defined. Effective principal behaviours will be examined in Chapter 4 as a base for principal selection criteria.

## Chapter 4

### CHARACTERISTICS OF EFFECTIVE PRINCIPALS

A substantial body of research exists on the identification and analysis of effective schools (Block, 1983; MacKenzie, 1983; Northwest Regional Educational Laboratory, 1984; Sweeney, 1982; Wynne, 1981). This research focus developed in part in reaction to the Coleman (1966) report that implied there was little a school could do to compensate for the effects of non-school factors on student achievement. When the research that has been done since 1970 on varying aspects of schooling is summarized and synthesised, it is obvious

School effectiveness research showed exemplary pupil performance to result from many policies, behaviors, and attitudes that together shaped the learning environment. (Block, 1983)

### METHOD OF REVIEW

In developing a list of principal behaviours that are positively associated with growth in the effectiveness of a school, one book on principal behaviours, and six syntheses of research papers dealing with either effective schools or the role of the principal were examined. The research included in the syntheses was done between 1971 and 1984, and some of the earlier studies are included in all of the syntheses. If a research paper was cited in more than one synthesis, the behaviours from that study were counted as being only covered once. Since some of the syntheses are

more carefully done than others, the original research study is cited as the reference for the behaviour, wherever possible. Similarly, because some of the research studies were more rigorous than others, a behaviour was only included if it was mentioned in more than one research study.

#### LIMITATIONS

Generalizing from and applying results of effective schools research across all school levels has been criticised because of research limitations. Most research was done at the elementary school level, and the validity of applying findings to the high school level has not been demonstrated (Sweeney, 1982). Most of the studies have been cross-sectional rather than longitudinal studies. In most studies, no causal relationships are established, and there has been little concern for affective outcomes.

Rowan, Bossert and Dwyer (1983) list a number of problems with effective school research. They noted a narrow definition excluding non-academic goals. Little correlation was found between identification methods used for identifying schools as effective. There were frequent conceptual problems related to the choice of the effectiveness measure, and often no control was made for student background. Other problems listed were the instability of measures, incomplete pictures of the school's achievement outcomes, problems in causal ordering, little information on the size of the relationships noted, inappropriate comparisons, problems

generalizing from findings and vague plans for school improvement (p.55). However, they felt that despite these problems there was a measure of consistency in the research. They concluded that "theory and common sense ...do support many of the findings" (p.427).

In their book *Improving Principal Effectiveness: The Principal Profile*, Leithwood and Montgomery (1986) note concerns with differences in the operational definition of effectiveness. In most studies they found a systematic bias toward a liberal, open view of classroom practices.

Research reviewed in Miklos (1988, p.54-55) focused on the identification of criteria currently being used for principal selection, and on issues of criteria relevance and validity. The listed criteria used in principal selection included:

1. general professional criteria: previous preparation, experience, competence, human relations skills, organizational ability, communication skills, and ability to elicit cooperation;
2. personal characteristics: judgment, personality, character, openmindedness, physical and mental health, poise, intelligence, sense of humor, voice, and cultural background;
3. leadership factors: academic achievement, interpersonal skills, motive of service, and readiness to commit off-duty time to work.

Though research has been done on criteria, the empirical

justification and trustworthiness has been questioned (Miklos, 1988). Though the categories of criteria most commonly used are: individuality; cognitive skills; rapport with students, teachers, administrators, and community; leadership qualities; and professional qualities; the conclusion is that because the work of administrators is multi-dimensional, multiple selection criteria should be used (Miklos, 1988).

In spite of limitations in the research and warning to generalize cautiously, studies on high achieving schools indicate that one of the main factors contributing to school effectiveness is the school principal (Block, 1982; Blumberg & Greenfield 1980; deBevoise, 1984; Duke, 1987; Hall et al, 1984; Leithwood & Montgomery, 1986; Lipham, 1981; Manasse, 1983; Mangieri & Arnn 1985; Persell & Cookson, 1982; Rutherford, 1984; Sweeney, 1982).

#### THE SYNTHESSES

After a brief description of each synthesis reviewed, the principal behaviours noted in the research as being most effective are summarized.

The most extensive analysis of research on effective principal behaviour is Leithwood and Montgomery's book, The Principal Profile (1986). They checked three categories of post- 1975 research on effective and ineffective principal behaviours and growth in principal effectiveness:

1. the role of the principal: leadership, management and administration;
2. school change and educational innovations: the principal's behaviour and innovative thrusts;
3. school effectiveness research: the influence of the principal's behaviour on school improvement.

The research findings were used to develop their "Dimensions of Principal Behaviour" found in Table 4.1. Leithwood and Montgomery examined effective principal behaviours through the goals, factors, strategies and specific decision-making techniques they use. In summary they found:

1. Goals

The effective principal selects highly ambitious goals for the school from multiple, public sources. The primary goals are the happiness and achievement of students. School goals are implemented by the whole staff through consistent short range plans. Leithwood and Montgomery found an unusually high degree of agreement in all the research reviewed on the importance of setting goals.

2. Factors

Factors have a bearing on goal achievement. Focus is on those factors affecting either student classroom experiences, or student school-wide experiences. In affecting the factors that influence goal achievement, the effective principal uses knowledge from personal experience, from research, or seeks advice from other professionals.

Table 4.1. Dimensions of Principal Behaviour

Dimensions	Subdimensions
1. Goals	
2. Factors	<ul style="list-style-type: none"> <li>1. Factors affecting student classroom experiences               <ul style="list-style-type: none"> <li>1.1 The teacher</li> <li>1.2 Program objectives and emphasis</li> <li>1.3 Instructional behaviours of the teacher</li> <li>1.4 Materials and resources</li> <li>1.5 Assessment, recording, and reporting procedures</li> <li>1.6 Time/classroom management</li> <li>1.7 Content</li> <li>1.8 Physical environment</li> <li>1.9 Interpersonal relationships in the classroom</li> <li>1.10 Integration</li> </ul> </li> <li>2. Factors affecting student school-wide experiences               <ul style="list-style-type: none"> <li>2.1 Human resources</li> <li>2.2 Material and physical resources</li> <li>2.3 Relationships with community</li> <li>2.4 Extracurricular and intramural activities</li> <li>2.5 Relationships among staff</li> <li>2.6 Relationships with out-of-school staff</li> <li>2.7 Student behaviour while at school</li> </ul> </li> </ul>
3. Strategies	Categories of Strategies Used by Principals <ul style="list-style-type: none"> <li>1. Building/maintaining interpersonal relationships and motivating staff               <ul style="list-style-type: none"> <li>1.1 Involving staff</li> <li>1.2 Doing things with staff</li> <li>1.3 Being positive, cheerful, and encouraging</li> <li>1.4 Being with/available or accessible to staff</li> <li>1.5 Being honest, direct, and sincere</li> <li>1.6 Getting staff to express/set their own goals</li> </ul> </li> <li>2. Providing staff with knowledge and skill</li> <li>3. Collecting information</li> <li>4. Using vested authority</li> <li>5. Providing direct service to students</li> <li>6. Assisting with and supporting teachers' regular tasks</li> <li>7. Facilitating within-school communication</li> <li>8. Providing information to staff</li> <li>9. Focusing attention on the special needs of students</li> <li>10. Facilitating communication between the school and the community</li> <li>11. Using goal and priority-setting and planning</li> <li>12. Finding nonteaching time for staff</li> <li>13. Establishing procedures to handle routine matters</li> </ul>

(Leithwood, 1986)



### 3. Strategies

Strategies used by the effective principal will depend on the desired goals, the factors being influenced, and circumstances. Leithwood and Montgomery found that the majority of studies emphasised principal strategies without establishing links between behaviours and the factors that they were supposed to influence.

### 4. Decision-making

The effective principal is proactive, ensuring that processes are in place for various types of decision-making and staff involvement. The principal allows high levels of staff participation.

Using the *Dimensions of Principal Behaviour*, four levels of typical principal behaviours were developed. As shown in Table 4.2, these are:

Level 1: The Administrator: marginally effective; focus on regulations;

Level 2: The Humanitarian: modestly effective; focus on climate or interpersonal relationships;

Level 3: The Program Manager: reasonably effective; focus on program;

Level 4: The Problem Solver: highly effective; focus on students.

In Level 4 of the profile are found those principal behaviours research has shown to be highly effective.

One of the most valuable aspects of the "Principal Profile" is the suggestions for implementing effective principal practices. The profile is offered as a solution to

Table 4.2. PRINCIPAL PROFILE

Level	Decision Making	Goals
<p>4. High systematic problem solver</p>	<ul style="list-style-type: none"> <li>-views decision-making as the best opportunity to influence the extent to which goals of education are achieved</li> <li>-goals of ed. become criteria used in decision-making</li> <li>-decision-making is defensible; uses information</li> <li>-works to get staff to make decisions the same way, involves staff in many decisions</li> <li>-very proactive using different forms of decision-making as appropriate</li> </ul>	<ul style="list-style-type: none"> <li>-aware of, knowledgeable about and committed to the full set of educational goals</li> <li>-concern extends beyond program to everything that happens to the students</li> <li>-informs others of these goals and tries to get commitment of everyone to these goals</li> </ul>
<p>3. Program Manager</p>	<ul style="list-style-type: none"> <li>-stance in decision-making is business like but friendly; strives to be fair and consistent in decision-making</li> <li>-criteria are derived from an understanding of student's needs and what is required to meet them</li> <li>-attempts to involve staff and to influence staff's decision-making re: programs</li> </ul>	<ul style="list-style-type: none"> <li>-wants to provide good programs and experiences to meet the needs of students and has personal beliefs about what constitutes good programs; seeks opportunities to improve programs</li> <li>goal is to meet the needs of students and is very concerned about exceptional students</li> <li>-sets definite goals and shares these with staff</li> <li>-motivated by sense of responsibility to students</li> </ul>
<p>2. Humanitarian</p>	<ul style="list-style-type: none"> <li>-actively seeks staff input but retains most of the responsibility for decision making</li> <li>-most often makes decisions in favour of staff preferences because criteria for decision-making are derived from valuing a good environment and a happy school</li> <li>-decisions often based on intuition</li> <li>-is not systematic and thorough</li> </ul>	<ul style="list-style-type: none"> <li>-goal is to provide a friendly, happy environment so staff and students enjoy coming to school</li> <li>-may believe a good education will take care of itself if there is a good environment</li> <li>-little recognition of the need for change unless it would improve the environment</li> <li>-stresses the importance of good relationships with staff</li> </ul>
<p>1. Administrator</p>	<ul style="list-style-type: none"> <li>-relies very much on autocratic forms of decision-making and use of vested authority</li> <li>-may be open to information but doesn't seek it</li> <li>-frequently acts intuitively</li> <li>-stance tends to be reactive and criteria appear to be arbitrary</li> </ul>	<ul style="list-style-type: none"> <li>-primary goal is to run a smooth ship which means looking after administrative concerns, ensuring the school's appearance is satisfactory and all rules and regulations are abided by</li> <li>-role is to run the school and let staff teach</li> </ul>

Factors	Strategies
<ul style="list-style-type: none"> <li>-concern about all factors but sets priorities</li> <li>-expectations within factors are high, specific, concrete and defensible because they are based on research, professional judgment, official guidelines and experience</li> </ul>	<ul style="list-style-type: none"> <li>-uses all strategies especially goal setting, curriculum implementation, monitoring, staff supervision, planning, problem solving</li> <li>-is involved in program and staff's decision-making</li> <li>-seeks opportunities to better achieve goals</li> </ul>
<ul style="list-style-type: none"> <li>-concerned about many classroom factors because of focus on programs</li> <li>-expectations within factors are usually very high and specific but there are gaps due to incomplete knowledge</li> <li>-some factors are left to the staff's discretion</li> <li>-wants the "right" people to do the job</li> </ul>	<ul style="list-style-type: none"> <li>-favors selling and negotiation but also uses vested authority</li> <li>-uses curriculum implementation strategies and staff supervision to influence programs</li> <li>-uses, and requires staff to use goal setting and planning</li> <li>-sees job as helping teachers to implement good programs</li> <li>-strives to manage time effectively</li> </ul>
<ul style="list-style-type: none"> <li>-primarily concerned with factors that deal with relationships and other factors that affect the environment or climate in the school</li> <li>-many other factors may not be addressed by the principal</li> <li>-expectations tend to be high, for factors of concern but often quite general in nature with many gaps</li> <li>-may have ad hoc expectations for other factors</li> </ul>	<ul style="list-style-type: none"> <li>-strategies focus on building and maintaining good interpersonal relationships</li> <li>-pays little attention to factor-specific strategies such as implementation unless required to do so</li> <li>-can deal with relationships when they are harmonious but often has difficulty dealing with negative or unpleasant situations</li> <li>-frequently uses vested authority to make some categories of decisions</li> </ul>
<ul style="list-style-type: none"> <li>-factors of concern are those pertaining to the appearance and operations of the school</li> <li>-is not and does not want to be involved in curriculum or instruction matters so little attention is given to classroom factors unless there is a problem</li> <li>-expectations tend to be vague and general except for factors of most concern where expectations are often very specific but superficial in nature</li> </ul>	<ul style="list-style-type: none"> <li>-strategies focus on attending to administrative issues</li> <li>-attends to implementation and other factor-specific strategies if required to do so, or delegates responsibility</li> <li>-planning and goal setting are not valued</li> <li>-very reactive, with a tendency to crisis management, especially for factors not of great concern</li> </ul>

problems with procedures for performance appraisal, principal selection and principal training programs. Given the focus of this paper, the comments on the principal selection process are most interesting.

Leithwood and Montgomery note that though very little is written about typical principal selection processes, there is almost a universal complaint about the lack of clear job-related criteria for the selection process. They feel

*The Principal Profile* provides those well-specified, job-related selection criteria. It goes beyond the usual job description as well as outlining levels of performance in carrying out a generic set of tasks now expected of principals. Such criteria substantially increase the possibility of: collecting valid selection information; increasing the real and perceived fairness and credibility of selection processes; providing clear direction for preparation of candidates; and generating helpful feedback for unsuccessful applicants. (p.193)

Findings on the type and level of principal performance and behaviour encompass the principal behaviours found in the other syntheses.

Vancouver School Board's The School Makes The Difference (1986) summarizes effective school research under five factors.

- Factor 1: Educational Leadership
- Factor 2: School Organization
- Factor 3: School Climate
- Factor 4: Focus on Instruction
- Factor 5: Staff Development

The leadership of the principal, a major factor in the development of effective schools under Factor 1, was

subdivided into: creating a sense of direction for the school, setting the tone, providing instructional leadership, being action-oriented, effective utilization of resources, goal evaluation, and relationships.

As well, the principal's influence on building effectiveness under Factors 2 to 5 was stressed, and many indicators were listed.

In Effective Schools: A Summary of Research (1983)

Block found school effectiveness was increased by specific principal behaviours in the areas of administrative leadership, school climate, goal-oriented instructional program, classroom variables, and resources and facilities.

These included:

Administrative Leadership

1. instructional leadership
2. staff hiring practices
3. classroom observation
4. providing support for staff
5. promoting inservice

School Climate

1. conducive to learning
2. the physical environment
3. discipline
4. the cooperative environment of staff
5. harmony, morale, school spirit
6. community relations
7. public relations

Goal-oriented Instructional Program

1. goal relatedness
2. coordination and continuity
3. instructional strategies
4. individualization
5. monitoring student progress
6. providing for a range of abilities

### Classroom Variables

1. teacher input in school decision-making
2. classroom grouping
3. class size

### Resources and Facilities

Sweeney's Research Synthesis on Effective School Leadership (1982) was limited to research studies that were internally valid, had built in control for pupil characteristics, were conducted in schools characterized as effective or exemplary as far as achievement was concerned, and indicated a significant positive relationship between school achievement and school leadership behaviours. Under the headings:

1. coordinates instructional programs
2. emphasises achievement
3. frequently evaluates pupil progress
4. provides orderly atmosphere
5. sets instructional strategies
6. supports teachers,

effective principal behaviours were examined.

Clark and Lotto in Principals in Instructionally Effective Schools (1982) identified 53 variables under eight general headings:

1. program leadership and direction
2. goals and standards of performance
3. characteristics of school leaders
4. technical tasks of administration
5. school climate and expectations
6. acquisition and allocation of funds and resources
7. staff and personal development
8. school-community relations

They ranked the principal's program leadership, and goals and standards highest.

Persell and Cookson, in The Effective Principal In Action (1982), identified nine recurrent effective behaviours from 75 research studies.

1. Demonstrating a commitment to academic goals
2. Creating a climate of higher expectations
3. Functioning as an instructional leader
4. Being a forceful and dynamic leader
5. Consulting effectively with others
6. Creating order and discipline
7. Marshalling resources
8. Using time well
9. Evaluating results

Four key themes emerged from Shoemaker and Fraser's What Principals Can Do: Some Implications From Studies of Effective Schooling (1981). The study examines principal behaviour contributing to

1. assertive, achievement-oriented leadership
2. orderly, purposeful, and peaceful school climate
3. high expectations for staff and pupils
4. well designed instructional objectives and system of evaluation.

#### EFFECTIVE PRINCIPAL BEHAVIOURS

Though the headings used in the research syntheses to organize principal behaviours contributing to the effectiveness of a school varied, there was agreement about many of the behaviours themselves. Where possible the original research study is cited as the reference for the

behaviour. Except in quotations, in referring to the principal, the female pronoun is used throughout and implies the male where appropriate.

### 1. The principal as a goal setter

Each research synthesis emphasised goal related aspects of principal behaviour. Leithwood (1986) and Sweeney (1982) stressed that an effective principal places a priority on and fostered the goal of student cognitive growth and happiness. Cognitive goals were also noted by Weber (1971) and Shoemaker & Fraser (1981). An effective principal has a personal vision of how the school should be (Leithwood & Montgomery, 1986; Venezky & Winfield, 1979; Vancouver School Board, 1986; Wilson, 1981). Through deliberate plans and actions she works to ensure clearly conceptualized goals for herself and everyone else connected with the school: staff, students and parents (Blumberg & Greenfield, 1980; Leithwood & Montgomery, 1986; MacKenzie, 1983; Mangieri et al, 1985; Shoemaker & Fraser, 1981; Sweeney, 1982). The effective principal strives to communicate these goals and obtain commitment to them from students, staff (Dwyer, 1984; Goodlad, 1983b; Leithwood & Montgomery, 1986; MacKenzie, 1983; Shoemaker & Fraser, 1981) and the community (Blumberg & Greenfield, 1980; Brannon et al, 1983; Sweeney, 1974; Vancouver School Board, 1986). She engages the staff in the active attainment of these goals (Brannon et al, 1983) and



creates a sense of direction for the school (Northwest Regional Educational Laboratory 1984; Vancouver School Board, 1986). MacKenzie (1983) noted a "shared consensus on values and goals" while Fullan (1985) spoke of "commonly shared goals". Leithwood and Montgomery (1986) set Goals as the primary dimension of principal behaviour.

## 2. The principal is responsible for evaluating the achievement of the school's goals and objectives

Along with well designed instructional objectives, the effective principal has in place a system for instructional assessment and program evaluation (Leithwood & Montgomery, 1986; MacKenzie, 1983; Shoemaker & Fraser, 1981; Sweeney, 1982). It is her duty to ensure that regular reviews and periodic school-wide evaluation of student progress are conducted (Fullan, 1985; Goodlad, 1983b; Leithwood & Montgomery, 1986; Mangieri et al, 1985; Sweeney, 1982). She assumes responsibility for evaluating whether or not the basic goals and objectives have been met (Goodlad, 1983b; Leithwood & Montgomery, 1986). Venezky & Winfield (1979) found that the effective principal reviewed the actual test results in making evaluations.

In Leithwood and Montgomery's Dimensions of Principal Behaviour these aspects were included under:

Factor 1.2 Program objectives and emphasis  
Factor 1.5 Assessment, recording, and reporting procedures

Strategy 1.6 Getting staff to express/set their own goals

Strategy 3 Collecting information

Strategy 11 Using goal and priority-setting and planning.

### 3. The principal provides strong instructional leadership

As instructional leader of the school, the principal has as her ultimate goal, improvement in programs for and achievement by the students. She assumes responsibility for instruction and promotes among the staff a feeling of being accountable for providing all students with the most effective instruction (Shoemaker & Fraser, 1981; Sweeney, 1982). She ensures responsibility for instruction is accepted by the whole staff (Leithwood & Montgomery, 1986; MacKenzie, 1983; Shoemaker & Fraser, 1981; Sweeney, 1982). In order to provide the most effective support to the teachers, the principal must be knowledgeable about current developments and practices in instruction (Leithwood & Montgomery, 1986; Vancouver School Board, 1986).

From the beginning she participates actively with her staff in planning, implementing and integrating instructional strategies and programs (Leithwood & Montgomery, 1986; Sweeney, 1982; Venezky & Winfield, 1979). She emphasizes the importance of and participates in the selection of basic instructional materials for the programs developed (Leithwood & Montgomery, 1986; Sweeney, 1983; Venezky & Winfield, 1979). Once programs are selected and implemented, she maintains her

visibility and is involved in instruction at the classroom level (Fullan, 1985; Shoemaker & Fraser, 1981; Sweeney, 1982). She spends time observing in classrooms and discussing instructional problems that may arise with teachers (Block, 1983; Dwyer et al, 1983; MacKenzie, 1983; Shoemaker & Fraser, 1981; Sweeney, 1982). The principal is involved in program assessment which is done systematically (Block, 1983; Shoemaker & Fraser, 1981). She uses test results to make significant decisions regarding programming and teaching methods (Leithwood & Montgomery, 1986; Shoemaker & Fraser, 1981; Venezky & Winfield, 1979). From first planning to final assessment, an effective principal is assertive in, and committed to, an active role in instructional leadership (Shoemaker & Fraser, 1981; Vancouver School Board, 1986).

In Leithwood and Montgomery's Dimensions of Principal Behaviour these were included under:

- Factor 1.3 Instructional behaviours of the teacher
- Factor 1.4 Materials and resources
- Factor 1.7 Content
- Factor 1.9 Interpersonal relations in the classroom
- Factor 1.10 Integration
- Strategy 2 Providing staff with knowledge and skill.

#### 4. The principal is able to execute the designated leadership role

Shoemaker and Fraser (1981) describes this assertive leadership as "what he does and what he allows to happen". An effective principal is able to handle the dual nature of

the job of being both a manager and an instructional leader (Blumberg & Greenfield, 1980; MacKenzie, 1983; Northwest Regional Educational Laboratory 1984; Sweeney, 1982). Peters and Waterman (1982) in "In Search Of Excellence" said, "An effective leader must be the master of two ends of the spectrum: ideas at the highest level of abstraction and actions at the most mundane level of detail." Leithwood and Montgomery (1986) felt there must be efficient procedures for routine to allow for goal-related work, while Shoemaker and Fraser (1981) and Mangieri et al (1985) talked of an appropriate proportion of time spent on instructional and disciplinary matters. This balance between management and instructional skills was also mentioned by Sweeney (1982).

In Leithwood and Montgomery's Dimensions of Principal Behaviour these aspects were included under:

Strategy 1.4 Being with/available or accessible to staff  
Strategy 4 Using vested authority.

##### 5. The principal is action oriented

Though there is no indication that any one leadership style or personality type is more common than any other among effective principals, it would appear that they share many of the same leadership characteristics.

An effective principal is both action- and task-oriented (Block, 1983), a facilitator who adopts multiple strategies in response to needs and opportunities (Blumberg & Greenfield, 1980; Dwyer et al, 1983; Goodlad, 1983b;

MacKenzie, 1983; Vancouver School Board, 1986). The effective principal identifies and acknowledges educational problems and acts firmly in belief that solutions can be found (Sweeney, 1982; Vancouver School Board, 1986). She provides active instructional leadership (MacKenzie, 1983; Vancouver School Board, 1986).

In Leithwood and Montgomery's Dimensions of Principal Behaviour these were included under:

Strategy 13 Establishing procedures to handle routine matters.

6. The principal utilizes resources effectively

Effectiveness with resources refers not only to effective use of physical resources, such as the school building or supplies, but also to human resources. The Phi Delta Kappa (1980) study spoke of obtaining political, parental and financial support. The effective principal demonstrates ingenuity in the procurement of necessary resources and in the recruitment of school staff. Leithwood and Montgomery (1986) note careful selection of staff for fit, while MacKenzie (1983) stresses the stability and continuity of key staff. Block (1983) deals more extensively with hiring practices. He states the principal must be involved directly in the selection of staff, rather than leaving it up to the central office, and that staff should be chosen to build toward the school's goals. The effective principal assists and helps socialize new staff. However

resources are defined, they are used by the principal to focus specifically on the goals and objectives of the school (Leithwood & Montgomery, 1986; MacKenzie, 1983).

In Leithwood and Montgomery's Dimensions of Principal Behaviour these were included under:

Factor 1.4 Materials and resources

Factor 2.1 Human resources

Factor 2.2 Material and physical resources

Factor 2.6 Relations with out-of-school staff.

#### 7. The principal sets the tone for the school

In effective schools, the school administrator displays achievement oriented leadership (Shoemaker & Fraser, 1981). She sets the tone for the school (Blumberg & Greenfield, 1980; Dwyer, 1984; MacKenzie, 1983; Rutter et al, 1979; Weber, 1971). In studies, "setting the tone" was variously referred to as creating and maintaining a stable atmosphere and a good learning environment (Sweeney, 1981; Vancouver School Board, 1986); a sense of purpose, relative quiet, and pleasure in learning (Block, 1983; Weber, 1971; Wynne, 1981); and coherence (Block, 1983). The principal in an effective school possesses high expectations for student achievement and communicates these to staff, students and parents (Sweeney, 1982). Similarly, the principal holds high expectations for the staff (Shoemaker & Fraser, 1981) and communicates her expectations to and presents a good role model for both students and staff (Dwyer et al, 1984;

MacKenzie, 1983; Mangleri et al, 1985; Shoemaker & Fraser, 1981; Sweeney, 1981). She insists that the commitment to learning be manifest in every classroom (Sweeney, 1983).

In her role as administrator, the principal is active in reducing instructional interruptions to promote a good learning environment (Goodlad, 1983b; Leithwood & Montgomery, 1986; MacKenzie, 1983; Sweeney, 1983). In setting the tone of the school, the effective principal pays considerable attention to the school climate (MacKenzie, 1983).

In Leithwood and Montgomery's Dimensions of Principal Behaviour these were included under:

Factor 1.1 The teacher  
Factor 1.6 Time/classroom management  
Factor 2.7 Student behaviour while at school  
Strategy 1 Building/maintaining interpersonal relationships and motivating staff.

#### 8. The principal has good relations with staff, students and the community

Aspects of principal behaviour included in this section are complex because they cover relationships with so many different groups of people. Building good rapport with teachers, students and parents, means building a co-operative environment. The need to communicate well is paramount (Sweeney, 1983). The effective principal uses a wide variety of communication methods (Block, 1983; Leithwood & Montgomery, 1986; Vancouver School Board, 1986). Public

relations skills observed in the effective principal include greater verbal fluency and an informal manner. Personality traits basic to good relations are empathy, interest and concern for others (Leithwood & Montgomery, 1986; Sweeney, 1983; Vancouver School Board, 1986). This area is closely associated with school climate.

In Leithwood and Montgomery's Dimensions of Principal Behaviour these are referred to in

Factor 2.5 Relationships among staff  
Strategy 1.3 Being positive, cheerful, and encouraging  
Strategy 1.5 Being honest, direct, and sincere  
Strategy 7 Facilitating within-school communication.

a) Relations with staff

An effective principal is in a strategic position to develop and maintain a school climate conducive to learning (Shoemaker, 1981). She works to build friendly, constructive principal/teacher relations as a part of a positive school environment (Block, 1983b; Mangieri et al, 1985). She promotes participatory planning and decisionmaking (Vancouver School Board, 1986), is skilled at work delegation (Shoemaker, 1981), and is able to achieve a balance between strong leadership and autonomy for her staff (Vancouver School Board, 1983). Leithwood and Montgomery (1986) note that it is the principal who decides what will be shared with staff. The principal is highly collaborative, working for ownership of and agreement on school decisions (Block, 1983;



Phi Delta Kappa, 1980; Venezky & Winfield, 1979). Block (1983) lists such actions as: allowing for staff input, sharing decision making, and allowing teachers to have a share in fund spending.

The effective principal is supportive of teachers and skilled in providing a structured institutional pattern in which teachers can function effectively (Levine, 1981). She supports staff implementation of new ideas and projects (Phi Delta Kappa, 1980; Sweeney, 1982), backing up teachers as necessary and insulating them from community and bureaucratic problems. The principal prevents unnecessary intrusions that might affect the efficient functioning of the classroom (Block, 1983b; Leithwood & Montgomery, 1986). Together with this support were high expectations for staff performance (Shoemaker, 1981).

Teachers in effective schools view the principal as fair and non-hostile (Block, 1983). They feel she can be relied on for support (Stalling & Mohlman, 1981), and to provide help for them in such diverse areas as acquiring and distributing needed materials and enforcing discipline. She holds useful staff meetings (Stallings & Mohlman, 1981).

In promoting inservice, the effective principal ensures that it is staff and school centered (Levine, 1981), and targetted toward specific goals and programs (Leithwood & Montgomery, 1986; MacKenzie, 1983; Phi Delta Kappa, 1980; Venezky & Winfield, 1979). She gives priority to classroom

carryover from inservice. Because it is not forced on staff, inservice generally has a positive effect on staff behavior, classroom practices and, ultimately, student behavior (Block, 1983; Leithwood & Montgomery, 1986; Sweeney, 1981). In an effective school, staff morale is high.

In Leithwood and Montgomery's Dimensions of Principal Behaviour these are referred to in

Strategy 1.1 Involving staff

Strategy 1.2 Doing things with staff

Strategy 6 Assisting with and supporting teachers' regular tasks

Strategy 8 Providing information to staff

Strategy 12 Finding nonteaching time for staff.

b) Relations with students

An effective principal is highly visible to, and has a good understanding of, students. She maintains a strong effective school governance and is an effective, firm disciplinarian (Block, 1983; Leithwood & Montgomery, 1986; Sweeney, 1982). The effective principal develops a well defined policy with clear, firm, consistent rules (Shoemaker & Fraser, 1981; Wynne, 1981). She is responsive to student and teacher input and builds into the school a structure of order (Block, 1983). She maintains high visibility and availability. She and the staff are role models, stressing desired behaviours and teaching social skills through example. Policies to foster school spirit are developed to build commitment to the school and encourage student self discipline (Mangieri et al, 1985; Phi Delta Kappa, 1980).

One outward reflection of the building's philosophy is in the school's positive physical appearance. There are high standards of cleanliness and little litter is in evidence (Block, 1983; Phi Delta Kappa, 1980).

In Leithwood and Montgomery's Dimensions of Principal Behaviour these are found under

Factor 1.8 Physical environment  
Strategy 2.4 Extracurricular and intramural activities  
Strategy 5 Providing direct service to students  
Strategy 9 Focusing attention on the special needs of students.

c) Relations with the community

An effective principal has an awareness of community issues and is adept at promoting positive school-community relations (Leithwood & Montgomery, 1986; Vancouver School Board, 1986). In schools with an effective principal, there is a positive feeling to community relations (Block, 1983; Mangieri et al, 1985), as evidenced by greater parental participation, parent initiated involvement, and regular parent/teacher conferences. Parent supervision of homework is usual (Levine, 1981). The effective principal addresses community issues and takes specific steps to enhance public relations (Block, 1983; Leithwood & Montgomery, 1986).

In Leithwood and Montgomery's Dimensions of Principal Behaviour these are found under

Factor 2.3 Relationships with community  
Strategy 10 Facilitating communication between the school and the community.

Principals are crucial to school success

because they influence the behaviour of subordinates and other school participants...initiate programs, set policy...obtain material and fiscal resources [and provide] motivation and support for school improvement (Phi Delta Kappa, 1980).

Appendix C summarizes the principal actions included in this paper that were found to be effective.

#### CHAPTER SUMMARY: THE EFFECTIVE PRINCIPAL

Though a composite picture of the effective principal can be formed from research findings, no one person can be expected to have all these characteristics. The day-to-day functioning of a school and its demands necessitate prioritizing the myriad activities and responsibilities that face the principal. Job emphases vary from day to day, from school to school, and from district to district. By using the attributes from effective school literature and Leithwood and Montgomery's *Dimensions of Principal Behaviour* as a guide, districts should develop their own unique criteria. The most critical aspects of the criteria developed are that they be clear, job related (valid), non-discriminatory, and able to be evaluated.

In Chapter 5, the criteria summarized in this chapter [see Appendix C] are combined with the essential elements of principal selection from Chapter 3 into a Principal Selection Model.

## Chapter 5

### PRINCIPAL SELECTION MODEL

Districts planning to change their principal selection process must have a clear goal or idea of what they hope to accomplish by the proposed changes. In many cases the hope of increasing school effectiveness through school leadership drives the efforts to change district selection procedures.

The obvious connection between PSP [principal selection processes] and school effectiveness is that candidates relatively best equipped to exert instructional and supervisory leadership and best able to match teaching resources with learning needs, would be those most likely to apply and to get appointed as principals. Even if this connection were perfect, a particular school might fail to become a place where student achievement increased. No one change has the strength to reorganize conditions in all necessary respects. Still, the odds would improve substantially, and this is the leveraging advantage so many districts yearn for today. (Baltzell & Dentler, 1983, p.49)

If districts contemplate changes in their selection process to allow for the merit-based, equity-centered appointment of principals capable of high level effective performance, then the changes must be more than cosmetic. Those essential elements and carefully developed processes noted in Chapter 2 must be incorporated into the selection process.

The model for principal selection proposed in this paper is organized in two stages: the PRE-VACANCY STAGE, which includes the District Preparation Phase and the Candidate Preparation Phase, and the VACANCY STAGE, which includes the

Selection Phase, and the Development Phase. Figure 5.0 shows the relationship between these stages.

#### THE PRE-VACANCY STAGE

The Pre-vacancy Stage includes all the preparatory activities done by either or both the district and principal aspirants before any actual vacancies exist.

#### *District Preparation Phase*

This phase contains 5 major steps:

1. Developing district goals and priorities:

Goals determine the structure of the educational program, the quality and quantity of personnel needed to implement it, and the administrative personnel and processes needed to maintain it (Castetter, 1986).

2. Human resources survey and needs assessment:

In this step the district does a projection of what the future structure of the organization will be; they prepare a personnel survey, make projections about changes in the personnel, and needs that will develop.

[See Table 5.1]

3. Policy and procedures development:

The whole success of personnel recruitment depends on the district policies and the procedures developed to implement them. The policy should contain statements related to the district's intent, procedures for policy implementation and implementation authority.

Figure 5.0 PRINCIPAL SELECTION MODEL

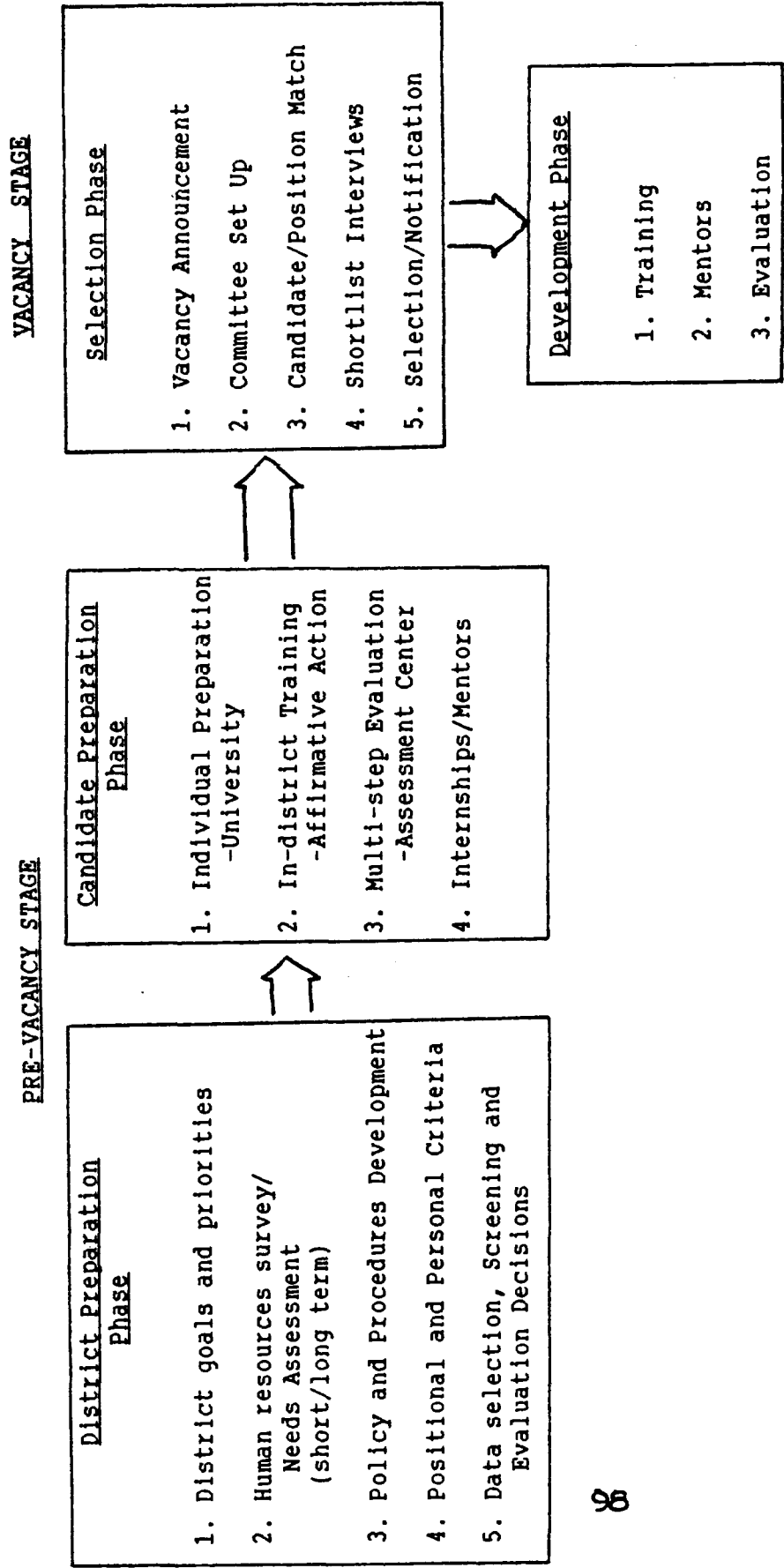
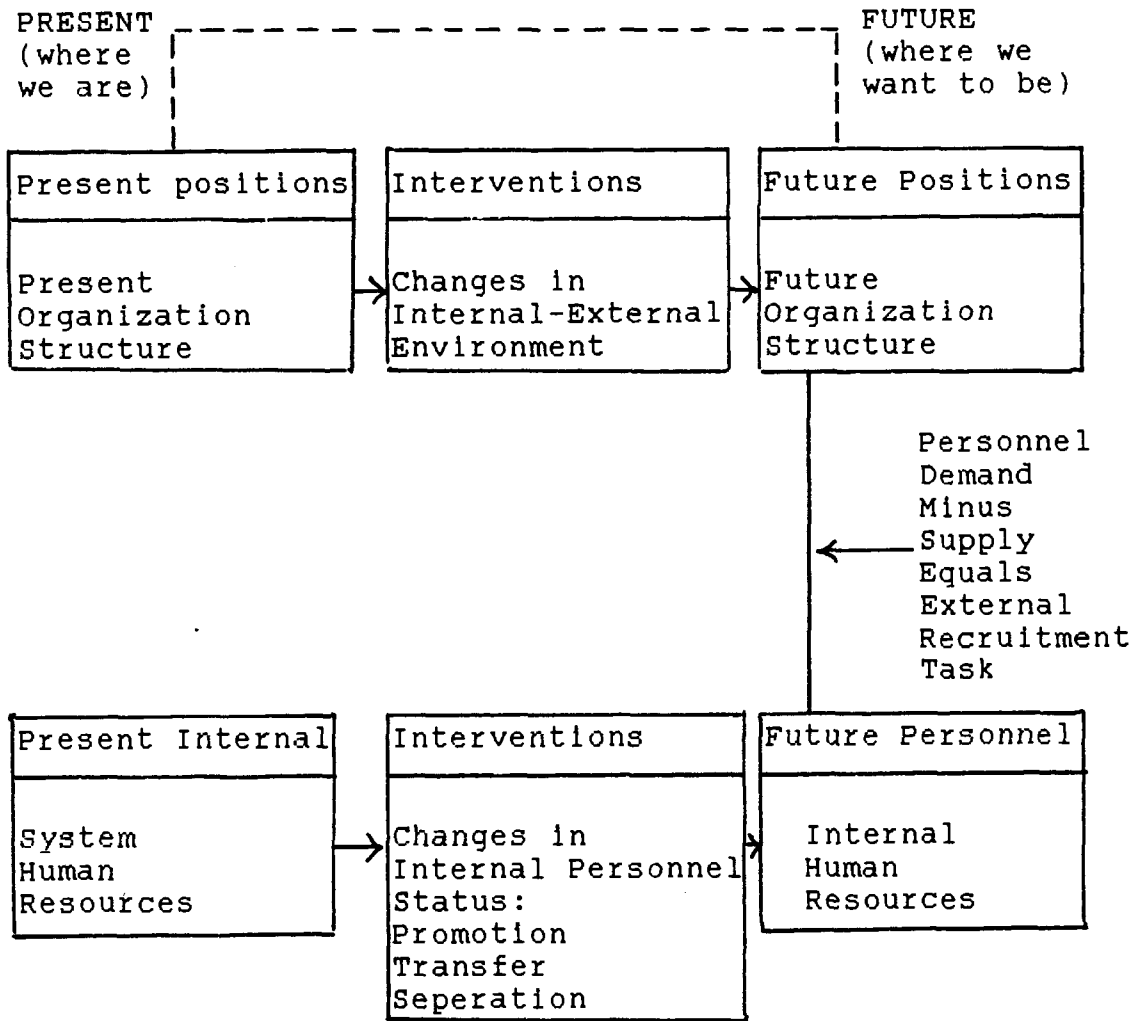


Table 5.1. Multiyear Human Resources Planning in Education



(Castetter, 1986, p.185)



4. Positional and personal criteria development:

This includes all the criteria that will be used for hiring and evaluation.

5. Data selection, screening and evaluation decisions:

A method of gathering data on each positional and personal criteria must be decided upon. A co-ordinated structure must be set up that includes all decisions related to data including its selection, use and evaluation.

The rationale for the inclusion of these steps can be found in Chapter 2. Each is explained more fully in the following paragraphs.

System Goals and Priorities

System goals and priorities form the basis for all decisions made in a school district, outlining both the long and short term aims of the district. This planning sets a course of action and guides the action toward a set of expectations producing "one or more future states that are desired and that are not expected to occur unless something is done" (Castetter, 1986, p.65). For example in drafting *An Educational Plan For Saskatoon Public Schools: 1985-1990*, the Saskatoon Board of Education (1984) termed it "a vision for education", and included in the document a mission statement, goals, a definition of basics, a description of the process that resulted in their document, how their plan fit with the

provincial goals, and specific action plans on broad educational topics. Similarly, Vancouver School Board publishes its Annual Goals in September of each year and outlines in a pamphlet the "Long and Short Term Goals of the Vancouver School Board" The long term goals were approved in 1977 and "reflect the philosophical framework around which the educational program is organized, and reflect the highest learning aspirations for children" (Vancouver School Board, 1987). Long term planning entails the development of strategies while short term planning deals with specific action plans needed to implement the strategies.

#### Human Resources Survey and Needs Assessment

After the development of long and short term goals, a district is in a position to do a needs assessment. By comparing the intended organizational structure and the projected profile of existing personnel, future personnel requirements will be indicated.

To increase selection effectiveness, the Rand study (Wise, 1987) recommended that "school districts...should develop planning systems so that specific hiring needs can be more accurately anticipated and recruitment can be targeted" (p.82). A human resources survey looks at the administration and personnel that are available to implement goals and programs. If current personnel are not able to implement desired goals and programs, then the human resources survey will indicate how many staff must be hired

and what criteria should be used in hiring. Human resources surveys help not only to decide the emphasis to be used in staff selection district-wide, but also to assist in the re-organization of existing staff to place them in the most effective places. It is in this step that needs related to balancing staff to meet race, gender or ethnic goals are outlined. If it is shown to be necessary, system-wide plans for personnel development, and affirmative action are implemented. The procedures for filling vacancies internally is clearly spelled out to minimize dissatisfaction and dissension. It is important that existing personnel to be promoted or transferred be identified before future personnel needs are finalized (Castetter, 1986; Musella, 1983).

In doing the needs assessment, student, program, staff, school and community needs are considered. Two different districts may face completely different demands when implementing the same goal, i.e., the integration of special needs students into regular classrooms. Certainly, demands on Vancouver School District, with its complex mixture of inner city, multi-cultural, ESL (English as a Second Language), and Special Needs children in an urban setting, will be different from demands on districts without this diversity of student population. The diversity is reflected in Goal 8, Fiscal Framework Adjustment, where Vancouver School District states it will attempt to gain recognition from the Ministry "as the largest school district in the

province with a disproportionate number of students who require exceptional help" (Vancouver School Board, 1987). As well, to successfully implement the same goal, the needs of individual schools within Vancouver School District will vary.

### Policies and Procedures

A district's policies are the framework for building a strong, effective personnel component. The policies must contain intent, procedure and responsibility statements to ensure continuity of district processes despite changes in administrators or school boards. The details of and directions for policy implementation should be clearly laid out in the policy manual. Without a clear set of policies and procedures to be followed during recruitment, it is unlikely that recruiters will be able to ensure consistency. Figure 5.1 is an example of an employment policy. Aspects of policy implementation to be considered are included in Figure 5.2. For further reference to decisions and areas to be included in policy and procedure development see: data collection, analysis and evaluation, and Appendix H.

### Positional and Personal Criteria

A positional and personal analysis for the position of principal must determine what a principal must do, and how it must be done in order for the principal to be successful. The position guide is a written statement containing

Figure 5.1. Employment Policy and Procedures.

FOXCROFT CITY SCHOOL SYSTEM

I. Employment Policy and Procedures

It is the policy of the Foxcroft City School System to recruit and maintain the highest caliber of staff possible to fill all positions in the organization structure, and will do so by:

- a. Selecting the best qualified applicant for any position vacancy, based upon the person and position specifications in the position guide describing the position to be filled, and without reference to age, sex, race, creed, or national origin.
- b. Filling vacancies by upgrading or promoting from within the system whenever present personnel are qualified.
- c. Encouraging changes in positions whenever they are in the interest of the individual and of the school system.

II. Procedures for Implementing Employment Policy

- a. All system personnel responsible for recruiting, selecting, placing, supervising, promoting, and transferring personnel shall be governed by these requirements.
- b. Notices setting forth the employment policy of the system shall be communicated to applicants, sources of applicants, all system personnel, and included in all communications designed to attract new personnel.
- c. The system will periodically review all opportunities for transfer and promotion to make certain that all members of the system receive equal consideration at all levels.
- d. Responsibility for initiating and maintaining employment policy is delegated to the chief executive officer of the system. The Assistant Superintendent for Personnel is responsible for coordinating the administration, implementation, and evaluation of employment policy and procedures.

(Castetter, 1986, p.197)

Figure 5.2. Recruitment Policies and Procedures:

POLICIES

Non-discrimination.  
Fairness in promotions, transfer, lay-offs.  
Position posting.  
Seniority principle.  
Correction of staff imbalances within system.  
Fairness in recruitment inquiries.  
Credential requirement.  
Skill inventories.  
Special personnel (relatives of board members or staff, etc.).  
Position guides (preparation and adherence to person and position requirements in position guides).  
Probationary appointments.  
Recruitment from outside the system.  
Outside employment (employment in a second position or job).  
Personnel residency (reside in district).  
Gifts and favours (related to recruitment).  
Recruitment budget (candidate travel, agency fees, staff travel, printing, advertising, relocation, travel).  
Candidate information (reference checks: credit, security, character, prior work performance, academic records; interview, application blanks, résumé review and acknowledgement).  
Testing (preemployment physical, mental, etc.).

(Castetter, 1986, p.198)

For each policy listed above, a set of procedures for implementation, operation, and evaluation must be developed. The policies are not restricted to the hiring of principals.

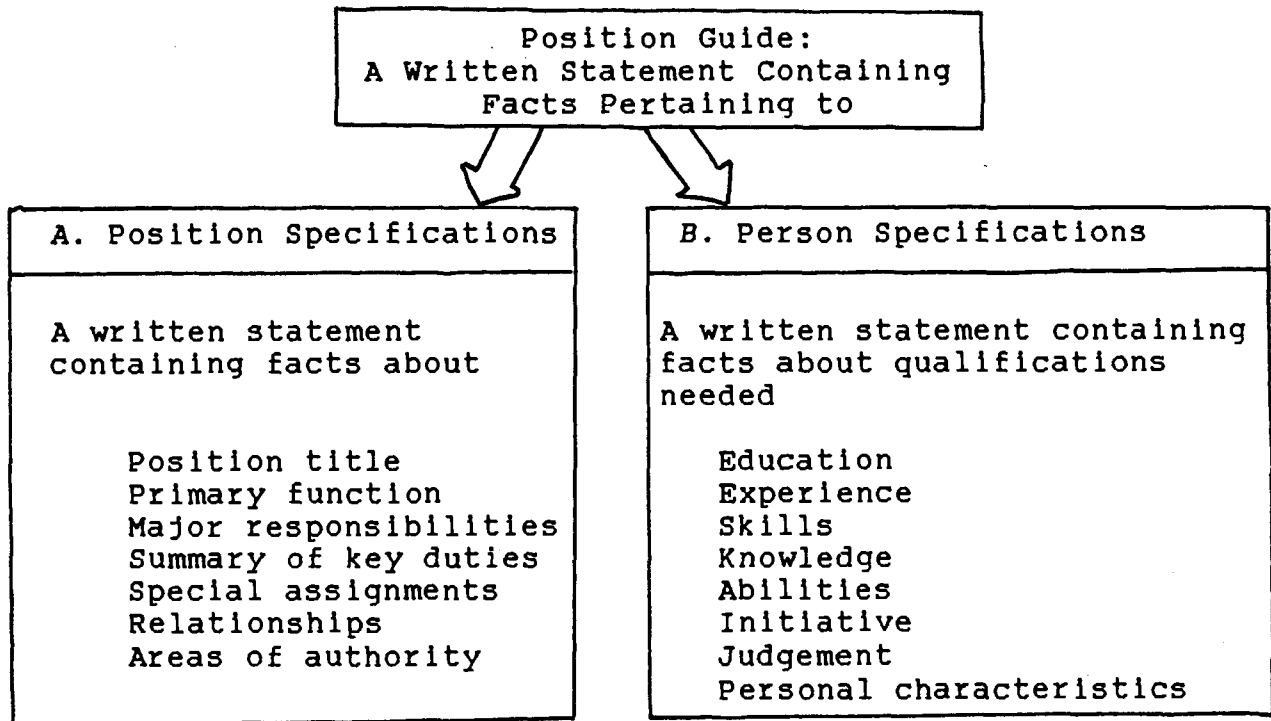
descriptions of the general functions of the position, specific position responsibilities and position relationships, as well as personal, educational and experience qualifications required. Figure 5.3 contains the elements of a position guide, and Figure 5.4 is an illustration of a position guide for a principal's position.

The position analysis for a principal should be developed on three levels: one that is district wide, one for the level of school -elementary or secondary- to be administered, and one for the specific school. For example, Appendix D, *District Expectations For School Administrators* (Vancouver School Board, 1983) covers those responsibilities assigned to and skills desired of principals in all schools in Vancouver School District. Added to those expectations would be requirements for the implementation of the district change goals. Since Vancouver has made a commitment to school-based professional development, a principal would have to indicate how she would implement school-based professional development, and demonstrate that she is actually doing so.

In large districts, the requirements of individual schools must also be taken into account.

Detailed job descriptions can also form the basis of principal evaluations. For example, Saanich School District used a local committee of principals to draft their role description of the school principal that contains the policy, regulations and criteria for *Tasks To Be Performed Or*

Figure 5.3. Elements of a Position Guide



(Castetter, 1986, p.229)



Figure 5.4. Position Guide for Administrative Position.

FAWN GROVE SCHOOL SYSTEM POSITION GUIDE

Part A: Position Requirements

Position Title:

Principal, Fawn Grove Elementary School

Purpose of Position:

To advocate, develop, execute, and assess the results of plans designed to facilitate the growth and development of pupil personnel assigned to this attendance unit.

Principal Responsibilities:

- Formulate, define, clarify, and interpret to pupils, staff, and community the objectives of this attendance unit within the context of organizational purposes.
- Define unit objectives and subunit goals within framework of system-wide purposes.
- Advocate, develop, execute, and assess the results of the learning experiences in the curriculum of this school.
- Advocate, develop, execute, and assess the results of instructional theories designed to facilitate the growth and development of pupil personnel assigned to this attendance unit.
- Provide effective supervision of human and nonhuman resources allocated to this attendance unit.
- Assess the results of all central and unit plans for facilitating the growth and development of pupil personnel assigned to this attendance unit.
- Advocate, develop, and assess the results of human resources plans for this attendance unit.
- Provide for effective coordination of unit plans with those of other system units and those of the central administration.
- Resolve conflicts arising from role ambiguity and organizational stress.

Principal Organization Relationships:

- Is under the general direction of the assistant superintendent for instruction.
- Directs the work of all subordinates assigned to this attendance unit.
- Integrates the activities of this unit with those of other units in the system.
- Consults with the assistant superintendent for instruction, advice, and assistance and renders advice and support to him.

Areas of Authority:	Authority:
- Supervision of attendance unit personnel	Full
- Recommend new or modification of existing unit plans	Full
- Execution of previously established plans	Full
- Appraisal of unit personnel	Full
- Selection of personnel	Partial
- Compensation of personnel	None
- Control of unit funds and facilities	Partial

*Some Factors Considered When Performance Is Judged  
(Performance Indicators):*

- The extent to which this attendance unit facilitates the growth and development of all children assigned to this attendance unit.
- The quality of instruction provided in this attendance unit
- The diversity and richness of educational opportunities provided to children in the attendance unit.
- The nature, extent, and quality of individualized instruction provided by this unit.
- The leadership qualities demonstrated in planning, organizing, leading, and controlling the activities related to this attendance unit.
- The nature, quality, timeliness, and quality (sic) of supervision rendered to subordinates assigned to this unit.
- The extent to which coordination is effected with other organizational units.
- The extent to which this organization attracts and retains personnel needed to make it function effectively.

Part B: Position-holder Qualifications

*Preparation, Experience, Skills:*

- Doctor's degree or equivalent, including ability to meet certification requirements for position.
- Demonstrated ability to exercise the responsibilities allocated to unit.
- Demonstrated ability to apply conceptual, human, and technical skills to position of this type.
- Demonstrated ability to motivate subordinates to cooperate voluntarily in attaining unit and organization aims.
- Demonstrated ability to understand the implications of social, political, educational, and economic changes; the significance they hold for the attendance unit; to initiate and direct appropriate change within the attendance unit based on broad societal changes.

(Castetter, 1986, p.230)

*Delegated By The Elementary School Principal* (Saanich, 1982) used both as an outline of the principal's role, and for evaluation. The outline listed general objectives with specific indicators for judging the implementation of the general objectives. Indicators related to a specific school were also included.

The rationale for the job analysis lies in the need for a set of expectations to serve as the criteria for judging applicants in terms of their chances for success on the job. One must know the situation and the district expectations thoroughly before one can assess and judge the comparable value of the abilities, qualities, skills, knowledge, and experiences of a candidate with respect to predicted success in the position in question. (Musella, 1983, p.42)

Through the development of criterial standards for the skills and duties required by a principal, districts ensure there are criteria on which to judge a candidate's merit. Care must be taken to ensure sex and race equity is built into the principal selection process to reinforce the concept that merit is found in all segments of the population. Selection criteria should not contain any barriers or disadvantaging formula, though balance between merit and equity must be maintained in the process.

For the purposes of this paper, the description of the effective principal from the literature review, Chapter 4, will be used, though each district will have arrived at its own unique definition of the ideal principal candidate through the preceding three steps: outlining system goals and priorities, conducting a human resources survey and needs

assessment, and developing policies and procedures.

### Data Collection, Analysis and Evaluation

As part of a comprehensive set of Policies and Procedures governing all sections of the principal selection process, decisions related to data collection, analysis and evaluation must be made. The decisions cover (a) what data is to be collected, (b) who is to collect it, (c) how the data will be analysed, (d) how it is to be evaluated, (e) who will do the evaluation, and (f) what will be done with the evaluation information. When data is gathered through several stages in the principal selection process, decisions on these points must be made for each of the stages.

### Data Sources

The value of various forms of data commonly used in job applications was discussed in Chapter 2. The Rand study (1987) found that "the screening instruments used during the selection process and the weights given them favor different qualities of candidates" (p.83). They cautioned that "formal interview and testing programs may have built-in selection biases [and that] if administrators do not perceive the biases inherent in these instruments, they may screen out those they might otherwise have wanted to hire" (p.83). Traditional sources of data, used with caution, can provide valuable information for use in principal selection.

### Structured application blanks.

To ensure that the same information is available about all the candidates, applicants complete a set application form. This form is the initial screening tool to insure the presence of the minimal qualifications. It provides factual data needed for processing the application, for developing interview questions, for preparing items for discussion with those cited as referees, and provides data to use in verifying other data sources. All questions asked on the form are job related and consistent, gathering only information necessary for the first level of decision-making. The application form is specific for the school district, and if the position to be filled is for one specific school, the unique requirements of the school may be included in the application. This application blank provides the necessary prescreening component and its format presents usable data in a uniform format.

### College or university transcripts.

When examining transcripts, the requirements for certification should be checked for out-of-province applicants, since different universities have different minimal requirements, and preparation programs may vary. Only if there is a significant difference in preparation programs should information from transcripts be used as criteria. The type of program completed and certification attained should be used only as initial screening criteria

though information from transcripts can be used as a data source for the interview.

#### Letters of reference.

Problems with letters of reference were discussed in Chapter 2. To increase their validity, specific job-related information can be requested from referees through written responses to questions developed from position analysis information. The same information should be requested from multiple credible sources, and any discrepancies should be checked with a telephone call. An example of the type of information to be requested is in Table 5.2.

#### Tests.

Any tests used must be non-discriminatory and test only job related knowledge, understanding, and skills.

For a test to be valid, there must be empirical data available to demonstrate that the test is predictive of or significantly correlated with important elements of the job for which the candidate is being evaluated...These tests should be chosen because they are presumedly related to the critical behaviours and demands of the job in question [and] are consistent with what the job incumbent "must really do" to succeed" (Bridges & Baehr, 1971, p.2)

Tests that may be used are those that focus on the administrative and supervisory skills identified by the school district as essential for success as a principal in that district. Tests developed by NASSP for use in their assessment centers are of this type. The Rand study (Wise,

## Table 5.2. Telephone Reference Checks

### General:

Some of the questions you might ask are routine and serve to verify quantitative information and other factual matters such as dates of employment, titles, job duties and reason for leaving. Others may involve intangibles and opinions of the applicant, such as leadership ability, personal qualities, etc.

Here is a list of areas that should be covered in most telephone reference checks.

1. How long known applicant? Dates? In what relationship?
2. What was her/his position? Reported to whom?
3. Can you elaborate on responsibilities? What scope?
4. How did the person get along with superiors, associates, subordinates?
5. What were outstanding accomplishments?
6. Comment on creativity, initiative.
7. Energy - character (integrity).
8. What were the applicant's strengths?
9. Limitations?
10. Discuss personality.
11. Can she/he express her/himself orally in public? In writing?
12. Growth potential: how far can she/he go?
13. For what is she/he best suited?
14. Verify compensation.
15. Why did the person leave?
16. Would you rehire?
17. Do you feel she/he can qualify as a \_\_\_\_\_?

In addition to these standard questions it is helpful to frame special questions that are pertinent to the specific qualifications of the applicant being checked. In the course of the interview certain aspects of the applicant's experience may have come up that are particularly important to the job. You want to check these out very carefully. Persist to get the full story. In the case of a poor reference, evaluate its importance and ask for examples.

Keep clear, consistent records of the telephone interview.

(Rooney & Pell, 1979, p.8)

1987) cautions

that formal tests (whose content may not, in certain instances be related to...performance) may prevent school districts from being able to consider further some candidates who possess other characteristics deemed important...Since they cannot capture qualities of motivation, judgment, perseverance, and commitment, paper-and-pencil tests have low correlations with performance in most occupations (p.85).

Written test such as I.Q. tests, interest tests, personality tests, or achievement and skills tests should not be included in the selection process for these reasons.

### Interviews

Interviews may take place several times in the selection process. A short, information interview when candidates apply for inclusion in the District Administrator Preparation Program will assure all candidates have the required qualifications.

Later interviews will check for the presence of general or specific positional and personal criteria. These interviews must be structured so that each candidate is asked the same questions. A weighting is given to both the questions and the answers, and a relative score for each candidate is arrived at. In conjunction with information gathered from other data sources, the interview score will add to the overall assessment of candidate suitability. Examples of general questions that might be included are found in Appendix E. However, over-reliance on interview performance alone should be avoided.



### In-district evaluations.

When a district has a proactive process for building a pool of eligible candidates, this in-district evaluation will take place in a number of ways: internships, assessment centers, training programs. Internships and Assessment Centers were dealt with in Chapter 2, and again later in this chapter. Affirmative action programs were also discussed in Chapter 2. Training programs, as an integral part of pre-selection and candidate preparation, will provide many opportunities for gathering evaluative job-related data on the administrative aspirants.

An evaluation by the candidate's immediate supervisor should accompany the initial application form and be used as part of the initial screening for entry to the candidate pool. At later stages in the Candidate Preparation Phase, a visit from a trained evaluator will form part of the process. A third evaluative visit of shortlisted candidates may take place once the shortlisting is complete. Following the visits, each observed job-related criteria is evaluated and given a weighted score to be included in the final evaluation and selection. Examples of the forms that might be used are found in Tables 5.3 and 5.4. These provide additional sources of data based on performance.

### Screening and Selection Decisions

Part of the comprehensive decision-making system sets

Table 5.3. ASSESSMENT FORM

THE CARLETON BOARD OF EDUCATION

SUPERVISORY OFFICER'S FIELD ASSESSMENT FORM  
(Non-classroom Positions)

DATE OF ASSESSMENT \_\_\_\_\_

NAME OF CANDIDATE \_\_\_\_\_

SCHOOL \_\_\_\_\_

POSITION APPLIED FOR \_\_\_\_\_

Indicate assessment rating by circling one number on each of the 4 scales listed below.

a) Methods/ Techniques/ Organization											
HIGH	10	9	8	7	6	5	4	3	2	1	LOW
COMMENT/OBSERVATIONS:											
b) Atmosphere - Attitudes											
HIGH	10	9	8	7	6	5	4	3	2	1	LOW
COMMENT/OBSERVATIONS:											
c) Planning/ Program											
HIGH	10	9	8	7	6	5	4	3	2	1	LOW
COMMENT/OBSERVATIONS:											
d) Evaluation/ Record Keeping											
HIGH	10	9	8	7	6	5	4	3	2	1	LOW
COMMENT/OBSERVATIONS:											

TOTAL ASSESSMENT RATING  
(to be transcribed to Career  
Profile of the Candidate)

\_\_\_\_\_  
SIGNATURE OF CANDIDATE

\_\_\_\_\_  
SIGNATURE OF SUPERVISORY OFFICER

Table 5.4. ASSESSMENT FORMS

THE CARLETON BOARD OF EDUCATION

SUPERVISORY OFFICER'S FIELD ASSESSMENT FORM

DATE OF ASSESSMENT \_\_\_\_\_

NAME OF CANDIDATE \_\_\_\_\_

SCHOOL \_\_\_\_\_

Indicate assessment rating by circling one number on each of the 4 scales listed below.

a) Teaching methods/Techniques/Classroom organization for learning											
HIGH	10	9	8	7	6	5	4	3	2	1	LOW
COMMENT/OBSERVATIONS:											
b) Classroom atmosphere/Rapport/Student response and attitudes											
HIGH	10	9	8	7	6	5	4	3	2	1	LOW
COMMENT/OBSERVATIONS:											
c) Short & long-term planning/ Program - knowledge and implementation											
HIGH	10	9	8	7	6	5	4	3	2	1	LOW
COMMENT/OBSERVATIONS:											
d) Methods of evaluation/ Student records											
HIGH	10	9	8	7	6	5	4	3	2	1	LOW
COMMENT/OBSERVATIONS:											

TOTAL ASSESSMENT RATING  
(to be transcribed to Career  
Profile of the Candidate)

\_\_\_\_\_  
SIGNATURE OF CANDIDATE

\_\_\_\_\_  
SIGNATURE OF SUPERVISORY OFFICER

out and clarifies the makeup of the screening committee, including what role each person will take, and who will be responsible for evaluating each type of data. As increasingly selective steps will narrow the number of candidates, it must be clear at the outset who has the overall responsibility, what data will be collected at each step, who will collect and evaluate it, and to whom this information will go.

In any screening process, the screening and rating committees must contain some component to combat the negative effects of groupthink, and to maintain external credibility (Baltzell & Dentler, 1983). Guided by local conditions, the committees should include women and minority members as well as a broad representation of affected groups, such as teachers, parents and schoolboard members. The role and expertise of non-educators on the screening committee must be clarified and publically disclosed. Examples of the makeup of screening committees are given in Table 5.5.

#### In-district Training

If successful participation in specific training or preparation programs is a positional requirement, then the programs must be provided by the district or be easily accessible. Training referred to in this step differs from professional development by the inclusion of criteria-based evaluation of learning or performance which is used in candidate assessment. The amount and content of training

Table 5.5. Screening Committees

1) Selection Committee - A Committee of professional staff appointed by the Director and consisting of the following personnel:

- Assistant Director of Education (Chairperson)
- Superintendent of Schools for Region in which vacancy exists
- Assistant Superintendent of Schools for Family in which vacancy exists
- One other Supervisory Officer
- One Principal other than from the school where the vacancy exists

N.B. Both men and women will be represented on this Committee

2) School Committee - A Committee of professional and community representatives consisting of the following personnel:

- Assistant Superintendent of Schools for Family in which vacancy exists (Chairperson)
- The Principal identified for the Selection Committee
- Trustee(s) whose ward is part of the attendance area for the school in which the vacancy exists (For Jr. High and Secondary Schools Trustee representing Seperate School electors to be included)
- One from the teaching staff of the school
- One parent from the school appointed by the local Home and School Association (Where no Home and School Association exists, the parents will be identified by the principal)

N.B. 1: Both men and women will be represented on this Committee

2: Should the teachers, trustees, or parents not wish representation, this Committee will continue to be accountable in the overall process.

(Musella, 1983, p.140)

required by principal aspirants will vary depending on the experience the candidate has in positions of responsibility. At the first stage, training will be one of preparation, while improvement of performance will be the aim of training for present administrators.

A general training design might include components recommended by Musella in Table 5.6. Musella includes, as examples, training programs developed by the Board of Education for North York, Ontario (1983, p.146). Though Vancouver School District does not have a training program as part of their principal selection process, their Professional and Staff Development Calendar includes "Leadership Training Courses For Positions of Added Responsibility" as well as several courses that are open only to Administrators, including one for newly assigned Administrators (Vancouver School Board, 1987).

#### Evaluator Training

Comments on training are incomplete without reference to training evaluators or others who take part in other sections of the selection process. Evaluators must be trained so that they gather only relevant, criteria-based data. Their evaluations must be externally validated, and include adjustments for minorities if necessary (Bridges & Baehr, 1971).

Table 5.6: STAFF TRAINING (Musella, 1983, p.109)

(i) Participants by Stages

Stage 1: No previous administrative or supervisory experience

Stage 2: 1st level experience only (chairpersons)

Stage 3: 2nd level experience (vice-principals, coordinators)

Stage 4: 3rd level experience (principals, supervisors)

Stage 5: 4th level experience (assistant superintendents, superintendents)

(ii) Source of Training Content

Needs related to specific role

Needs related to specific project or task

Needs related to general leadership, supervision, and administration

Needs related to individual self-improvement

(iii) Selection of Participants

Stage 1: Self-selection and affirmative action

Stages 2-5: Self-selection, affirmative action, and supervisor-select

(iv) Some Considerations

1. All staff of the Board of Education should have the opportunity to be considered for a position of responsibility and promotion.
2. Affirmative action should be in place at every stage of staff training.
3. Responsibility for developing and conducting training programs rests with the board.
4. All role incumbents in positions of responsibility, as well as those aspiring for promotion, should be required to attend staff training directed to the respective role(s) in question.

### Candidate Preparation Phase

Districts without a pre-selection step in their principal selection process must continually deal with problems of rushed recruitment, insufficient time for data gathering and analysis, lack of opportunity to conduct performance-based evaluations, and the effects of sponsorship and connections. These problems are eliminated through proactive pre-selection processes. Thus it is critical that any principal selection model incorporate pre-selection processes, including candidate screening and criteria-based evaluation, and a training component. The pre-selection process, covering a period of up to four years, must begin far in advance of the need for administrators.

The steps of the Candidate Preparation Phase are aimed at building a readily available pool of qualified candidates whose eligibility and leadership potential have been thoroughly assessed in a series of pre-selection activities. This Candidate Preparation Phase allows appointments to be made on a candidate's merit and increases the probability that the most effective person will be chosen. If a person has not gone through all the steps, he/she cannot be appointed to a principalship.

Based on procedures developed in the *Policies and Procedures* section of the District Preparation Phase, the district will have set up a series of steps or levels related



to the preparation, screening, and evaluation of prospective principal candidates. Basic to the proactive procedures districts choose is an open intake process where anyone who meets the widely announced eligibility criteria is welcome to apply. Though each district will have its own unique criteria, care must be taken to eliminate any hint of bias or discrimination, and provide for sex and race equity if necessary. These affirmative action plans are governed by and included in district *Policies and Procedures*.

In the Candidate Preparation Phase, the sequence of steps in the selection process, using criteria-based evaluations and training activities, results, at each step in an ever decreasing number of highly trained, thoroughly evaluated candidates. When the district needs to place a new principal, it can choose from the top level of trained aspirants that person whose qualifications best match the needs of the specific position. Not only will the general needs and goals of the district be met, but those specific to the community and the school as well.

Provision for the recruitment of out-of-district candidates should be included. Though this model does not include details in this area, particular care in the assessment of data sources is recommended.

#### *Multi-step Candidate Preparation*

##### Personal Preparation

Many districts look for candidates who have developed

skills and abilities which relate directly to the job criteria but which are not the result of work experience. Educational requirements fall under this heading. Examples of personal preparation requirements can be found in Appendix F.

### District Based Preparation

#### Information workshops.

The district holds widely publicized information workshops for all who may be interested in administration. In these workshops, all details of the process are described and explained: basic requirements for eligibility, steps involved, time frame, criteria, evaluation methods and personnel involved. North York Board of Education holds orientation sessions for prospective applicants to their Administrative Intern Selection Program which include sessions on how to write a written response, make an oral presentation, prepare a resumé and summary letter, and conduct oneself in an interview (Musella, 1983). Applications for candidates who decide to proceed are accepted in the fall and the steps to follow are clearly laid out.

#### Preparation training courses

If specific courses are required as part of the basic eligibility, then these courses must be widely available or offered by the district. Courses at this stage would be

slanted to preparation and might include workshops dealing with district policy or goals, or a professional development program such as Vancouver School District's *The School Makes The Difference, Elements of Instruction* or *Co-operative Learning* (Vancouver School Board, 1988).

#### Level One: Screening

Screening for entry to the first level of the candidate preparation program is through basic eligibility qualifications. These include such items as teaching experience, education, participation in district training programs, evaluations by current supraordinates, etc. This Level One screening also includes a preliminary interview, and might include the use of a structured application form or written and oral responses on various educational topics. This first stage of the screening process focuses on those broad, essential characteristics outlined in the criteria for a principal, and identifies the strengths and weaknesses of the participants. Those who successfully pass the first stage screening must then receive training that addresses their identified strengths and weaknesses. Table 5.7 outlines North York School District's four step screening procedure.

#### Level One: Training

Leithwood and Montgomery (1986) feel that certain competencies and knowledge relevant to principal

## Table 5.7. ADMINISTRATIVE INTERN SELECTION PROCEDURE

### A. ORIENTATION SESSION FOR PROSPECTIVE APPLICANTS

In order to explain this process on more detail to interested staff, orientation meetings are held to present the details. These sessions include such items as:

- how to write a written response
- how to make an oral presentation
- how to prepare a resumé and summary letter
- how to conduct oneself in an interview

### B. ADVERTISING AND APPLICATION

In the Fall of each year, applications are accepted for the Administrative Intern Selection Process. Candidates are instructed to discuss their career path and application with their appropriate supraordinate(s). The candidates who decide to proceed forward their applications, resumé and summary letters through their appropriate supraordinate to the Superintendent of Personnel Services.

Candidates must meet the requirements for admission to the Ministry of Education Program Development and Implementation Course.

### C. SCREENING PROCEDURE

#### 1. Written Response

All applicants will be given 40 minutes to provide a written solution to an educational problem provided for them.

#### 2. Oral Response

For the purpose of this exercise, candidates will be divided into groups of four or five under the direction of the interviewing committee who will act as observers.

Candidates may make a choice of any aspect of a component of education from a list of selected, broad, educational topics which would best demonstrate their strengths.

#### 3. Interview

Each of the applicants will be interviewed by the Interview Team. The candidates will be given an opportunity to respond to a variety of questions relating to, and qualities referred to, in the advertisement. The Interview Team will consist of three members of the Principals' Association, one from each panel, and one supervisory officer.

The Director, in consultation with the Principals' Associations, will select three Association members and appoint the supervisory officer. Both men and women will be represented on the Team.

#### 4. Assessment

Applicants should be aware that their accomplishments in North York, relative to the "Leadership Criteria for Administrative Interns, Vice-Principals and Principals", will be major factors in the selection process. The written response, oral response, and the interview will also be evaluated on the basis of these criteria and will be assigned the same weight by the Interview Team and the accomplishments.

#### D. ESTABLISHMENT OF LIST OF ADMINISTRATIVE INTERNS

Upon completion of the assessment, a list of the successful applicants will be prepared. Each candidate will be notified of the results and will receive an assessment. Successful applicants will, from this point, be referred to as "Administrative Interns".

Administrative Interns will remain on the list for five years. Before that time lapses, they will have an opportunity to examine their career paths with the appropriate Supervisory Officer. This examination will include:

- personal goals, aspirations and growth
- past and present performance in one's current educational role and as an Administrative Intern
- professional development activities
- potential career openings

Upon completion of this session, one of the following will occur:

- a) Supervisory Officer and Intern agree to a further extension (2 years)
- b) Supervisory Officer and Intern agree that no extension be granted
- c) Supervisory Officer and Intern disagree about candidate's career path. The candidate then may choose to reapply for the process.

(Musella, 1983, p.131)

effectiveness, such as knowledge of curriculum and planning and classroom observation, can be acquired through training. He feels others, such as decision making and the use of authority, can be improved through training. He feels, however, that some characteristics, such as assertiveness in instructional leadership, the use and promotion of interpersonal relationships, attitudes toward students and school, and being honest and sincere, cannot be taught.

Training programs must be tailored specifically to the needs of the candidates and address areas identified as weak that can be improved through training. The training might be through an internship program, or through a series of workshops and activities developed by the district, or a combination of the two. For example, in the Intern Administrator Course, North York School Board offers "an integrative study of leadership, curriculum and administration as it applies to the North York educational scene" (Musella, 1983, p.146) Program topics are found in Table 5.8.

For smaller districts, the activities in Level One may provide sufficient opportunity to screen, evaluate and train potential principal candidates. Those districts that, because of size or location, find it difficult to undertake a pre-selection program on their own should consider joining with neighbouring districts to share in the development, operation and funding of a preparation program.

**Table 5.8. NORTH YORK INTERN ADMINISTRATOR COURSE**

It will consist of five full days in the summer, plus a number of Saturdays throughout the year.

The program design will focus on topics such as the following:

LEADERSHIP	CURRICULUM	ADMINISTRATION
Communications Group Development Conflict Resolution Confrontation Team-building Force Field Analysis Feed-Back Supervisor as Counsellor Situational Leadership Change Strategies Organizational Development Techniques Synergy and Consensus Staff Personnel Student Personnel Community System Personnel	Policy/Documents General - Divisions Specific - Subjects Guidance Special Services Assessment/Evaluation	Planning Organizing Implementing Evaluating Developing Staff Business Mgmt. Physical Plant Committees Task Forces Reports Law Performance-based Management

(Musella, 1983, p.146)

Districts may wish to continue the preparation and pre-selection process through a second level. The ongoing evaluation of candidates in training activities will provide the data for deciding which candidates should move into Level Two, and form part of the candidates' administrative file.

Level Two: Assessment Centers

As stated in the literature review, Assessment Centers are "a content valid procedure for the selection of school administrators" (Hersey, 1986) and "the performance measures....are all positive, showing high correlation between assessment ratings and job performance" (McCurdy, 1983). Because Assessment Centers employ principles of rehearsal modelling and reinforcement, they are the best means presently available to help identify school district personnel with the requisite skills to succeed as assistant principals and principals. For candidates with little or no previous experience in administration, Assessment Center activities provide a base for assessing whether or not the candidate would be able to fill the role effectively. For candidates who are already in administration, the Assessment Center indicate areas of strength and areas requiring training. At any point in the Candidate Preparation Stage, testing and evaluation can be done through the use of Assessment Centers or Assessment Center techniques such as participation in a combination of role plays, written



problem-solving activities, in-basket activities, etc. Assessment Center activities can also be used in conjunction with internships and form part of the training.

Those districts electing to develop and implement their own assessment center activities must test and refine their materials to ensure they are valid and reliable. Standards related to the district's goals and expectations must developed, and a rating scale clearly set out. Musella (1983) deals in depth with the development of district based assessment center activities, and with Joyce has published sets of material to be used at various levels of administrator selection (Musella & Joyce, 1972).

Post-session counselling with all participants is part of the Assessment Center process. Those who show the most promise will have had areas of strength identified as well as those areas of weakness which will need training or improvement. Those who are unsuccessful will either be given suggestions on the direction in which they should work so they may be successful in a further attempt, or advised that further application is not likely to meet with success.

#### Level Two: Internships

Internships, used as part of the selection and training of potential administrators, help provide "a backlog of previously trained and assessed candidates from which to draw at any time in a school year" (Baltzell & Dentler, 1983).

Before Administrative Interns in North York School District can receive promotions to Vice-Principal, they must successfully complete professional development programs that include: Ministry of Education Program Development and Implementation Course, Ministry of Education Program Assessment and Supervision Course, North York Intern Administrator Course, and North York Intern Residential Program. They also receive individual help and on-the-job training through the Intern Residential Program. These Internship activities allow valid evaluations to be made regarding a candidate's likelihood of success as an administrator.

In Level Two, as in Level One, trained evaluators using job-related criteria will gather data on the candidates. The emphasis is to closely match the actual day-to-day activities of a principal, so the evaluations will be a valid indicator of the probable success of the candidate. When vacancies for a principalship occur, the shortlisting and selection will be from those candidates who show the greatest strength overall.

#### VACANCY STAGE

##### *Selection Phase*

When a vacancy for a principalship occurs, the district begins the Selection Phase. The steps of the Selection Phase are clearly laid out in the district's Policies and Procedures, and will result in a match between district and school needs and the profiles of eligible candidates.

### The Selection Committee

A Selection Committee, as defined in the Policies and Procedures, is set up when a principalship vacancy develops. It is the function of the Committee to notify eligible principal candidates of the vacancy and invite them to apply; to oversee the set up of the School Committee; to check applicants' files and shortlist the most qualified; and to interview those shortlisted.

### The School Committee

A School Committee, as defined in the Policies and Procedures, is set up to determine the unique school needs related to the position to be filled. This committee will also interview the shortlisted candidates, and make recommendations related to the candidates to the Selection Committee. The interview by the School Committee covers the issues unique to the school and provides information on the candidates to the school, and on the school to the candidates. Comments, observations, and recommendations on each of the candidates are sent by the School Committee to the Screening Committee. Their recommendations are not binding on the Selection Committee, but will be a factor in the final selection. An example of the makeup and function of a School Committee can be found in Appendix G.

### Developing the Short List

In this step, all eligible candidates in the candidate pool are notified of the vacancy and invited to apply for the position. The candidate profiles developed during the multistep pre-selection process of those who apply are matched with the positional requirements by the Selection Committee. The six to ten most suitable candidates for the position are short-listed. These candidates will be interviewed by the School Committee and the Selection Committee.

#### Candidate Selection

Interviews by the School Committee and Selection Committee take place. The results of both interviews contribute to the overall evaluation of the candidates. The Screening Committee interviews the short-listed candidates in a scored, structured interview. The Screening Committee interview score is added to the evaluations from the multi-step pre-selection process, and the observations of the School Committee. A total is arrived at for each candidate. The Screening Committee recommends the top candidate to the Superintendent.

#### Feedback to Applicants

At each step in the selection process, feedback given to the candidates is built into the procedures. Those who have been eliminated from the competition are notified as soon as possible and opportunity is made for them to discuss the

reasons for their elimination. Communication with both successful and unsuccessful candidates, including providing opportunities to discuss concerns and future career prospects, will enhance the merit of the process. This feedback is included as one of the steps in the Selection Phase.

It is important in the Selection Stage that other considerations, such as transfers and other placements, not divert the appointment of the top candidate, as this will result in less than highest quality leadership.

#### *Development Phase*

##### Training

Though Principal Selection Processes usually end with the appointment of a successful candidate, an effective Principal Selection Process includes a training component for new and continuing principals. This corresponds to Castetter's "Personnel Development" (1986, p.290). It is only through training that new principals will be socialized and assisted in fully developing their potential. Training components also ensure that principals will continue to be exposed to and be cognizant of current developments in educational research. Reference to training at this level can be found in Musella (1983).

It is not within the parameters of this paper to develop a training program for principals, though Leithwood's (1986)

"Principal Profile" and the "Dimensions of Principal Behaviour" could form the base for districts developing their own program.

### Mentoring

For administrators-in-training and newly appointed principals, being partnered with an effective, veteran principal in a mentoring relationship can be beneficial. This would provide the "Personnel Induction" mentioned by Castetter (1986, p.259) as necessary for efficient, effective contributions to the district. It would also help complete the process of socialization that begins before recruitment and extends through the various stages of formal preparation and employment (Miklos, 1988, p.53).

### EVALUATION OF THE SELECTION PROCESS

During the first use of the process, there will be on-going evaluation of the criteria and data collection methods. Any unnecessary or unreliable items will be omitted or improved. An overall evaluation using the main criteria: merit, equity, legitimacy and efficiency, should take place at several points. Though each district will have unique concerns, general questions to be considered are:

Is the "best" candidate being hired?

Is this person effective in the position?

Are women and minority members of observably high merit being appointed?

Is the legitimacy of the process and suitability of the appointee widely publicized?

Do the results of the process justify the cost in terms of time and money spent?

Further evaluation of the process will take place in conjunction with the evaluation of the administrators chosen using the process. If, in the process of evaluating principals, they are found to be less than effective, the process by which they were selected should be closely examined. It may be that the process or criteria were inappropriate or need to be refined. In addition, there should be periodic examination, revision and reaffirmation of the criteria and continued publicizing of the process and the makeup of the candidate pool.

In conjunction with evaluation, the legitimacy of the process would be enhanced by publicizing the appointment of new principals with a stress on their qualifications and their suitability for the assignment. Similarly, the features of the principal selection process and their improvement could form a part of the annual public report from the district.

#### CONSIDERATIONS FOR IMPLEMENTATION

Research has shown how important the role of principal is in developing an effective school (Block, 1982; Baltzell & Dentler, 1983; Leithwood & Montgomery, 1986). The premise that improving the method of selecting and training

administrators will result in improved effectiveness and efficiency in schools must be fully accepted by those in authority in the district, or it may be difficult for districts to get the acknowledgement that there needs to be a restructuring of the present process. The commitment of the school board, the district staff and the superintendent, above all, is necessary.

Districts undertaking changes must be aware that superficial changes are useless. The whole personnel management process in the district may have to be reassessed before or concurrently with the redrafting of their principal selection process. Implementing the model proposed in this paper may result in a shifting of the traditional power bases in school districts, and will necessitate designation of responsibilities and a sharing of authority that may be resisted in some districts. Unless a district is committed to bettering its schools through improving the techniques for selecting principals and does a thorough job, little will actually change. It is certain that without changes in the method used to select principals, the likelihood that the most effective person will be selected more often than is presently the case, is slight.

The literature indicates there is a great need in British Columbia's school districts for improvements to be made in the methods used to select principals (Kelsey & Leullier, 1978; Legg, 1984; Newberry, 1975). If a district



begins with those aspects of principal selection included in *The District Preparation Phase* and goes no farther, major improvements should still occur, because this phase is the foundation for all changes. Attempting to make changes in any other area of principal selection before setting district goals and priorities, doing human resource surveys, developing policies and procedures, developing personal and positional criteria and working on data selection screening and evaluating would be a waste of time, effort and money. These first steps, especially the development of written policies and procedures, must be addressed thoroughly before anything else is attempted. Districts that undertake only the *District Preparation Phase* will be far ahead of most districts in the province.

The model presented in this paper is a comprehensive, long-term process that forces a district to look at all aspects of its functioning and forces efficiency of function and process. Chance and lack of clarity in purpose and direction have no place in the process. However, whatever plans are made must be realistic in terms of time involvement and monetary cost. The best plan in the world is useless if it is not used, and if it cannot be financed, it will never be implemented. The costs in person-hours for developing the steps in the *District Preparation Stage* and *Candidate Training Steps* will be considerable, and the returns must be taken on faith in the beginning. It is only when the whole

process has been in operation for some time that the returns in the form of efficient, effectively administered schools will be apparent.

The bottom line for districts thinking of changes and hesitating because of the costs in time and money must be Castetter's (1986) observation that

It is not difficult to make a case for thorough selection procedures, regardless of system size. The expenditure of time, money, and effort is wasted when people selected for positions fail to meet organizational expectations. Furthermore, the impact...on children is so serious that the selection process in education is a matter of critical concern (p.224).

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Appendix A: Major Findings: Alan Legg (1984)

1. Selection procedures and criteria presently in use in British Columbia are not geared towards identifying the best candidates for principalships. Almost 80% of the included school districts had no form of assessment programme.

2. Few school districts have an established, consistent system for identifying principal candidates.

3. Candidates are self-identified or identified by administrative personnel.

4. There are no procedures or criteria by which abilities, experience or biographical data can be assessed.

5. Taking aptitude, personality, or medical tests was not required in 90% of the districts.

6. Interviews are used to judge "fit".

7. Procedures for selecting principals have not significantly changed since 1950.

Alan Legg (1984) CRITERIA AND PROCEDURES USED IN THE  
SELECTION OF SCHOOL PRINCIPALS IN THE PROVINCE OF BRITISH  
COLUMBIA

Appendix B: Major Findings: A.J.H. Newberry (1975)

1. The majority of elementary principals in British Columbia were also part-time teachers. There was a great emphasis on length and assessment of teaching experience as a qualification for an administrative position.
2. Superintendent's perceptions of the role of the elementary principal fell in the educational-instructional leadership category. Emphasis was placed on organizational climate, human relations, goal-setting, curriculum study, student relations and accountability.
3. Superintendents reported that principals should spend their largest block of time in supervision of teachers.
4. Newspaper advertisements, internal announcements, and recommendations by other administrators were the most common practices used in recruiting the principal. There was little consultation reported outside the school system.
5. Superintendents, directors, and school board members were the main personnel involved in the selection process. It was reported that little consultation is requested of principals and teachers, and virtually none of parents.
6. The five most common personal selection criteria which were used were reported as mature judgement, scholarship, personal security, group skills and good health.
7. The five most common professional selection criteria which were used were reported as human relations skills, classroom teaching experience, decision-making skills, community relations skills, and administrative technical skills.
8. The personal selection criteria employed were consistent with the Research Model of Selection Criteria, but the professional criteria varied with the model in some cases. Surprising attention was given to age and length of classroom teaching experience. No significant emphasis was placed on change strategy skills, research skills, or communication skills.
9. The chief means of assessment of criteria were reported as the interview, references, principal and superintendent reports, and past performance reviews.
10. The majority of respondents reported no written policy for the selection of the elementary principal and no written job description for the role of the elementary principal.

A.J.H. Newberry (1975) PRACTICES AND CRITERIA EMPLOYED IN THE SELECTION OF ELEMENTARY SCHOOL PRINCIPALS IN BRITISH COLUMBIA

## Appendix C: RESEARCH BASED DIMENSIONS OF PRINCIPAL BEHAVIOUR

Source: refer to Chapter 4

### 1. Goal setting: the primary dimension of principal behaviour.

- place a priority on and foster the goal of student cognitive growth and happiness
- a personal vision of how the school should be
- ensures clearly conceptualized goals for herself and everyone connected with the school
- communicates these goals and obtains commitment to them
- engages the staff in the active attainment of these goals
- creates a sense of direction for the school

### 2. Evaluation of the school's goals and objectives

- has in place a system for instructional assessment and program evaluation
- ensures that periodic school-wide evaluation of student progress and regular reviews are conducted
- evaluates whether or not the basic goals and objectives have been met

### 3. Instructional leadership

- ultimate goal is improvement in programs for and achievement by the students
- responsible for instruction and promotes among the staff a feeling of being accountability for providing all students with the most effective instruction
- ensures responsibility for instruction is accepted by the whole staff
- knowledgeable about current developments and practices in instruction
- active in planning, implementing and integrating instructional strategies and programs
- participates in the selection of basic instructional materials for the programs developed
- visible and involved in instruction at the classroom level
- observes in classrooms and discusses instructional problems that may arise
- involved in systematic program assessment, using test results to make significant decisions regarding programming and teaching methods
- an active role in instructional leadership

4. Executing the designated leadership role
  - handles the dual nature of the job of being both a manager and an instructional leader
  - efficient procedures for routine to allow for goal-related work
5. Action orientation
  - both action and task oriented
  - adopt multiple strategies in response to needs and opportunities
  - identifies and acknowledges educational problems and acts firmly in belief that solutions can be found
  - active instructional leadership
6. Utilization of resources
  - effective use of physical and human resources to focus specifically on the goals and objectives of the school
  - obtains political, parental and financial support
  - ingenious procurement of necessary resources and recruitment of school staff
  - selection of staff for "fit"
  - stability and continuity of key staff
  - involved directly in the selection and socialize of new staff
7. The tone of the school
  - display achievement oriented leadership
  - set the tone for the school
  - creates and maintains a stable atmosphere and a good learning environment
  - possesses high expectations for student achievement and communicates these to staff, students and parents
  - high expectations for the staff
  - communicates expectations to and presents a good role model for both students and staff
  - commitment to learning is manifest in every classroom
  - active in reducing instructional interruptions
  - pays considerable attention to the school climate
8. Relationships with staff, students and the community
  - empathy, interest and concern for others
  - greater verbal fluency and an informal manner
  - a wide variety of communication methods
  - builds good rapport with teachers, students and parents
  - a co-operative environment
  - a) Relations with staff
    - develops and maintains a school climate conducive to learning
    - friendly, constructive principal/teacher relations



- participatory planning and decisionmaking
- work delegation
- achieves a balance between strong leadership and autonomy for her staff
- highly collaborative, working for ownership of and agreement on school decisions
- allowing for staff input, sharing decision making, and allowing teachers to have a share in fund spending.
- supportive of teachers and skilled in providing a structured institutional pattern in which teachers can function effectively
- staff implementation of new ideas and projects
- back up teachers as necessary and insulate them from community and bureaucratic problems
- prevents unnecessary intrusions of any kind that might affect the efficient functioning of the classroom
- high expectations for staff performance
- fair and non-hostile
- relied on for support
- help for them in acquiring and distributing materials and enforcing discipline
- useful staff meetings
- promotes staff and school centered inservice, targetted toward specific goals and programs
- priority to classroom carryover from inservice
- staff morale is high.

b.) Relations with students

- highly visible to, and has a good understanding of, students
- strong effective school governance
- effective, firm disciplinarian
- develops a well defined policy with clear, firm, consistant rules
- responsive to student and teacher input
- builds a structure of order
- high visibility and availability
- role models, stressing desired behaviours and teaching social skills
- policies to foster school spirit are developed to build committment to the school and encourage student self discipline
- school's positive physical appearance
- high standards of cleanliness and little litter

c) Relations with the community

- awareness of community issues
- promotes positive school-community relations
- positive feeling to community relations
- greater parental participation, parent initiated involvement, and regular parent/teacher conferences.
- addresses community issues and takes specific steps to enhance public relations

## Appendix D: VANCOUVER SCHOOL BOARD

### DISTRICT EXPECTATIONS FOR A PRINCIPAL

The School Act, Section 128, allows a Board to appoint qualified applicants as teachers and to authorize the assignment of teachers to principalships and to other leadership positions. The duties of teachers are laid out in Section 152 and apply to principals as well. The School Act Regulations 85-97 concern themselves with the Duties of Teachers and are quite specific regarding the duties of teachers assigned as principals.

The areas outlined in both the Act and the Regulations deal in broad measure with the expectations of principals. Specifically, the Board of any district expects that a principal will organize a school in such a manner that pupils derive a maximum benefit from instruction offered by competent teachers and that all segments of the population -- pupils, parents, staff are aware of the aims and objectives of a particular school and how these are to be achieved.

A district should have a philosophy of education outlining the goals of education. For Vancouver, this statement of educational philosophy is provided in the document entitled "Our Educational Goals". Within these guidelines individual schools develop a philosophy which will direct their more specific aims and objectives. The arrangement of the time, space and human resources of a school will reflect the philosophy.

Principals should be able to provide a rationale that indicates how their school philosophy is translated into action and reflected in such areas as:

1. school organization
2. instructional program
3. relationships with: a)students b)staff c)community d)officials
4. management techniques
5. school climate

The principalship is the key school-based leadership position in the district. The principal represents the system to the general public, works directly with staff and students, puts policy into action and promotes the development of a positive school atmosphere. Eight areas where the principal will need to have knowledge and to exercise leadership are listed below:

Leadership in school and community

- interprets district policy to staff and community
- provides public relation
- keeps community informed of school programs and school needs
- helps develop lines of communication

Leadership in curriculum and instruction

- coordinates staff meetings to explore curriculum offerings
- involves staff in planning
- plans instructional programs
- encourages innovation where appropriate
- develops special programs to meet curriculum needs
- develops instructional programs to meet various pupil needs
- makes long range plans

Evaluation of staff

- encourages improvement and a desire for high performance
- ensures that staff is knowledgeable about how evaluations are done
- submits written evaluations that reflect an understanding of the teaching/learning situation

Creates a positive school climate

Anticipates needs re: School finances, buildings, equipment

Leadership for professional growth

- anticipates changing needs
- resolves problems
- provides resources
- provides feedback

Evaluates instructional programs

Promotes student activities and participation

Personnel Department, Vancouver School Board  
1982 January 21

## THE PRINCIPAL

The school principal, in accordance with the provisions of the School Act and the related regulations as well as board policy, is responsible for administering and supervising the school(s) to which he or she has been assigned by the Board of School Trustees or its delegate.

The school principal is expected to provide the educational leadership and management necessary to facilitate the best possible education for each student in the school. To do this, the principal must be knowledgeable about curriculum matters, effective classroom techniques, child growth and development practices and theories, and business and personnel practices as well as communications; must have current knowledge of the School Act and Regulations, local policies and regulations, and understand the community of his or her school; must demonstrate initiative; and must possess leadership qualities, decision-making skills, and suitable credentials.

Each district superintendent and principal should ensure that the responsibilities of the principal are clearly delineated and understood. To this end, the following outline may be useful since it indicates a variety of considerations that should be taken during the development of a role description for the principal.

- (a) The principal can promote the quality of instruction by
- maintaining knowledge and awareness of the intellectual, physical, emotional, and social development of individual students;
  - helping teachers to choose suitable methods and materials for the achievement of goals;
  - initiating procedures by which new programs may be developed;
  - working with teachers to establish standards and promotion policies;
  - securing for teachers resources that will allow the enhancement of programs (e.g., library and lab facilities, co-curricular activities, programs for exceptional students, field trips, etc.);
  - developing a good school climate and maintaining high staff, student, and parent confidence and morale;
  - evaluating programs.
- (b) The principal can fulfill the leadership/management function by
- arranging and supervising all day-to-day activities of the school;
  - recommending and implementing the long-range educational

objectives of the Board of School Trustees and of the Ministry of Education;

- arranging liaison with school board personnel and with other support staff (e.g., psychologists, consultants, speech and hearing specialists);
- establishing committees and task groups to study and report on various matters;
- allocating public and other funds;
- responding to problem situations;
- evolving an organization compatible with differing teaching-learning styles;
- working directly with students.

(c) The principal can establish effective communication by

- developing and maintaining contacts with a variety of groups (see Chapter 3, The School and The Community, in this handbook);
- integrating the school with its community (e.g., work study programs, field trips, speakers, neighbourhood improvement projects, other community committees and activities);
- supplying information to and receiving information from students, teachers, parents, superintendents and school district officials, the Ministry of Education, the Board of School Trustees, other schools, post-secondary institutions, other agencies, the community, etc.;
- dealing responsively and effectively with the special concerns of individual students, parents, and teachers.

(d) The principal can establish ongoing planning procedures by

- developing with staff, philosophy, goals, objectives, policies, procedures, programs, and budgets within provincial and district guidelines;
- collecting and interpreting research data.

(e) Supervise personnel by

- conducting interviews and recommending staff appointments;
- observing, evaluating, and reporting on all staff;
- recommending promotion, transfer, termination, etc.;
- initiating and promoting staff development activities;
- organizing and delegating duties to all staff members.

(f) Administer effectively by

- developing and maintaining effective recording and reporting procedures, and ensuring confidentiality of and controlling access to records and reports;
- protecting students from contact with and/or interrogation by unauthorized persons;
- developing suitable schedules and timetables;

- planning and enforcing suitable standards of discipline;
- establishing appropriate procedures to ensure the proper functioning of the school program;
- ensuring that the building is properly maintained and improved to suit educational needs;
- developing and monitoring appropriate procedures for community use/rental of school facilities;
- providing for the safety of people in the building, on the grounds, and while being conveyed to and from school and school activities;
- developing effective procedures that control the receipt and disbursement of all funds, including accounting and auditing;
- being familiar with board policies, especially as they pertain to liability and emergency procedures.

See also the School Act, sections 93-97; Regulations 36 and 37; and Chapter 1, section E-(a) and (b) in this handbook.

While meeting these six broad areas of responsibility, the principal must work with four important groups--students, parents, staff, and the general public. The principal's working relationships with these groups are affected not only by legal authority but, more importantly, by sapietial authority--the authority of wisdom.

Source: Vancouver School Board

Appendix E: INTERVIEW JOB RELATED QUESTIONS

1. Why would you like to be principal of this school?
2. What are your concepts of leadership and management?
3. What qualities do you consider essential for an effective principal? Which of these qualities can you offer the position?
4. What is your philosophy of education? What type of atmosphere do you feel should exist in a school? How would you obtain and maintain this atmosphere?
5. What type of relationship would you establish with the staff?
6. What would you envision as a sound relationship between the principal and superintendent's office? The principal and the Board? How much interaction do you feel should take place?
7. What do you consider characteristics of "good teaching"? How would you evaluate the educational process of this school? What data would you analyze? What role would your fellow administrators, department heads and counselors play in this process? In what ways would you utilize this data?
8. What, in your opinion, is the function and importance of meetings? For what reasons should they be held? With whom should they be held?
9. In your opinion, how much time and effort should be devoted to public relations? What public relations ideas could you suggest for this school?
10. What experience have you had with budgeting? What factors would you take into consideration when formulating a budget? What factors would you take into consideration when "cutting" a budget?
11. What factors do you feel constitute a sound curriculum? What procedures would you employ to evaluate the curriculum? What criteria would you consider when adding or deleting courses?

(Rooney & Pell, 1979, p.27)



APPENDIX F. PERSONAL PREPARATION REQUIREMENTS

THE CARLETON BOARD OF EDUCATION  
Academic Personnel Assessment Form  
CANDIDATE'S LEADERSHIP EXPERIENCE

NAME \_\_\_\_\_

The candidate may complete this part of the assessment form prior to the completion of the assessment rating by his or her principal. Include leadership roles or executive offices held in school organizations, in educational organizations outside of school, and in community organizations.

NAME OF ORGANIZATION	LEADERSHIP ROLE OR EXECUTIVE OFFICE	COMMENTS

DATE \_\_\_\_\_

\_\_\_\_\_  
Signature of Candidate

(Musella, 1983, p.171)

## APPENDIX G: SELECTION CRITERIA

### I. Carleton Board Of Education

#### CRITERIA FOR CONSIDERATION

1. Establishes rapport with staff, students, parents and others.
2. Demonstrates sensitivity towards others.
3. Deals openly with others.
4. Remains calm and confident in difficult situations.
5. Demonstrates skill in resolving conflict.
6. Listens and reacts appropriately.
7. Contributes effectively in meetings, discussion groups and conferences.
8. Influences others.
9. Mediates successfully differences which arise in staff work groups.
10. Communicates in writing clearly, concisely and comprehensively.
11. Administers (plans, organizes, implements and evaluates) effectively.
12. Sets objectives that are relevant, realistic and attainable.
13. Organizes and motivates staff to produce desired results.
14. Develops good relationships with other staff members.
15. Makes timely and effective decisions.
16. Manages time relative to priorities and availability of resources.
17. Keeps up to date regarding new trends and developments.
18. Serves on school and/or system committees.
19. Participates actively in two or more professional organizations.
20. Demonstrates expertise in program development, implementation and evaluation.
21. Considered as a model teacher.

(Musella, 1983, p.173)

### II. NORTH YORK LEADERSHIP CRITERIA FOR ADMINISTRATIVE INTERNS, VICE-PRINCIPALS, PRINCIPALS

The following criteria have been established for all personnel aspiring to, or holding administrative positions within the Board of Education for the City of North York:

#### A. PERSONAL CHARACTERISTICS

- maturity and stability
- enthusiasm
- creativity
- perceptiveness
- flexibility
- industry
- sense of humour
- integrity

#### B. INTERPERSONAL SKILLS

- ability to listen and respond with empathy and sensitivity
- ability to inspire and facilitate
- willingness and ability to accept and give directions and constructive criticism

#### C. COMMUNICATION SKILLS

- clarity of expression in spoken and written word
- effective group presentation and interaction skills

#### D. MANAGEMENT SKILLS

- ability to plan, organize, direct, control, motivate and assess

#### E. PROFESSIONAL KNOWLEDGE AND GROWTH

- knowledge of curriculum development, program implementation, and assessment strategies
- knowledge of child/adolescent and staff development
- knowledge of appropriate Ministry and Board policies and guidelines
- evidence of continuing personal and professional growth
- evidence of a contribution to education within and beyond the individual's area of accountability

(Musella, 1983, p.130)

## Appendix H. Policies and Procedures: Principal Promotion

Board of Education for the City of North York

### Part III - PROMOTION PROCEDURE

#### B. VICE-PRINCIPAL TO PRINCIPAL

The promotion procedures outline the sequence of events that will be followed when a vacancy for Acting or regular Principal is identified by the Director of Education.

For the purpose of these procedures the following terms and descriptors will be in effect:

1) Selection Committee - A Committee of professional staff appointed by the Director and consisting of the following personnel:

- Assistant Director of Education (Chairperson)
- Superintendent of Schools for Region in which vacancy exists
- Assistant Superintendent of Schools for Family in which vacancy exists
- One other Supervisory Officer
- One Principal other than from the school where the vacancy exists

N.B. Both men and women will be represented on this Committee

2) School Committee - A Committee of professional and community representatives consisting of the following personnel:

- Assistant Superintendent of Schools for Family in which vacancy exists (Chairperson)
- The Principal identified for the Selection Committee
- Trustee(s) whose ward is part of the attendance area for the school in which the vacancy exists (For Jr. High and Secondary Schools Trustee representing Seperate School electors to be included)
- One from the teaching staff of the school
- One parent from the school appointed by the local Home and School Association (Where no Home and School Association exists, the parents will be identified by the principal)

N.B. 1: Both men and women will be represented on this Committee

2: Should the teachers, trustees, or parents not wish representation, this Committee will continue to be accountable in the overall process.

3) Personal File - A personally compiled file of the following information :

- a) an updated resume
- b) any two of
  - i) Administrator/Perceiver Profile
  - ii) Mentor Report
  - iii) Colleague Report
  - iv) Personal Career Objectives and Self-Assessment "in situ" Observation Report from a supordinate other than the candidate's current Principal or Supervisory Officer.

4) Recommendation File - A file compiled by the Superintendent of Personnel Services consisting of the following information:

- a) copies of the Teacher evaluation Form placed on file for the applicant during the past five years
- b) recommendation report from current supraordinate
- c) recommendation report from current Assistant Superintendent (in the case of out-of-school personnel, it is understood that the individuals reporting in b) and c) may be the same)

## PART II - PROMOTION PROCEDURE

### B. VICE-PRINCIPAL TO PRINCIPAL

STEP 1   DIRECTOR   a) declares the school for which a vacancy exists for the position of Principal  
b) initiates the formation of a Selection Committee  
c) initiates the formation of a School Committee

STEP 2   SUPERINTENDENT   a) informs the qualifies Vice-Principals of the vacancy declared by the Director  
OF PERSONNEL   b) informs the system of the vacancy declared by the Director  
SERVICES

SCHOOL   a) develops a statement of particular qualities required by a prospective Principal for their school  
COMMITTEE   b) develops a statement of the particular

- characteristics of their school
- c) forwards a copy of the statements developed in a) and b) to the Selection committee

STEP 3    QUALIFIED VICE-PRINCIPALS INTERESTED IN MAKING AN APPLICATION    Communicate in writing to the Superintendent of Personnel Services:

a) an indication of their interest in the vacancy  
b) a "Personal File"

STEP 4    SUPERINTENDENT OF PERSONNEL SERVICES    Forwards to the Selection Committee:

a) the name of each qualified Vice-Principal who has made application  
b) A Personal File for each of the interested Vice-Principals  
c) a Recommendation File for each of the interested Vice-Principals

STEP 5    SELECTION COMMITTEE    a) compares the information from the Personal and Recommendation files with the North York Leadership Criteria and the Statements of Need from the School Committee

b) evaluates the information

c) identifies up to six Vice-Principals who in the Selection Committee's opinion compare most favourably with the North York Leadership Criteria and the Statements from the School Committee

d) forwards to the School Committee the names of the Vice-Principals identified in c) along with a copy of each Vice-Principal's Personal File

STEP 6    SCHOOL COMMITTEE    a) interviews each of the Vice-Principals identified in Step 5

b) prepares a report on each of the identified Vice-Principals outlining his/her suitability for the position of

Principal

- c) forwards the report for each Vice-Principal to the Selection Committee

STEP 7 SELECTION COMMITTEE

- a) considers for each of the identified Vice-Principals:
  - i) the School Committee's Suitability Report
  - ii) the Personal File
  - iii) The Recommendation File
- b) evaluates the information against North York Leadership Criteria and the Statements from the School Committee
- c) lists in order of suitability the names of the identified Vice-Principals
- d) forwards the list of names to the Director along with all available information

STEP 8 DIRECTOR

- a) in consultation with Staff Management Committee selects one name from the list presented by the Selection Committee
- b) recommends name of his selection to the Board

NOTE: CAREER COUNSELLING

After Step 5, all unsuccessful applicants will be informed in writing by the Superintendent of Personnel Services of the opportunity for career counselling by their respective Assistant Superintendents.

After Step 8, the remaining unsuccessful applicants will be contacted personally by the Chairperson of the Selection Committee and offered the opportunity for career counselling.

(Musella, 1983, p.137)