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Elizabeth Katherine Persson

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**A FACULTY SUPERVISOR TRAINING PROGRAM
TO ASSESS FACULTY PERFORMANCE:
A COMMUNITY COLLEGE CASE STUDY**

Committee:

John E. Roueche, Supervisor

Norvell Northcutt

Jay Scribner

Donald G. Phelps

Ray Marshall

Marilla D. Svinicki

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A COMMUNITY COLLEGE CASE STUDY**

by

Elizabeth Katherine Persson, B.S., M.S.

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This dissertation is dedicated to the three people who influenced me above all others: my loving parents, Esther Ruth Bajza and Charles Carl Bajza, who were great role models in every possible way, and my life-long partner and greatest supporter, Andrew Christopher Persson.

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Supervisor: John E. Roueche

Many faculty in higher education simply do not value their supervisor's assessment of their performance. The reasons are many-fold; among them is a lack of confidence in the supervisor's ability to assess performance. While policymakers require institutions to conduct faculty performance evaluations and external stakeholders believe that the institution should be held accountable for student learning, there is often a disconnect between faculty performance and student benefit. Both faculty and faculty supervisors believe the primary outcome of faculty evaluations should be student benefit.

Therefore, this qualitative case study was designed to create a model by which to base a faculty supervisor training program to assess and improve faculty performance. The study design addresses the (a) developmental process of creating a faculty supervisor training program, (b) organizational culture, and (c) participants perspective. This community college study was participant driven through the use of

an Interactive Qualitative Analysis methodology with separate faculty and faculty supervisor focus groups. By describing their experiences with getting and giving evaluations, clustering their descriptors into affinity groups, and determining how they relate to one another, a model of each group's experiences was created. Each group had eight affinities, four of which were in common. Both noted student benefit as the primary outcome of faculty evaluations. However, faculty said their main experience drivers were consistency/inconsistency and evaluator competence. Supervisors said their main experience driver was communication. This information formed the basis for developing a training program that shifted from a multi-college district perspective to an individual college. Training was offered on portfolio assessment, role playing/coaching skills, interpretation of assessment instrument rating scale and components, and legal aspects for documenting performance issues around faculty members with disabilities.

The study 1) provides solid research on a topic for which there is little published information, 2) develops a model for faculty supervisor training programs, 3) builds grounded theory on the topic, and 4) offers a framework through which faculty and faculty supervisors can focus on student learning through assessing faculty performance and continually improving performance.

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CHAPTER ONE INTRODUCTION TO THE STUDY

“Performance appraisals are the Olympics of management. This is not day-to-day stuff. Very few people ever get to do it; fewer still do it well. Training is critical.” Grote, 2000b, p.8

As long as there has been work, there has been the evaluation of one’s work. Evaluating teaching effectiveness is no exception albeit the claim that teaching is an art evoking emotions and, therefore, cannot be systematically appraised (Hight, 1959).

Most educational researchers and practitioners agree that teaching is as much a science as an art and consequentially can be taught and improved upon. Many research studies on teaching have identified common characteristics of good teaching and qualities of a good teacher. Not surprisingly, most of these characteristics and qualities center on what teachers do most – lecture.

Within the past decade higher education has been challenged to undergo significant reform as the learning revolution gains momentum. As noted by many educational researchers, this paradigm shift is the result of: technological innovations making learning any time, any place, any where possible; new scientific knowledge on learning theories; competition by private for-profit education vendors; rising costs of higher education; and the public’s call for greater accountability of higher education. As this whirlwind of change engulfs higher educational institutions, the call for improving student learning is centering on faculty assessment of performance

and how to improve performance (Carter & Alfred, 1998; Ewell, 1994; O'Banion, 1997; Roueche, Johnson, & Roueche, 1997).

Even though many universities value research over teaching and service, teaching is “the most universally acclaimed mission for all levels of higher education” (O'Banion, 1997, p. 9). Therefore, all institutions of higher education have faculty evaluation systems that try to assess teaching effectiveness. More often than not, this is inherently difficult given: the “definitions of teaching effectiveness are often so broadly stated that they are extremely difficult to apply in evaluation” (Centra, 1993, p. 42) and the evaluators are not trained to recognize and assess teaching effectiveness, let alone coach the faculty member to improve.

OVERVIEW OF THE STUDY

This qualitative case study is an account of faculty supervisor training needs for conducting faculty assessments in a community college system from the perspectives of the administrative faculty supervisors and the faculty they assess. The study consists of three phases of inquiry. The first phase identifies faculty assessment training needs from the perspectives of both the supervisors conducting the assessments and the faculty receiving them. The second phase of the study provides specific training based on the needs identified in phase one. The final phase of the study explores the effectiveness of the training program from the perspective of the supervisors who participated in the first two phases.

This study identifies the societal and organizational factors relating to conducting faculty evaluations. These are grounded in theory (Strauss & Corbin, 1990, p. 22) as encompassed by social, legal, economic, educational, political, and ethical factors known as the SLEEPE Principle (William Moore, Ph.D, personal correspondence). The study findings will contribute to building theory on how administrator training in conducting faculty evaluations can improve faculty performance.

The framework for this study is presented in this chapter as the following sections: (a) fundamentals of performance evaluation from a social, economic, and political context, (b) historical context as related to the higher education accountability movement, (c) learning revolution, (d) current state of faculty evaluation with regard to purpose, components, and effectiveness, (e) current state of supervisor training for conducting evaluations, (f) need for the study, (g) focus of the study, (h) purpose of the study, (i) research questions, (j) definition of terms, (k) overview of methodology, (l) significance of study, (m) assumptions, and (n) limitations of study.

FUNDAMENTALS OF PERFORMANCE EVALUATION FROM A SOCIAL, ECONOMIC, AND POLITICAL CONTEXT

A long held belief in organizational management is that evaluation improves performance (Duffy, 1998). In the competitive global marketplace of today, government and business leaders are intent on improving performance to ensure America's top position in a global economy. As Toffler (1980) described in *Third*

Wave the future for economic and political success is a knowledge-based society. Therefore, producing an educated workforce remains at the top of the national agenda regardless of which political party is in office. Since most public schools do not produce graduates with the knowledge and skills needed to meet the demands of a technologically sophisticated workforce (Marshall and Tucker; 1992), expectations are that higher education will. Ultimately, it is the faculty who will prepare students for success in the global market.

The literature indicates that many faculty in higher education simply do not value their supervisor's assessment of their performance. The reasons are many-fold. Some of the major ones cited are: faculty do not believe that the criterion used to evaluate them are valid; some are apathetic stating that the results of the assessment do not impact them since they are neither rewarded nor held accountable for any findings; some do not philosophically believe that they should be further assessed having survived multiple evaluations in order to earn advanced degrees; and some are skeptical of the abilities of their appraisers, knowing that their appraisers have never been trained or given in-depth knowledge on how to assess performance (Andrews, 1997; Arreola, 2000; Boyd, 1989; Hubbart, 1992, 1995; Licata & Morreale, 1997; Mark, 1982).

HISTORICAL CONTEXT OF FACULTY EVALUATION AS RELATED TO THE HIGHER EDUCATION ACCOUNTABILITY MOVEMENT

Evaluation of faculty is here to stay. Both regional accrediting agencies and state mandates require all public institutions of higher education to regularly assess

faculty performance. Criteria for institutional accreditation include must statements regarding faculty evaluation. For example, as noted in the Southern Association of Colleges and Schools Criteria for Accreditation: “An institution must conduct periodic evaluations of the performance of individual faculty members. The evaluation must include a statement of the criteria against which the performance of each faculty member will be measured. The criteria must be consistent with the purpose and goals of the institution and be made known to all concerned. The institution must demonstrate that it uses the results of this evaluation for improvement of the faculty and its educational program” (Faculty: Criteria and Procedures for Evaluation, p. 51).

The public’s call for educational institutions to demonstrate greater accountability is reflected in many state legislative mandates including those that require periodic review of faculty. As Licata (1999) states: “Everyone thinks higher education ought to be more accountable these days. Elected officials, taxpayers, and the tuition-paying public are sending an unequivocal message to college and university officials: Start measuring the performance of your institution – and especially the performance of your employees, ...” (p. 8). Further evidence of this sentiment is reflected in Texas Senate Bill 149, implemented in January 1998. SB 149 “requires that state-supported university faculty be evaluated, remediated, and terminated if necessary” (Campion, Mason, & Erdman, 2000, p.170). This type of legislation is becoming increasingly more commonplace.

Evolution of Faculty Training for and Evaluation of Teaching

“Evaluation of faculty, both formal and informal, parallels the history of the teaching profession. The universities of medieval Europe probably had the most direct and certainly the most effective form of faculty evaluation. Students paid their instructors directly (Centra, 199[3]). Thus, instructors who failed to satisfy their students got the message or starved” Campion, Mason, & Erdman, 2000, p. 169.

Successful teachers were not only well fed, but were sought after for apprenticeships by those aspiring to make their living in the same profession. Therefore, faculty training and development were personal and labor intensive. Apprenticeships afforded direct and prolonged observation by supervisors. Evaluating performance was a simple matter. The evolution of teacher training and evaluation in American higher education changed drastically with the industrialization model, academic specializations, an emphasis on content rather than on teaching methodologies, and a shift in the mission of major universities and colleges to value research over teaching (Soder, 1996). Higher education still values the apprenticeship model, but almost exclusively for research rather than for teaching. Today, the apprenticeship model for teaching exists in the form of student teaching for public schools, but is rarely found in higher education. On the other hand, internships and post-doctoral fellowships in research are expectations for most pursuing academic careers at major universities.

When the first American colleges were established over 300 years ago, their primary role was to provide a liberal education. This primary mission was expanded during the “post-World War II [era with the] popularization of schooling” (Cremin, 1989, p. 14). Cremin writes that the 1948 report *Higher Education for American Democracy*, produced for President Harry S. Truman’s Commission on Higher Education, called for American colleges and universities to expand their mission beyond “turning out intellectual elite[s]” (p. 15). Community junior colleges would take on the lion’s share of providing a mix of general education with semiprofessional education. During the following decades enrollments skyrocketed, programs and curricula expanded, and educational standards changed under state and local control (Cremin, p. 17). However, during the late 1970s the economy stalled. As an era of Reaganomics ushered in, federal spending for higher education was reduced, the number of college applicants declined, and many institutions were forced to raise tuitions and cut programming or close their doors. During this same timeframe, government and business leaders focused their political agendas on education. (Roueche, Johnson, & Roueche, 1997; Seldin, 1984.)

In 1983, *A Nation at Risk* was published. While this report centered on the inadequacies of public education in the United States, it opened the door for critical review of the effectiveness of higher education. A decade later *An American Imperative: Higher Expectations for Higher Education* was published (Wingspread Group on Higher Education, 1993). While this address confirmed that the American

public still had a “profound respect for higher education” (p. 6) and considered it an essential resource for our future as a nation, public concern over fiscal accountability escalated with tuition costs. Concerns were further heightened as reports on student achievement were either lacking or dismal. The accountability movement now focused on both public education and higher education.

The dominant academic attitude, particularly on large campuses enrolling most American students, is that research deserves pride of place over teaching and public service, in part because many senior faculty prefer specialized research to teaching, and in part because institutions derive much of their prestige from faculty research. Indeed, the ideal model in the minds of faculty members on campuses of all kinds is defined by what they perceive to be the culture and aspirations of flagship research universities (An American Imperative: Higher Expectations for Higher Education, p. 6).

With the development of graduate school curriculums emphasizing content and research over teaching methodologies, it is no wonder that higher education professors, as the product of graduate schools, have been criticized for lacking the knowledge and skills for effective teaching. As stated by Milton and Shoben (1968, p. xvii): “college teaching is probably the only profession in the world for which no specific training is required. The profession of scholarship is rich in prerequisites for entry, but not that of instruction.” Still, the accountability movement has clearly focused higher education on teaching effectiveness as measured by student learning. Higher education institutions also hold faculty accountable for additional responsibilities. Depending on the mission of the institution, these include institutional service, fund raising, community service, professional development, and scholarly research and publication. Therefore, both external and internal forces drive

faculty evaluation policies. The most notable external forces are state legislatures, accrediting agencies, and governing boards. The internal forces are derived from within the institution in response to carrying out their institutional and departmental mission. (Licata & Morreale, 1997, p. 7.)

THE LEARNING REVOLUTION

Several leading educational researchers credit the 1993 publication *An American Imperative: Higher Expectations for Higher Education* as starting a significant reform in higher education towards a more student-centered philosophy. (O'Banion, 1997; Roueche, Johnson, & Roueche, 1997) The Wingspread Group on Higher Education called for reform in undergraduate education by concentrating on “three fundamental issues common to all 3,400 colleges and universities:

- Taking values seriously:
- Putting student learning first:
- Creating a nation of learners” (*An American Imperative*, p. 7).

Putting learning at the heart of the academic enterprise will mean overhauling the conceptual, procedural, curricular, and other architecture of postsecondary education on most campuses. [...] institutions are responsible for evaluating and responding to the learning needs of students. It [academic life] will be more supportive because it will be focused on what students need in order to succeed. It will be far more demanding because it will be aimed at producing graduates who demonstrate much higher levels of knowledge and skills. [...] There is a growing body of knowledge about learning and the implications of that knowledge for teaching. What is known, however, is rarely applied by individual teachers, much less in concert by entire faculties. We know that teaching is more than lecturing. We know that active engagement in learning is more productive than passive listening. We know that experiential learning can be even more so. We know we should evaluate institutional performance

against student outcomes. We know all of this, but appear unable to act on it. (An American Imperative, p. 14.)

CURRENT STATE OF FACULTY EVALUATION: PURPOSE, COMPONENTS AND EFFECTIVENESS

Most faculty assessments today are purposeful and complex involving many components. Unfortunately, their effectiveness is questionable.

Purpose

As stated by Neal, (1988) and “[a]s emphasized by Seldin, (1984), the cornerstone of any evaluation must be its purpose. The purpose of the evaluation shapes the questions asked, the sources of data utilized, the depth of analysis, and the dissemination of findings” (p. 1). It should also shape training programs for faculty supervisors on how to conduct effective evaluations.

Basically there are two purposes for faculty evaluation: formative and summative. Rifkin (1995) notes that formative evaluations focus on providing feedback to faculty on how to improve performance. “... [R]esults are used to support faculty development, growth, and self-improvement” (p.1). Summative evaluations are used by the institution for making “personnel decisions on tenure, promotion, reappointment, and salary” (p.1).

While the debate continues on whether or not both purposes should be combined in faculty performance reviews, the practice has been and still is to combine them. According to Rifkin (p. 1):

The inability to devise faculty evaluation programs that separate formative and summative purposes has fueled the argument that

supports the incorporation of both purposes into the evaluation process. Results of research on post-tenure faculty evaluation in community colleges in the north central US conducted by Licata and Andrews (1990, 1991, 1992) has provided support to this side of the debate. The majority of community college faculty and administrators surveyed identified faculty development as the primary purpose, with the provision information on promotion, retention, dismissal, and normal salary increments as a secondary purpose. Licata and Andrews assert 'that institutions find a way to join both formative and summative results into the faculty evaluation plan' (1992, p. 55).

While most in academia refer to the purpose of faculty evaluations in formative and summative terms, this underestimates the potential of evaluations to bring about culture change. In order to become student-centered learning communities, culture change is needed in the majority of institutions.

Components

Today, most faculty assessments are multi-faceted, requiring combinations of sources for performance evaluation. These include supervisor evaluation, peer evaluation, student evaluation, and self-evaluation; some institutions use portfolios (Arreola, 2000; Campion, 2000; Licata, & Morreale, 1999; Seldin, 1984). In fact, the major body of research on faculty evaluations has concentrated on the use of these various components and their validity and objectivity. Campion, Mason, and Erdman (2000) reported that there were nearly 2,000 published studies on just the use of student evaluations of faculty. Aleamoni, (October 2001 Workshop on Faculty Assessment held in St. Louis) reported that over 8000 studies have focused on student evaluations of faculty.

Effectiveness

“While performance appraisal can be the most powerful tool that managers have for improving productivity, it is also capable of stirring strong feelings and conflict in the workplace. Because of this potential, a company’s appraisal system is often allowed to function ineffectively” (Baker, 1988, p. 7). And so it is for businesses and institutions of higher education.

In spite of state and accrediting agency mandates, most institutions admit that the effectiveness of their faculty assessment is questionable at best and unknown at least (Andrews and Licata, 1991; Licata and Morreale, 1997). While information is sorely lacking on effective faculty evaluation models, characteristics of good models have been identified as well as obstacles to establishing successful appraisal programs (Campion, 2000; Centra, 1993; Andrews and Licata, 1991; Rifkin, 1995). Below is the researcher’s list of characteristics of good models and obstacles to establishing successful systems as noted by many educational researchers.

Characteristics of good models include ones that:

- Have a clarity of purpose
- Are developmental in nature to “help advance individual growth and promote the missions of the institution and local unit” (Licata & Morreale, 1997, p. 5)
- Ensure good discussion of outcomes throughout the process
- Ensure involvement of both faculty and administrators in the design process and procedures
- Incorporate consequences so as to not undermine faculty development

- Provide appraiser training
- Use multi sources of input (from students, peers, self, and supervisor)
- Are individualized as possible
- Reflect the needs and goals of the faculty member as well as the department, institution and community in which faculty operate (Mark, 1982)
- Are “perceived by the faculty as being a valuable resource or tool in assisting them to solve problems or achieve goals that both they and the administration consider to be important” (Arreola, 2000, xxi)
- Ensure extensive training and preparation by the supervisor

Obstacles to establishing successful evaluation programs are:

- Administrator apathy
- Faculty resistance
- Untrained appraisers who lack the knowledge and skill to conduct effective evaluations
- Failure to define purpose, performance goals, or standards of the evaluation
- Unwillingness of participants to discussing weaknesses if evaluation is summative
- Failure to provide information to faculty for understanding how to change
- Uneven implementation

CURRENT STATE OF SUPERVISOR TRAINING FOR CONDUCTING EFFECTIVE FACULTY EVALUATIONS

Publications on training programs for faculty supervisors on how to conduct an effective faculty evaluation appear to be nonexistent. Instead, supervisors are

more commonly apprised on the legalities of Equal Employment Opportunity laws, evaluation procedures and timelines, and how to fill out the required paperwork. At best, training may be expanded to judge faculty according to prescribed criteria for a summative review.

Many leading researchers in this field recognize that supervisor training is an essential component for establishing an effective evaluation system. However, little has been published on respective models. One reason may be the diminished role of the faculty supervisor as the primary evaluator of faculty work at many four-year colleges and universities practicing a tenure system. Often, faculty assessment of performance is based on information from a variety of sources such as peers, students, and external evaluators. Their collective assessment may be given an equal or even higher value than the faculty supervisor's. Therefore, training and research on supervisor training for conducting faculty assessments may be viewed as unimportant, even though this may not be the case in many other institutions of higher education.

Performance appraisal requires a multitude of skills-behavioral observation and discrimination, goal-setting, developing people, confronting unacceptable performance, persuading, problem-solving, and planning. Unless appraiser training is universal and comprehensive, the [appraisal] program will not produce much. [...] Rarely are appraisers taught exactly how to help a subordinate set measurable stretch goals. Rarely are they given the tools to validly assess performance in non-quantitative domains. Rarely are they told how to transform the dreaded appraisal interview into an effective motivational device (Grote, 1998, p. 1).

Arreola (1983) points out that one of the major reasons faculty evaluation and development programs fail is faculty resistance. One of the contributors to faculty resistance is the “suspicion that they will be evaluated by unqualified people” (p. 86). Another reason is the perception held by many faculty and administrators (usually former faculty) that highly educated and independent faculty have the intelligence to self-assess and improve. They should be left to their own devices to figure out what and how to improve.

Often it is said that the plumber is the last to fix the leak in his own pipe. Since teaching is the business of higher education, it is ironic that we have not developed and published effective supervisor training models on how to assess and improve faculty performance. This study provides a forerunner case study that may be extended to offer such.

NEED FOR STUDY

No clear faculty evaluation theory has been developed yet (Rifkin, 1995, p. 1), and “there is no generally applicable theory of evaluation of teaching” Centra (1993a, p.178). Very little has been published on training programs that teach supervisors how to conduct evaluations, especially in higher education. Almost all of the literature in higher education, regarding faculty assessment, focuses on the actual assessment instrument and the validity of its components. Similarly, publications in the for-profit business sector also yield a paucity of information regarding supervisor evaluation training. Grote (2000b) noted that most successful businesses are not publishing company training techniques and programs since they are viewed as trade

secretes that help maintain a competitive edge. Recently however, several public sector organizations have revealed their assessment systems involving design and training components that are being touted as best practices by Grote (2000a).

As written by Licata and Morreale (1997, pp. 5-14) and stated by Rifkin (1995, p. 3), “there is a need for research to further address the development of responsible and effective faculty evaluation systems that consider enhancing the growth of the faculty member as an individual.” Once a model system is developed and described, it can be used as a benchmark for other institutions. An effective faculty evaluation system linked to professional development has great potential to aid in transforming institutional cultures to learning communities. Since no model has been described in the literature, there is need for rich case studies.

FOCUS OF STUDY

The specific aim of this study is to identify training needs for conducting faculty evaluations, to provide training for these needs, and to assess the effectiveness of the training provided to faculty supervisors of the North Harris Montgomery Community College District (NHMCCD), specifically, Kingwood College.

NHMCCD

NHMCCD is the fourth largest community college system in Texas. It is an urban-suburban district sprawling over 1400 square miles encompassing eleven Independent School Districts in and around the northern part of Harris County and adjacent counties. It is considered part of the Greater Houston Area. The district is

composed of four separate colleges (with a fifth one opening in 2003), multiple outreach centers, a district office, and a University Center. During the past decade the district experienced phenomenal growth with enrollment increases of 68 percent. Currently NHMCCD employs 359 full-time teaching faculty supervised by 26 instructional associate deans.

NHMCCD is considered a stellar district by several accounts. During the past decade it received many commendations from the Texas Higher Education Coordinating Board (THECB) for having an innovative curriculum review process and many exemplary programs. In April 2001, the District completed its ten year review for accreditation by the Southern Association for Colleges and Universities. The findings reported five recommendations and four commendations. In May 2001, NHMCCD Chancellor Pickelman received the International Leadership Award from the National Institute for Staff and Organizational Development (NISOD).

The Chancellor and the Board of Trustees enjoy an excellent working relationship that serves the college district and community well. In fact, over the last six years two separate bonds, one totaling more than \$90 million and the other totaling over \$187 million, were approved by the voting taxpayers of the college district.

Kingwood College

In 1984 Kingwood College opened as the second college in the district. It is located on 254 acres one half mile west of Interstate 59 (designated to become

NAFTA Interstate 69). The college is north the Houston Bush Intercontinental Airport. The service area includes the planned community of Kingwood with 60,000 residents and rural/suburban sections north and south of I-59. Student enrollment growth was slow but steady until 1999. Then, the enrollment pattern changed; four thousand students enrolled in the fall 1999, 5000 in the fall 2001, and 6000 students are anticipated to enroll in the fall 2002. The largest enrollment increases have been in the online courses and in concurrent credit with area high schools.

Kingwood College is a comprehensive college offering academic transfer courses and workforce programs culminating in certificates and degrees through both continuing education and credit. The 1996 THECB site visit resulted in the designation of four exemplary programs. The Computer Graphic Arts program was recognized for a second time as exemplary during the latest THECB visit in 2001. Recent highlights about the college include: winning a National Council of Instructional Administrators award, receiving a National Science Foundation grant, creating and sponsoring the North Houston Astronomy Club, serving as the community's center for performing arts, piloting and instituting a successful developmental studies curriculum program, starting an international business program (whereby students market and sell a virtual product worldwide), and developing one of the first public school teacher certification programs in the state.

Kingwood College employs 65 full time faculty supervised by four divisional associate deans. During the past six years the researcher served as the academic vice

president and chaired each of the associate dean search committees, composed mostly of faculty. Each position was competitively advertised, an inclusive screening and interviewing process was followed, and the candidates' chosen were both the committee members' and the vice president's (researcher's) choice.

Three of the associate deans are female; two have been in their positions for almost four years. The other female associate dean was hired for the position in the fall 2001, previously having been full time faculty at the college for about eight years. The male associate dean had been in his position for two and a half years before leaving the district in January 2002 to accept a directorship position with an area private university. An interim associate dean (male, full time faculty member with prior supervisor experience) agreed to manage the division during the spring and summer 2002 semesters. This interim associate dean served in this same capacity for one year prior to the supervisor who left. However, he had not applied for the permanent position at that time.

Division Head Position Transition to Associate Dean

In 1995 the job description for first line faculty supervisors changed radically from Division Heads, who still spent a considerable time in the classroom, to full administrative Associate Deans. Previously, when faculty sought a position as Division Head, their motives were often to get a sample experience of an administrative position having been guaranteed reentry to the full-time faculty ranks if the experience was not mutually satisfying to both the Division Head and the upper

administration. While the Associate Dean positions grandfather any former faculty member the ability to return to full time faculty, hires or promotions since 1995 have not extended that offer. While Division Heads were considered mostly multi-department managers, Associate Deans are considered area instructional leaders who actively plan for future initiatives while managing the day-to-day division activities. Their counterparts at many institutions are Deans.

Revised Full-Time Faculty Job Description and Workload Guidelines

In 1996 the Chancellor commissioned a district wide taskforce to create a more appropriate job description with workload guidelines for all full-time teaching faculty. The taskforce was charged with revamping the job description to detail expectations for teaching, institutional/community service, and professional/personal development as well as to appropriate a percentage of time each instructor should allocate for each of these three areas in comparison to the established 35-hour workweek. The taskforce included the percent of time expected as the norm for each of these three job areas as follows:

- 70 percent of the faculty's 35 hour work week should be spent in direct contact with students. This was called teaching facilitation and made up 24.5 hours of a 35 hour work week. A table was created to demonstrate that classroom teaching could range from 15 to 22 hours per week depending on the teaching discipline. A total of 24.5 hours per week was expected to be spent in direct contact with students, which could occur in the classroom, lab, tutoring center, and other student-contact activities.

- 20 percent of the faculty's 35-hour workweek should be spent performing institutional and/or community service.
- 10 percent of the faculty's 35-hour workweek should be spent on their own professional development.

Equity was the major value for the taskforce members in trying to align workloads of faculty teaching academic courses with those teaching in specialized technical programs, including those with clock hour requirements. The new job description and workload guidelines became policy and were implemented at the start of the fall 1998.

Chancellor's Charge to Create a Comprehensive Faculty Evaluation System

In the fall 1998 the Chancellor called on the four college presidents to designate faculty and administrators to serve as taskforce members to recommend revisions to the current faculty evaluation system. The charge was to offer recommendations that would take into account the new faculty job description and workload. No fixed deadlines were established, but it was hoped that a new system would be in place by spring 2000.

The taskforce was comprised of fourteen members, ten of whom were faculty. The taskforce met from fall 1998 until fall 2000 and submitted its final report November 2000. The Chancellor designated the Executive Vice Chancellor to oversee the process in presenting the final edited report to the Executive Council made up of district vice chancellors and college presidents. The final edit and

recommendations were presented to and approved by the Executive Council September 2001.

District Wide Reorganization

In February 2001, three months after the study began, the Chancellor announced a district wide reorganization to be implemented over the summer 2002. The most critical element of the reorganization that impacted this study was the elimination of the 26 instructional associate dean positions – the primary participants of the study. The reorganization plan called for creating fewer instructional leadership positions as deans. Not only would the dean title carry greater prestige than the associate dean (both report to the academic vice president), it emphasizes leadership over management responsibilities. A divisional operations manager position is being created for each dean to help alleviate the burden of running day-to-day operations, therefore, creating more time for the deans to concentrate on program and faculty development as well as student success. The reorganization of the divisions under fewer deans also called for creating department chair positions.

The Chancellor and college presidents assured all administrators and staff affected by this reorganization that they would remain employed by the district – albeit in different positions and roles. The Chancellor met privately with the associate deans on February 20 to personally tell them about the reorganization. The associate deans were informed that a national search would be conducted for the fewer dean positions and they were welcomed to apply. The Chancellor stressed that

while the number of dean positions would be fewer than the number of current associate dean positions, it was up to each college to determine the number of deans, the composition of each division, and the selection process. He indicated that any associate dean not wishing to apply or not chosen for a dean position would become full time faculty in the fall 2002. This information was presented to faculty the next day at the district wide conference day.

As a consequence of the reorganization timeframe and shifting priorities, the scope of this study shifted from a broad district perspective to a local Kingwood College initiative.

PURPOSE

The purpose of this study was to provide a basis for making faculty evaluations more meaningful to both faculty and the supervisors of faculty by (1) identifying training needs (knowledge and skills) for faculty supervisors, (2) providing training for those needs, and (3) assessing if the training provided adequately met the needs identified. The study examined how faculty supervisors and faculty view their experiences with faculty assessment as a basis for determining needs (that extend beyond supervisor training on how to assess and improve faculty performance) to be addressed for making faculty evaluations more meaningful. Also, the culture of the district and an individual college was examined to determine influences that promoted or hampered implementation of a faculty supervisor training program.

RESEARCH QUESTIONS

The research questions that guide this study were:

1. How is a faculty supervisor training program for assessment of faculty performance developed and implemented in a community college district in general and at Kingwood College in specific?
 - A. How was NHMCCD/Kingwood College's supervisor training program designed?
 - B. What steps and processes were used to implement and manage the training program?

2. How does the organizational culture(s) of a community college facilitate or impede development and implementation of a faculty supervisor training program on the assessment of faculty performance?
 - A. What are the shared values, beliefs, or assumptions characterizing the culture of NHMCCD and Kingwood College that relate to the supervisor training program?
 - B. What cultural barriers and support factors exist within the organization for the training program?
 - C. Do subcultural differences in values, beliefs, or assumptions exist among the different groups within the district or college? If so, how do they differ?

3. What do community college faculty supervisors perceive to be: (a) significant factors contributing to the success or failure in the development of a supervisor training program on the assessment of faculty performance; (b) the outcomes of the initial implementation of the supervisor training program on the assessment of faculty performance; and (c) the long-term outcomes for the college?

DEFINITION OF TERMS

Throughout the study several key words and phrases are used. The definitions below are offered for intent of the study.

1. Associate Deans (ADs) are faculty supervisors in the college district of this study.
2. Assess, evaluate and appraise are used as synonyms. To assess is to evaluate, to estimate or determine the significance, importance or value of. To evaluate is to judge or determine the worth or quality of (*Webster's New World Dictionary*).
3. Faculty development is the “preferred umbrella term encompassing systematic efforts to increase the effectiveness of faculty in all their professional roles and has evolved over time to include instructional improvement, organizational development and personal development” (Lewis, 1998, p. 721).
4. Performance review refers to the systematic evaluation of faculty performance. A comprehensive review utilizes a multifaceted approach in gathering information to determine faculty performance. Most often, a comprehensive review involves student feedback, peer feedback, self-evaluation, and supervisor evaluation.

OVERVIEW OF RESEARCH METHODOLOGY

This was a qualitative case study. In order to build theory about how to make faculty evaluations more meaningful by training supervisors on how to conduct effective evaluations, an inductive methodology in the grounded theory tradition was used. Multiple sources of qualitative data were used in the analysis, which included faculty and supervisor focus groups, questionnaires from various training sessions, and a follow-up focus group interview. An Interactive Qualitative Analysis method

provided the primary means to gather and analyze data through participant focus groups. Participant observations occurred over the course of this one-year project.

The methodology involved the following steps:

1. Phase one of the study included data collection through:
 - A. Convening two separate focus groups. Group one consisted of faculty supervisors. Group two consisted of faculty volunteered by their supervisors in group one.
 - B. Asking each group to describe and define their experiences with faculty evaluations. Prior to asking this question, an overview of the issues surrounding faculty evaluations and how to assess faculty performance and help improve it were provided as a framework. Then, faculty were asked to recall their experiences of being evaluated. Faculty supervisors were asked to recall their experiences of evaluating faculty. Information was gathered through inductive emergent coding (brainstorming activities).
 - C. Creating an affinity diagram through deductive axial coding by asking the participants to identify the affinities and subaffinities. The participants also determine the relationships between affinities. These relationships helped to target specific concerns and training needs.
 - D. Asking the focus groups to identify individuals within the organization who can provide internal expertise for training on any of the affinities.

This process occurred in November 2001.

2. Phase two of the study involved further identification of trainers to address the issues described as affinities in phase one. Faculty supervisors provided immediate feedback via a survey as to the perceived effectiveness of each trainer to meet the training need identified. Group one (faculty supervisors) evaluated many participants from group two (faculty) during the April – May 2002 timeframe.
3. Phase three of the study involved convening some participants from group one (faculty supervisors from Kingwood College) as a focus group and asking them to reflect on the effectiveness of the training provided.
4. Compare the data produced in the first phase of the study (anticipated training needs) with the data produced in the third phase of the study. Also review documents from external and internal observers for emerging themes regarding the organization's culture.
5. Analyze the comparative data for congruencies and non-congruencies.
6. Reflect on a grounded theory based model.

SIGNIFICANCE OF STUDY

This study has three levels of significance. First, little has been published on effective training models for conducting evaluations in general. What has been published does not detail the process or procedures used to establish training programs, let alone address whether or not the training is effective. At the most, publications note processes and procedures used in formulating appraisals, not in

establishing training programs for the evaluators. Therefore, research is needed to provide information to this field of study.

On another level, research publications on the use and effectiveness of training models for conducting evaluations of faculty by their supervisors is scanty. While few studies are evident in public education, they appear to be non-existent for higher education. Since all of higher education is under the assessment-as-accountability movement, research in this field is greatly needed.

Third, at a local level, NHMCCD has not focused on training faculty supervisors how to conduct faculty evaluations, and since the college-district is transitioning to a new faculty evaluation system, any training for faculty supervisors on how to conduct effective evaluations would be useful.

ASSUMPTIONS OF THE STUDY

Since “a qualitative inquiry strategy emphasizes and builds on several interconnected themes,” a listing of the themes, along with a brief description, is provided below as taken from Patton (1990, pp. 39-41) and as noted by Miles (1997, pp. 24-25).

Naturalistic inquiry: Studying real-world situations as they unfold naturally; non-manipulative, unobtrusive, and non-controlling; openness to whatever emerges – lack of predetermined constraints on outcomes

Inductive analysis: Immersion in the details and specifics of the data to discover important categories, dimensions, and interrelationships; begin by exploring genuinely open questions rather than testing theoretically derived (deductive) hypotheses

Holistic perspective: The whole phenomenon under study is understood as a complex system that is more than the sum of its parts;

focus on complex interdependencies not meaningfully reduced to a few discrete variables and linear, cause-effect relationships

Qualitative data: Detailed, thick description; inquiry in depth; direct quotations capturing people's personal perspectives and experiences

Personal contact and insight: The researcher has direct contact with and gets close to the people, situation, and phenomenon under study; researcher's personal experiences and insights are an important part of the inquiry and critical to understanding the phenomenon

Dynamic systems: Attention to process; assumes change is constant and ongoing whether the focus is on an individual or an entire culture

Unique case orientation: Assumes each case is special and unique; the first level of inquiry is being true to, respecting, and capturing the details of the individual cases being studied; cross-case analysis follows from and depends on the quality of individual case studies

Context sensitivity: Places findings in a social, historical, and temporal context; dubious of the possibility or meaningfulness of generalizations across time and space

Empathic neutrality: Complete objectivity is impossible; pure subjectivity undermines credibility; the researcher's passion is understanding the world in all its complexity – not proving something, not advocating, not advancing personal agendas, but understanding; the researcher includes personal experience and empathic insight as part of the relevant data, while taking a neutral nonjudgmental stance toward whatever content may emerge

Design flexibility: Open and adapting inquiry as understanding deepens and/or situations change; avoids getting locked into rigid designs that eliminate responsiveness; pursues new paths of discovery as they emerge.

LIMITATIONS OF THE STUDY

There are at least five limitations to this study identified by the researcher.

The first is that time and resources only allow for a single case study. Second, the study only examines a brief timeframe of eight months during which a faculty supervisor training program is initiated. Third, the district wide reorganization affected the key participants whose priorities understandably shifted as their supervisory role changed. This narrowed the scope of the study. Fourth, the study

generates only substantive theory and not formal theory. Finally, since the principal investigator is an employee of NHMCCD Kingwood College, the institution in the case study, possible bias on the part of the researcher must be acknowledged.

CHAPTER SUMMARY

Assessment-as-accountability is a growing trend in higher education. When institutions do not self-assess and provide the means for improvement, external forces will question why and will be more inclined to mandate such assessment. This is the current climate in higher education as evidenced by the many state mandates and more recently by the accrediting agencies criteria focus on academic assessment. This should not be surprising given that education is on the political agenda and that even higher education practices are becoming more public.

Interest group demand is forcing higher education to become more public in assessing and disclosing its effectiveness as institutions of higher learning. As technology improves and classrooms become even more accessible, so will this demand.

“The success of a teacher is measured by the success of the student” (unknown author) is becoming the mantra in the assessment-as-accountability movement. Therefore, improving faculty effectiveness as evidenced by student learning should be on the agenda of every institution of higher education. In doing so, developing effective faculty supervisor training models seems critical.

CHAPTER TWO REVIEW OF THE LITERATURE

See one, do one, teach one.

Author unknown.

If only teaching faculty supervisors how to assess and help faculty in their professional development were that easy, it would have already been described in the literature and widely practiced. The paucity of information about training faculty supervisors how to conduct effective faculty evaluations is due to the complexity of the issues and the lack of consensus on what is important. Among these are: the role of supervision; the definition and description of good supervision; the role of faculty; and the definitions and descriptions of teaching effectiveness, professional development, and service contributions to the educational environment of the college and the community.

Since no literature reports exist on training faculty supervisors how to conduct effective faculty evaluations in higher education, the search for relevant information is broadened to include both public education and the business sector. Regardless of the vocation, supervisors evaluate the work of others.

THEORY OF SUPERVISION IN EDUCATION: DEFINITIONS, ROLES, AND FIELD OF INQUIRY

In the introductory chapter of the *Handbook of Research on School Supervision*, Harris notes that supervision as a field of practice “remains one that is full of controversy and uncertainty. Much of the controversy over supervisory practice is reflected in diverse definitions” (p.1). The definitions have ranged from

narrow interpretations of management control to that of change agent, collaborator and servant leader.

Webster's New World Dictionary defines supervision as “to oversee, direct, and manage.” Educational supervision historically evolved to evaluate teaching. Supervisors had a “management function intended to assure quality control” (Holland, 1998, p. 401). As Badiali (1998, p. 957) notes, “Indeed, 50 years ago the dominant function of supervision was oversight or inspection of schools and teachers. Many teachers continue to have an emotional aversion to the term supervision because it conjures up notions of authoritarian directiveness” and was sarcastically referred to as snoopervision. Interestingly, MacDonald (1965) and Mosher and Purpel, (1972) noted that there is no research to suggest that supervision of teaching makes any difference on either the teacher or the student outcomes. Still, Duffy (1998) notes that the ideology of supervision as inspection “has remained constant throughout the past 300 years in American education” (p. 177).

“One common thread running through the definition of supervision from age to age has been the idea that it is an enabling activity. Supervisors aim to enable teachers to do a better job in helping students learn. They aim to enable schools to fulfill their purposes as organizations or as communities” as stated by Badiali (p. 961). As such, the roles of supervisors have continued to shift – from that of controller, to coordinator to culture builder. Instructional supervisors are now

expected to be leaders in the change process for instructional improvement (Anderson, and Snyder, 1998, pp. 341-355).

Researchers in educational management have identified three general theories of supervision in education. They are: traditional scientific management; neo-scientific management; and human relations. The traditional scientific management theory stems from both the early 1900s classical viewpoint and from the work of Frederick Taylor. The classical viewpoint “advocated high specialization of labor, intensive coordination, and centralized decision making” as defined by Johns, (1996, p. 11). Taylor, often referred to as the father of Scientific Management, was credited with establishing a scientific research approach to increasing organizational efficiency through written work procedures and job design which emphasized specialization and standardization. As Killian and Post (1998, pp. 1034 - 1035) note, “Taylor’s method can be summed up as ‘Find the one best way and apply it consistently.’” According to these two authors, Taylor’s approach differed from previous ones in that Taylor “stressed that his system shifted much responsibility from the worker to management.” Management provided the worker with daily written descriptions of the tasks needing to be accomplished, procedures on how they were to be accomplished, a timeline for when they were to be accomplished, and a reward amount for accomplishing the daily tasks around the designated parameters.

Killian and Post (1998, p. 1033) noted that the popularity of scientific management philosophy infiltrated teaching and supervision early on as a means to

increase teaching efficiency, supposedly resulting in greater student achievement. As these two authors describe, the scientific management influence in education is illustrated by: “specific written lists of goals, objectives, rules, regulations, and procedures; subject area specialization for both instruction and supervision; regimented classes and schedules; and the standardization of the teacher’s work day... As in industry, scientific school supervision was touted as the replacement for earlier personal and arbitrary forms of supervision. Supervisors sought to create a science of teaching from which to derive their authority over teacher behavior and its effect on student performance” (p. 1039). “Part of the supervisors role was that of an efficiency monitor who checked to see that teachers were using time effectively and that the lessons were basically the same for all.” (Beach and Reinhartz, 1989, p. 20) as noted by Killian and Post.

Even though the scientific management movement in education lasted less than two decades, some of its effects persist today. Killian and Post (pp. 1046-47) cite three significant ones in public education that have relevance to this study. First, the change in the power and responsibilities of school supervisors, faced with increased workloads as they practiced scientific management, resulted in separating school administration from faculty supervision. School superintendents required principals or other designees to conduct time intensive classroom observations and evaluations. The evaluators no longer held the esteemed position of authority as the chief executive officer. Supervisors became less respected and were perceived as less

effective. A second enduring effect is in “using economic grounds rather than educational grounds as the basis for educational decision-making and looking to business and industry for solutions to educational problems.” The third effect is the persistent acceptance and use of standardized tests and teacher-rating scales to assess performance.

The more modern version of scientific management is termed neo-scientific management. Killian and Post credit Starrott and Sergiovanni (1993, p. 13) in describing neo-scientific management as “emphasizing teacher responsibility for the quality and pace of instruction while expecting supervisors to monitor teaching and learning outcomes for evidence of instructional excellence” (p. 1047). Characteristics of neo-scientific management include standardized testing, behavioral objectives, teacher rating scales, merit pay systems, and the Hunter model of instruction and supervision. The Hunter model “specified steps to be used in all stages of the supervisory process” (p. 1049). While this model is still in practice in many schools today, critics argue its faults as stifling innovation and creativity as well as devaluing the teacher as a professional.

“The human relations movement generally began with the famous Hawthorne studies of the 1920s and 1930s. Research conducted at the Hawthorne plant of Western Electric illustrated how psychological and social processes affect productivity and work adjustment” as noted by Johns (1996, p. 13). This study helped dethrone the popular scientific management movement. The human relations

movement stressed more flexible management systems that are decentralized and more personalized to involve the employee in decision-making. Site-based decision making is a recent example of the human relations movement in education.

While new and improved models of supervision have incorporated a scientific approach to human relations, further discussion of the human dimensions of supervision are warranted. Questions posed by Wood (1998, p. 1085) still need definition and exploration. “What should be the purpose of supervision? How can supervision be changed from a one-on-one hierarchical interaction between a principal and teacher to a collaborative experience that facilitates possibilities and potential? What supervisory behaviors will facilitate Tran formative experiences for teachers? What is the supervisor’s role in building communities of learners and learning communities?”

In spite of new models of supervision, Wood explores why school supervisors behave in ways perceived by teachers as unhelpful. She proposes two main reasons for supervisors becoming what they do (p. 1085). The first reason is a socialization process. “Regardless of education, commitment, or previous experiences, people are subject to an intense socialization process from the day they assume their roles in organizations.” In other words, supervisors “tend to become what they spent their time doing.” The second reason is due to organizational factors that make it “difficult for the supervisor to act on the basis of alternative supervisory models because of the

way in which they habitually have thought about their role. In other words, they tend to become what they have construed” (p. 1085).

Wood illustrates how organizational forces shape public school supervisory practices in the development and implementation of an evaluation process. The common scenario is for both administrators and teachers to join forces to develop new policies and procedures to improve their evaluation/supervisory processes. In doing so, training programs are often planned and the evaluation instrument is carefully designed. In spite of a successful implementation, often little change occurs and evaluation remains the dreaded annual event. Wood attributes this, (pp.1088-1092) to four major mitigating factors. They are:

1. “embodiment of both processes in the role of the principal” (p. 1088). Public school principals almost always are charged with the responsibility of supervising and evaluating their staff. Only in very large schools do curriculum coordinators or department chairs help in evaluating staff.
2. “time factors” (p.1088). The overburdened workload of supervisors leaves little quality time for working with faculty to improve instruction. Therefore, the figure below “illustrates the scenario played out in many schools when supervision and improving instruction are viewed as synonymous with filling out evaluation forms for a specified number of teachers each year” (p. 1089).

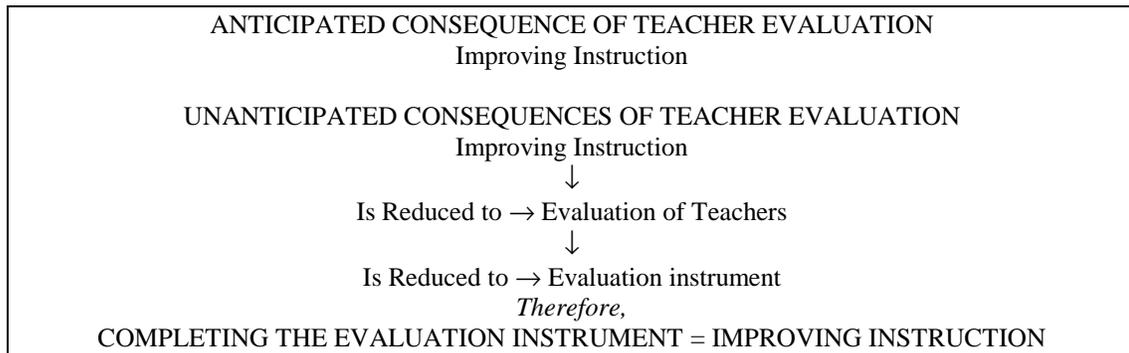


Table 2.1

Wood (1998, Figure 44.1, p.1089) Anticipated and Unanticipated consequences of improving instruction through teacher evaluation.

3. “the absence of a legal separation of evaluation and supervision (p. 1088)...In districts where principals’ evaluations are based on whether staff appraisals are completed and turned in on time instead of on the basis of either the information contained in the appraisals or the learning opportunities available to teachers, it is reasonable that principals will be more inclined to attend to those responsibilities upon which their own assessment is based” (p. 1089).
4. “use of data obtained under the guise of supervision in an evaluative way” (p. 1088). The blurring between evaluation and supervision combined with the supervisor’s time constraints sets up a system dubbed by Grimmett, Rostad, and Blake (1992, p. 187) as “sophisticated mechanisms of teaching inspection and instructional surveillance.” This results in “making clinical supervision irrelevant and in increasing teachers’ distrust of any supervisory attempts on the part of the principal” (p. 1089).

Harris (1998) writes: “Long term trends in both theory and practice of supervision reflect greater emphasis on change and improvement than they do in early

stages of development of the field. Evolving trends in functions of supervision emphasize learning outcomes, teacher practices, professional development, supporting services, innovations, restructuring, and integrating technology [...] supervision as planning for systemic change is a relatively new paradigm shift” (pp. 2-3).

The timing is right for the emergence of another theory of supervision – one that focuses on “quality learning” as a “cooperative venture in control and responsibility” Poledink, 1997, p. 126. According to Poledink: “The responsibility for learning becomes a shared function, with all involved understanding and fulfilling their roles and responsibilities” p. 127. “The variables involved in the quality learning context include:

the learners ...

the cultural and political environment

the instructional design

the physical environment, and

the instructors” p. 132.

“At a minimum, instructors must know and be interested in their subject matter, have skills and knowledge in adult learning theory and practice, have the physical and psychological stamina to interact with learners, and appreciate the culture of the organization and its learners. Training administrators bear the

responsibility for assuring that the variables initially are at acceptable levels of quality. They must periodically monitor instructor performance to maintain these levels” p. 134.

Research in the field of supervision is vast as evidenced by numerous textbooks, journal articles, periodicals, and published inquiries from graduate students. Even so, Harris laments that “supervision as a field of inquiry suffers from the addressing of its grand complexity with simplistic paradigms, from the lack of recognition of the field as one that has architectural and engineering characteristics, and from both funding and publishing entities preoccupied with fads and quick-fixes rather than with synthesis and professional development of the field” (p. 3). Consequently, much is known about the business, ideology, and practice of supervision, but very little is known about how supervisors learn to be supervisors and if their methodologies are effective. “It is fair to say that supervision has made little progress in emerging as a profession since 1960, then [as now] unresolved dilemmas about purpose, definition, role, function, and preparation are among the main reasons” Badiali (p. 957).

HOW SUPERVISION IS TAUGHT

While the literature addresses what supervision is and what it should be, it does not address how supervision is taught. Badiali notes that “for a field so long preoccupied with the instructional improvement of teachers, it is ironic that there is little explication of the instruction which goes on within the field itself. One reason that there is a lack of description of how supervision is taught may be the lingering

concept that supervisors must be master teachers, experts in the art and science of pedagogy” (p. 962). Therefore, the assumption is that, as experts who have mastered the field of teaching, supervisors of teachers are competent and need no assistance or training to judge the performance of other teachers.

Little is known about how individuals learn to supervise. In Badiali’s chapter on the “Teaching of Supervision,” he postulates (p.961): How supervision is actually learned depends heavily on the learners’ as well as the teachers’ orientation, perspective, and philosophy of education itself. Everyone’s approach to supervision reflects his worldview, how he perceives reality, what he values or deems important, and what amount of knowledge and experiences he has about the field. Theoretical and practical principles of supervision are derived in part by having a perspective on the purpose for schools. How supervision is taught is “problematic,” to use Dewey’s (1933) term. According to Schon (1987), when practitioners (teacher of supervision) set a problem, they choose and name the items that they will notice; they select items for attention and organize them guided by their background, interests, and perspectives. Given the array of definitions, the wide possibilities in understanding supervisory tasks and functions, and the numerous perspectives on the purpose of school, teaching supervision can take many avenues.

In both public education and higher education exposure to some of the responsibilities of supervision are available through conferences, seminars, and workshops usually offered by professional organizations, state agencies, and private

consultants. The most common supervisory topics presented are on legal issues and personnel conflict management. Several graduate schools offer courses and programs in leadership. However the approach taken to teaching supervision is often through didactic delivery on the theory of supervision. Therefore, the reality is that supervision is usually learned through reactive “on-the-job training” and, if one is lucky, with mentors who suffered through similar experiences.

Public Schools

Badiali proposes that the “key to a better understanding of how supervision is taught lies in the conception of teaching itself” (p. 962). As such, he uses the work of Darling-Hammond and Sclan (1992) on the two “different views about teaching which influence supervision (and therefore the preparation of supervisors).” The two distinct views of teaching are neo-traditional and neo-progressive.

The neo-traditional view of teaching is described as the use of a technical rational approach to change student behavior. Basically, learning outcomes are defined and teachers transfer this knowledge to students. “This view concerns specifying and producing teacher behaviors thought to increase those student behaviors believed to be associated with learning... This view of teaching can be equated with the ‘effective schools’ movement, proficiency testing, and other activities that attempt to reduce teaching to a set of controlled behaviors” Badiali (p. 962).

Likewise, this technical rational approach has been used to prepare supervisors who become knowledgeable on the research of effective teaching, convey

this knowledge to classroom teachers, and monitor its implementation. According to Badiali, this approach “values conformity and reductionist thinking” (p. 963).

The neo-progressive view of teaching can be traced to the works of Dewey, Piaget, and Bruner in that it is “concerned with developing deliberative classrooms that support both teachers and students in constructive meaning from their interactions with each other and with the world they study” Darling-Hammond (1992, p. 15). This approach recognizes that the dynamics of teaching and learning are complex and require teachers to be reflective of their teaching practices and creative in trying to improve them.

“There are at least two implications for teachers of supervision in this approach to teaching and leaning. First, they need to embrace an epistemology of practice and reflection; and second, the new epistemology would need to be manifest in their own teaching.” (p. 964).

“In his book *Educating the Reflective Practitioner*, Schon (1987) notes the contrast between a neo-progressive approach and a neo-traditional approach:

In the varied topography of professional practice, there is a high, hard ground overlooking a swamp. On the high ground, manageable problems lend themselves to solution through the application of research-based theory and technique. In the swampy lowland, messy, confusing problems defy technical solution. The irony of this situation is that the problems on the high ground tend to be relatively unimportant to individuals or society at large, however great their technical interest may be, while in the swamp lie the problems of greatest human concern. The practitioner must choose. Shall he remain on the high ground where he can solve relatively unimportant problems according to prevailing standards of rigor, or shall he descend into the swamp of important problems and non-rigorous inquiry? (p. 3.)

Two models for teaching supervision seem to be applicable for teaching both teachers and supervisors of teachers. These are clinical supervision and problem-based learning. Clinical supervision is a dominant paradigm of supervision. As such, it has many interpretations. It is most commonly thought of as the procedure followed by the supervisor and teacher for observing classroom teaching. However, as a worthy model, it should encompass reflective practice as described by Garman (1982). Garman's approach "describes the concepts of collegiality, collaboration, skilled service, and ethical conduct which must become the supervisors' habit of mind. These concepts represent principles by which supervision can be taught and learned" Badiali (p. 965).

Problem-based learning (PBL) is a teaching tool that incorporates real life practices. More often than not, the dilemmas presented are complex, "swampy." They require collegiality to solve. They require working collaboratively with others in groups, teams, or in partnerships to provide solutions to complex problems as well as to create responsive learning environments. Curriculum in supervisor training would be well served to incorporate PBL approaches with experiential opportunities.

"Since most formal experiences [for learning supervision] occur in graduate schools, it is necessary to explore not only the program of studies for supervision, but also the design and dynamics of the courses." As one does, it becomes obvious that most course and program information is theory-based. Still, there is a limit as to what can be learned about supervision in a college classroom. As Badiali notes:

“Supervision is not a spectator sport” (p. 962). Therefore, without apprenticeship opportunities, experiential learning is on-the-job-training for virtually all educational supervisors.

Most educators agree with Cook (1998, p. 502) that “successful supervision, like any other complex process, needs training.” While some states have legislated that public schools require academic certification to become eligible for a faculty supervisory position, no parallel exists for higher education.

Higher Education

In higher education, the term supervision is seldom used. Supervision is more commonly referred to as faculty development, professional development, or staff development. According to Lewis (1998): “Faculty development is the preferred umbrella term encompassing systematic efforts to increase the effectiveness of faculty in all their professional roles and has evolved over time to include instructional improvement, organizational development, and personal development... Originally faculty development in higher education meant developing expertise in one’s discipline. It had been assumed, for many years, that if you knew the subject, you could teach it” (p.721). However, this concept was challenged as: student disenchantment with instruction increased (as noted by protests starting in the late 1960s); student populations became more diverse, therefore, requiring different teaching strategies; and economics of the late 1970s and early 1980s decreased faculty mobility resulting in “tenured-in” faculty. Given that more diverse student

populations were demanding better teaching, along with a stagnant pool of teachers, academia started to focus on faculty vitality via the establishment of faculty development programs.

While faculty development programs, also referred to as teaching and learning programs, help faculty improve teaching, they do not address how to help supervisors other than to give them a resource to refer faculty to who are in need of improving teaching effectiveness. Seldom do institutions of higher education invest in a training program for supervisors. Given that faculty supervisors, known as department chairs, division heads, associate deans or deans, are considered to be key instructional leaders, training programs should be critical to the institution.

PRACTICE OF TRAINING SUPERVISORS HOW TO CONDUCT PERFORMANCE EVALUATIONS IN THE PRIVATE AND PUBLIC SECTORS

While the private sector companies and individual consultants offer many training programs on performance appraisals, most concentrate on the appraisal instrument, especially the rating forms, and legal issues. Even though most note that the hardest part of conducting an appraisal review is in effectively communicating how well the job is being done, only a few seem to offer ways by which this may be accomplished. The disconnect between performing the evaluation and effectively communicating the results to improve performance is echoed by Davis and Landa (1999): “For the past fifty years, it has been an article of faith that investment in employee performance appraisal has contributed significantly to increased worker productivity” (p. 18).

Two private consultants who are publishing information on training supervisors how to conduct evaluations that concentrate on communication skills are William Hubbartt and Dick Grote. As Hubbartt (1995, p. 1) states: “All too often, the training these employees receive in conducting performance appraisals covers only the mundane issues; filling out the rating form, policy highlights, and exhortations to improve the consistency of performance ratings. It is little wonder, then, that employees and supervisors dread the performance appraisal process.”

Hubbartt wrote *Performance Appraisal Manual for Managers and Supervisors* (1992), which offered common sense tips for conducting productive performance discussions. “Making performance appraisals meaningful is a difficult task for many supervisors... Some are fearful of confrontation or dislike the performance appraisal process because it is viewed as criticizing a subordinate. Other supervisors complain that the firm’s performance appraisal form is inadequate. The key to a meaningful performance appraisal discussion is preparation... A supervisor who has prepared for the discussion has an effective road map to guide his or her discussion with the employee. Preparation for a performance appraisal discussion should include checking objective performance data and completing the appraisal form in a thorough manner” (p. 36).

Hubbartt’s 1995 article delineated some techniques in how to train employees to conduct performance appraisals. He acknowledges that “problems common to many performance appraisal processes are a lack of consistency in ratings, failure to

define performance goals or standards, and an inability to deal effectively with poor performers” (pp. 168-169). He then offers the following tips on how “to improve the problem areas and bring performance appraisal training to life:

- Use actual issues
- Teach in phases
- Use case studies for discussion
- Use role response
- Use role plays
- Cover the what ifs
- Explain legal issues” (pp. 168-170).

According to Grote, (March 2000a) a strategy-based performance management consultant, the public sector organizations and businesses are the ones coming up with the “best new ideas for managing people’s performance on the job. When executives look for breakthrough thinking and best practices, their best sources frequently turn out to be state agencies and city governments, federal bureaucracies, and the local pardons and parole boards.”

When the American Productivity and Quality Center and Linkage Inc. conducted a national benchmarking study of the best practices in performance management, Grote was requested to serve as a subject matter expert. In spite of a fiscal reward and recognition, most companies declined to participate. “Several of those that did agree, requested to remain anonymous. The companies who refused to participate view their performance management process as a genuine source of competitive advantage and were unwilling to let any outsider peek. One vice

president of human resources put it bluntly stating: 'We would no more show our performance appraisal form to a bunch of outsiders than Coca-Cola Co. would let you come in and look over the secret formula for Coke' (2000b, pp. 19-20)

Another private consultant, Kate Ludemen, President of Worth Ethic Corporation, bypasses the whole issue of training supervisors how to conduct performance evaluations and focuses instead on a self-directed 360 assessment approach. Ludeman (2000) asserts that this model is as likely to be implemented by the employee as by the employer. The 360 assessment model solicits face-to-face feedback from peers, supervisor(s), subordinates and self. "The self-directed 360 seeks information on an employee's specific role and goals, and on the company's needs at the time of the assessment" (p. 44). The self-directed 360 places the responsibility for assessing performance on the individual employee rather than on the supervisor. However, many factors influence the effectiveness of this model, the most obvious ones being the employee's willingness to solicit feedback, openness to hearing feedback, and an ability to critically analyze the constructive criticism given.

PRACTICE OF TRAINING FACULTY SUPERVISORS HOW TO ASSESS FACULTY PERFORMANCE

"The conflict between bureaucracy in schools and professional autonomy has been frustrating for supervisors through out history. They have also struggled to balance improvement of instruction and evaluation of teachers" Pfeiffer (1998, p. 35).

Public Schools

Iwanicki (1998) concurs with the views of Starratt and Sergiovanni (1993) that “supervision is working with and through people to better achieve the goals of the school organization. The two major functions of evaluation are to determine how successful the school has been in achieving its student’s learning potential (i.e. program evaluations) and developing the capabilities of its staff (i.e. personnel evaluation)” (p. 138).

Supervision of public schools is mostly a local matter with state legislatures and boards of education establishing policy parameters. As such, a review of the literature indicates very little information on what local public school districts are doing to train principals and other supervisors how to assess faculty performance. A level up from the local school districts are the regional educational service agencies (ESA). These intermediate agencies have been created over the past forty years to provide efficient educational services as a politically savvy alternative to school consolidation. According to Sherrod (1998): “Research on ESAs nationally is limited; studies of the services provided by ESAs that are supervisory in nature are extremely sparse. The result is that little is known about these intermediate agencies and their role in educational improvement.”

Most state government policy implementing agencies focus supervisor training on how to conduct teacher evaluations using universal criteria, standards, and timelines. Very few states have gone beyond this to mandate, describe, and provide

services on training teacher supervisors how to conduct teacher evaluations. Texas is one exception.

In 1995 the Texas Legislature enacted Senate Bill 1, which required the Commissioner of Education to develop and recommend an appraisal system for Texas teachers. The result is now known as the Professional Development and Appraisal System (PDAS), which started implementation in the fall 1997. The foundation for the PDAS is the teacher proficiencies described in *Learner-Centered Schools for Texas: A Vision of Texas Educators*. The Commissioner's rules concerning educator appraisal is described in Chapter 150, Subchapter AA. Section 150.1006 Appraiser Qualifications (d) states: "Before conducting an appraisal, an appraiser must be certified by having satisfactorily completed uniform appraiser training, including required Instructional Leadership Training (ILT), with a trainer and curriculum approved by the commissioner of education. Periodic recertification and training shall be required." The Educational Service Centers were charged with delivering training for appraisers. Appraiser training consists of two full days (eight and one-half hours on day one and nine hours on day two) adhering to a tightly planned agenda. The PDAS Appraiser training includes: introducing the appraisal instrument; comparing the new instrument and procedures to the former one; explaining timelines; and facilitating group work for role playing on how to assess each performance domain using case studies.

Other noteworthy features of the PDAS are: a required orientation for teachers; a teacher self report evaluation component; and the incorporation of a rating for student achievement as reflected in the school's Texas Assessment of Academic Skills (TAAS) performance scores. While the PDAS has yet to be assessed by practitioners, it seems to address some of the concerns expressed by Boyd (1989) on how to improve teacher evaluation. According to Boyd's research:

experienced teachers often state that evaluations are not productive. Some of this dissatisfaction is based on experiences, which can be avoided [such as]

- Teachers not having any input into the evaluation criteria [...] This leads teachers to distrust the evaluation process and to question the validity of the results it produces.
- Evaluators not spending enough time on the evaluation. Teachers complain that the principal [...] does not have the time to gather quality information and provide useful feedback...
- Evaluators not being well trained [...] Few evaluators have any special training to help them plan and carry out a successful evaluation[...] The criteria for evaluation are often vague, subjective, and inconsistent. This robs the evaluator of the credibility needed to carry out an effective evaluation.
- Results of evaluation not being used to further teacher development [...] Few districts have established a clear link between teacher evaluation and teacher development. (p. 3 on online article)

During the past two decades the assessment-as-accountability movement in education has focused on assessment instruments as a means to measure student learning. Consequently, most states now require mandatory tests to measure basic skills for public school students. Several states have also enacted laws requiring college level skills testing for students wanting to enroll in and or graduate from state supported institutions of higher education. Clearly, the focus is outcome based as to

what students learn. Student learning as a performance measure for teacher evaluations is becoming more of a reality as demonstrated in the Texas PDAS. Evidence suggests that this trend will continue, possibly infiltrating higher education. Still, the disconnect is obvious when training is ignored for those conducting the evaluations and for linking evaluations to professional development.

Higher Education

There is little published evidence that college faculty supervisors are or have been trained to effectively assess faculty performance. Many publications discuss the peripherals of evaluation, such as the components of evaluation and the concerns of establishing comprehensive evaluation systems, but none detail if and how supervisors are trained to conduct an effective evaluation of faculty in instructional areas. Since several well-published researchers in the faculty appraisal field have recognized this need (Andrews, Arreola, Centra, Licata, and Seldin), the reasons for not fulfilling it are many fold and complex. Some probable reasons and contributing factors noted by these leading researchers are:

1. Inherent in academic systems whereby holding individual faculty members accountable is often difficult given the ideology of academic freedom, faculty unions, faculty senates, tenure systems, shared governance, supervisors with little authority to make personnel decisions and frequent turnover of faculty supervisors (as compared to faculty). Gmelch (1991) notes that the turnover rate for faculty supervisors is roughly 25 percent annually.

Depending on the institutional hierarchy, faculty report to either a department chair, division head, associate dean, or dean. Often this first line faculty supervisor is a hybrid administrator-faculty member who may be appointed by the dean or elected by the faculty of the department. If elected, or if the position rotates between faculty, the role of supervisor with evaluative responsibilities is marginalized at best. This intentional design has a long history in academia. Even though Ewell (1997) was referring to institutions and not individual faculty, his statement regarding accountability and assessment is apropos. He notes on page 8 that “higher education leaders have seen assessment as deeply threatening to the historic values of academic freedom and institutions’ [individuals’] autonomy and, as a consequence, as something to be resisted at all costs.”

2. Faculty are viewed as content experts and should not be judged accordingly. The Academe is an elitist association. Becoming a professor requires many years of preparation to obtain competence then expert status in a specific content area. As Arreola (1983, p. 86) notes: “No one enjoys being evaluated – especially people with advanced degrees who have spent six to eight years in college being evaluated and developed to the point where they were awarded advanced degrees. [Naturally] faculty would be resentful of the implied assumption that they may be incompetent in their subject area.” In addition, the faculty supervisor often oversees a department or division that is diverse and includes specialties in which she/he is not an expert. Therefore,

the supervisor is perceived as not competent to judge the faculty member on content.

3. Most faculty have not been trained in teaching methodologies and therefore, should not be held accountable for teaching effectiveness. Most graduate programs do not instruct students in teaching methodologies and learning theories. Not surprisingly, faculty supervisors, who were once faculty, also have not been trained to recognize, let alone coach others in how to use different teaching methodologies (Arreola, 1983 & 2000).
4. Since the definition of teaching effectiveness is elusive (neither concrete nor is there consensus on its definition), faculty and faculty supervisors are skeptical about evaluation methods that claim to measure teaching effectiveness. Even though Borich (1977, pp. 6-8) defined teaching effectiveness as three categories of teacher behavior - knowledge competencies, performance competencies, and consequence competencies – he noted that there was little research linking them to one another. In other words, even if the teacher is knowledgeable about their subject matter content, teaching methodologies, and pedagogy, student learning outcomes/competencies could not be guaranteed. However, the latest research on adult learning, summarized in *How People Learn* (2001), offers solid evidence that can link these teacher behaviors to student learning.
5. Often, faculty evaluations are perceived as not valued by either top administrators or faculty, therefore, faculty supervisors are apathetic to the

process. According to Arreola (1983, p. 84 & 2000, p.xxi) the two main reasons why faculty evaluation and development programs fail are because the “administration is not interested in whether or not they succeed and faculty are against it.” Arreola attributes administrator apathy to unbudgeted extra costs and fear of loss of control in the personnel decision making process. Faculty resistance stems from numerous sources – including the suspicion that unqualified people will evaluate them. Boyd (1989, p. 3) confirms this suspicion noting: “Few evaluators have any special training to help them plan and carry out a successful evaluation.”

6. Consequences for good or poor faculty performance are usually non-existent. When the consequences affect pay or status, as in merit-based pay and tenure decisions, supervisor training should be essential. However, a review of these practices indicates that supervisor training is still ignored, but compensated by the creation of forms and procedures that minimize subjective judgment by using multiple raters and sophisticated point systems to quantify data. Arreola (2000) cites several examples in the Frostburg State University model (pp. 154-167) and in the Georgia Perimeter College model (pp. 169-200). Licata (1997) also notes numerous examples.

In their 1991 article, Andrews and Licata note the findings from Licata’s 1984 study examined “post tenure practices of nine [community] colleges that were members of the League for Innovation” and discovered that “the majority of responses pointed out that the systems of evaluation did not

provide an effective mechanism to measure competence, and paid only lip service to faculty development” (p. 70). A follow up study conducted by Andrews and Licata (1991) questioned the instructional deans and academic vice presidents of 305 colleges in the North Central Region. Fifty six percent of the instructional deans/vice presidents responded to the questionnaire. The authors note: “The three most common complaints registered by these instructional leaders regarding the effectiveness of their evaluation processes were: (1) pays only ‘lip service’ to faculty development; (2) no mechanism to measure competence/incompetence; (3) poor instructors not placed on warning.” These same instructional administrators ‘recognized that a void existed in recognition of quality teachers’ and recommended that incentives should be provided for excellent performers (p. 74). The authors still assert: “Little has been written on effective evaluation models and knowledge dealing with how to provide quality control in faculty evaluation is sparse” (p. 69).

In a study of four community colleges, Mark (1982, p. 167) notes, “there is little evidence of real and meaningful attention paid to faculty who are in need of help for the improvement of teaching weaknesses or poor teaching skills.” Licata and Morreale (1997) “discovered that a lack of consequences for faculty inaction undermines any attempt to encourage faculty development” (p. 38).

7. Most faculty supervisors have unrealistic workloads. Conducting meaningful faculty evaluations are time consuming and are therefore not given top

priority. Even when the burden of documentation is shifted to the faculty member requiring a pre self-assessment (increasing the use of portfolios), the faculty supervisor still needs to assess the faculty member's self-documentation and other evaluation materials. Rarely has the faculty supervisor received training on how to evaluate a faculty member's self-assessment.

In addition, a meaningful evaluation requires preparation (Hubbart, 1992, and Centra, 1993). Licata and Morreale (1997, p. 28) state: "The most significant aspect of review process comes in the discussion of outcomes – both expected and unanticipated." The authors also emphasize the importance of providing department heads and deans with guidance and structure about what should be included in a professional improvement plan.

8. Most faculty evaluations serve a dual purpose for formative and summative decisions. Some faculty members are skeptical of being assisted and judged by the same person. According to Centra (1993, p. 5), teachers will not be as open to discussing weaknesses or seeking advice from people who will also judge them. However, Licata and Morreale (1997, p. 50) disagree noting: "While the philosophy of most post-tenure review policies drafted today is formative, almost all have summative aspects." Also, the authors note, under strategies and precautions for developing a program of post-tenure review, that the purpose of the review should be clearly defined and articulated. "Both camps [formative or summative – together or separate] agree that

institutions must make significant efforts at formative help before summative consequences can be involved” (p. 33).

9. Unless the faculty supervisor is an exceptional mentor, often advising the faculty member how to improve is limited to her/his own experience. Centra (1993, pp. 10 - 11) notes, “Colleagues and administrators who can be most effective in bringing about teaching improvements have skills that have grown out of their own past experiences, often as teachers. Yet their knowledge may be intuitive and difficult for them to convey.”

Advising faculty how to improve is not universally considered important. Licata (1999), Licata and Morreale (1997, & 1999) and Centra (1993) believe that it is while Baker (1998) does not. In the 1991 Andrews and Licata publication on the results obtained from questioning the practices of 305 colleges in the North Central Region (56 percent response), 61 percent of the instructional leaders report “... evaluation data are shared with faculty members and used to develop a plan of improvement and professional growth. An additional 34 percent indicate that after showing the evaluation results the faculty member is left to his/her own devices to improve” (p.72-73).

However, these instructional administrators also indicated ambivalence about the overall effectiveness of their evaluation systems.

Centra (1993a, p. 9) states that:

formative evaluation does not always lead to improvement in teaching. In fact, truly significant improvement is likely to take place only if evaluation fulfills four conditions: 1) New knowledge – teachers must

learn something new about their teaching performance; 2) Value – they must value the information and have confidence in the source and process; 3) How to change – they must understand how to make changes called for; and 4) Motivation – they must be motivated to make the changes. Failure to understand how to change is probably what most frequently prevents significant improvement.

On the other hand, Baker (1998) views the comprehensive appraisal system as primarily focused on what to do and why.

What refers to the steps of the supervisory processes and the information needed to carry them out. Why refers to the objectives that are to be achieved... less emphasis has been placed on trying to explain how each of the supervisory processes should be carried out. How they should be carried out will vary with the task to be accomplished; the work environment; the personalities of the supervisor and employee; the leadership skills of the supervisor; the abilities, knowledge, skills, and needs of the employee; and other factors that may not yet be identified... Because of the interaction of these variables, how processes of supervision should be carried out may vary in each situation. Further, they may be carried out differently by different supervisors but achieve the same results. For these reasons, it may be impossible and undesirable to try to describe in organizational policies and procedures how each process should be carried out. Instead, it may be better to recognize that these variables exist, and design procedures that insure that they are properly considered in the process (p. 21).

10. Only during the last decade have external forces started to pressure higher education to become more accountable for student learning at the level of individual faculty. Historically, institutions of higher education have been more process oriented than results driven. To ensure student learning, institutions, backed by accrediting agency criteria, employ faculty who are content experts as evidenced by their graduate semester hours in a teaching field. Since the faculty know the course material and teach it, it is the

student's responsibility to learn it. The traditional focus has been on teaching, not on student learning. Attrition and/or failure rates of sixty to seventy percent in many disciplines was considered the norm and never questioned. Then, the 1993 publication, *An American Imperative*, challenged higher education to rethink emphasizing teaching content delivery over student learning.

While this latest accountability reform movement has prompted more state mandates on performance measures, institutions of higher education have responded by developing assessments on institutional effectiveness. Since these assessments focused on college-wide procedures and departmental and program strategic plans, little emphasis has been placed on individual faculty performance. From a historical perspective, as cited by Bensimon and O'Neil (1998), professors think academic work is "my work" and not "institutional work." Faculty autonomy under the guise of academic freedom is a long practiced tradition. Also, as Wergin and Swingen (2000) note: "Faculty typically are rewarded according to standards of quality dictated by their disciplines, not by standards specific to their institutions or departments. Since most faculty work alone – and are rewarded for working alone – there is little faculty investment in activities that require collective action, such as responding to institutional mandates for 'accountability' or 'assessment.'" Quite simply, many faculty members see little relationship between these mandates and the work they do or how they are rewarded for doing it. Faculty

members do not necessarily reject the ideology behind reform; they simply do not see it as relevant to what they do and how they are rewarded” (p. 2).

11. Inadequate resources to help train faculty supervisors on how to conduct effective evaluations on instructional faculty. While faculty professional development centers have become more commonplace, their emphasis has been on providing faculty with the tools, knowledge, and skills to become more effective teachers. This has certainly benefited the faculty supervisor by providing a resource to refer faculty to who are in need of help. However, no parallel exists for training administrators, specifically faculty supervisors, on how to conduct effective meaningful evaluations that result in the improvement of faculty teaching effectiveness. Programs asking faculty supervisors to identify needs for conducting evaluations appear to be non-existent.

A review of the literature shows: faculty evaluations are taking place; good faculty evaluation models using multiple sources of information and tested for validity exist; how to develop and implement a faculty evaluation system has been described; but nothing has been published on training faculty supervisors how to evaluate faculty to improve their performance.

According to Andrews & Licata (1991, p. 69): “The literature shows that university and four year college researchers have expended very little effort researching evaluation processes in community, technical, and junior colleges. There

has been little research produced to look at the state of post-tenure evaluation practices at the two-year colleges in America.” They also note that the research data “underscore the importance for individual institutions to assess the effectiveness of their evaluation systems from both a faculty and administrative perspective. The time and effort expended on an ineffective evaluation system might better be channeled into improving the system or into developing other ‘quality’ college initiatives” (p. 76).

In Campion, Mason, and Erdman’s (2000) study on How Faculty Evaluations Are Used in Texas Community Colleges, they observe that the objectivity and validity of various components of faculty evaluations (especially student evaluations of faculty) have been well published. They also note: “practically all Texas community colleges have reported that comprehensive evaluation systems are presently in place and have been for some time” (pp. 170-171). However, they noticed “one area of inquiry that has received much less attention is the issue of what is done with evaluations once they are administered” (p. 169). This concern is echoed by Licata and Morreale (1997) in noting that real issues are not the administration of evaluations, but on the follow-up – including training supervisors how to help faculty change behaviors. Further concern is expressed by Arreola as he states: “there is a need for research to further address the development of responsible and effective faculty evaluation systems that consider enhancing the growth of the faculty member

as an individual” (presentation at the CEDA Workshop on Developing a Comprehensive Faculty Evaluation System, 2001).

ORGANIZATIONAL CULTURE

Simply put by Goodes (1998), an organization’s culture is “the way we do things around here” p. 190. As more eloquently stated by Schein, culture is “the set of shared assumptions that a group holds and that determines how it perceives, thinks about, and reacts to various environments” (p.6). Johns description of organizational culture emphasizes shared beliefs, values and assumptions. However, he is careful to point out that shared does not mean all members of the organization necessarily agree, but rather have exposure to and a minimum understanding of the organizations beliefs and values (pp. 288-290). Dauphinais and Price (1998, p. 183) adroitly note, “How members of an organization perceive its culture depends on their relative position” in the organization. Therefore, in large organizations, subcultures often arise due to differences in location, training, occupation and/or departmental goals.

Characteristics of Organizational Culture

Since an organization’s culture is its practiced values and beliefs, it is relatively stable over time. Therefore, changing the culture will take time. In fact, several researchers in this field state that it takes at least five years to change behavior in large organizations (Goodes, p. 190). Depending on the intensity and pervasiveness of beliefs, values, and assumptions, organizational cultures range from strong to weak. A strong culture can be both an asset and a liability. According to Johns (1996, pp. 290-294), the assets are demonstrated by area coordination, conflict

resolution, and financial success, whereas the liabilities are observed as resistance to change, culture clash, and pathology. In strong cultures the coordination of different areas is more easily achieved since values are strongly shared. Also, a widespread belief in shared core values can be the negotiating point to resolve internal conflicts. Johns cites several studies that indicate a strong culture with these two assets, exhibiting none of the liabilities of resistance to change, culture clash or pathology that seem to contribute to an organizations financial success.

If an organization's strong culture does not include innovation and acceptance to change as core values, resistance to change will surely occur. This is a huge challenge for many academic institutions given the rapidly changing times brought on by both internal and external forces. Other liabilities include culture clash, often seen in mergers or acquisitions, and pathology, seen in organizations with unhealthy cultural practices of secrecy and infighting, which breed paranoia.

Shapers of Organizational Culture

While Johns discusses the founder's role and socialization as the two key factors that establish and contribute to an organization's culture, Dauphinais and Price (1998, pp. 185-186) examine nine different shapers of corporate culture. These are:

1. **Leadership.** Leaders consciously and unconsciously communicate beliefs, values, and assumptions by their style of leadership and how they exercise authority. Culture change requires a clear examination of leadership traits and their likely impact, and of the ability of leaders to express the need for change and carry it off.
2. **Performance measures.** Every corporation has a vast range of choices in what is measured, how it is measured, and how clearly and how frequently it is measured. All such accounting is in fact cultural communication since it

defines winners and losers. There is a deep level of symbolic communication in measures that emphasize individual versus group contributions, or emphasize the short term or the long term.

3. **People practices.** People are not just passive containers into which the CEOs pour their version of corporate culture. Organizations clearly express their character and expectations by the way they set recruitment practices and parameters. Their profiles of desirable skills and attributes, the amount of training and intellectual enrichment offered, the pace of and criteria for advancement – all of these affect culture. No sophisticated company today will alter the symbolic language of its personnel practices without looking at the possible cultural impact.
4. **Structure.** The structure of an organization defines its realities and meaning, not only in terms of personalities (who reports to whom), but also in terms of texture, form, flexibility, and duration. Most culture change programs modify old organizational forms and create new organizational vehicles.
5. **Competitive context.** Different industries have their own sociological mores, often dependent on the amount of technology involved or where products stand in the life-cycle chain. To a large degree, corporate cultures reflect those industry characteristics. The interesting questions are those that probe differences from industry norms. Even more than that, every company needs a culture that is able to ask the right questions. In a fast-growth industry, for instance, the ability to envision future scenarios is more important than in a slow-growth business. So the question then might be, “does our culture foster frequent and intelligent assessment of future scenarios?”
6. **Time.** Cultural change is not for managers with a short-term focus... Cultural impact has to be measured in years, and redirections may be required along the way.
7. **Transparency.** Depending on its character, corporate culture may or may not foster community. Those that over stimulate internal rivalry and competition for advancement diminish the potential of community. Clearly a sense of community can reinforce cohesion and help change to flourish. When the disseminated logic of culture change is transparent, community is strengthened. That logic should be rooted in history and a widely shared consensus of the shortcomings of the old culture and why the new must take hold. In addition, everyone needs clear milestones on the long road to culture change.
8. **Resistance.** All culture change produces opposition and resistance. Management can ignore it, dismiss it, suppress it, or let it come bubbling to the surface and deal with it constructively. Very often the virulence of the opposition frightens the change managers. It makes them inclined to sidestep the tough issues and avoid engaging in those areas where the weight of the past is heaviest or where powerful executives are protecting their turf. This timidity can have disastrous repercussions: Often a company will react with a

“soft” communications program that merely urges people to adopt values. Unfortunately, this inability to confront points of resistance may ultimately destroy the company’s capacity for change and breed cynicism.

9. **Change measurement.** One of the most frequent causes of failure in culture change programs is lack of rigor. In many firms the practices and tactics adopted by culture change managers reflect the characteristics of the culture itself: fluffy diagrams, vague accountabilities, ambiguous time scales, and poorly defined outcomes. What is needed is the same rigor companies apply to capital appraisal or budgeting. In culture change, as in everything else, the maxim holds: “What gets measured gets done.”

Perspectives of Organizational Culture and Change

Defining and understanding an organization’s culture is paramount to leadership success and the ability to bring about change. The need to define an organization’s culture is best expressed by Mintzberg’s statement, “There are times when we need to caricature, or stereotype, reality in order to sharpen differences and so to better understand it” as written by Dauphinais and Price (p.183). This insight helps to determine when resistance to change is valid based on the prevailing culture and when culture is used as a scapegoat for inertia, shortcomings, and the cause of problems.

Organizational culture is a very powerful entity and is the primary tool used by long-term chief executive officers (CEOs) to bring about change. In fact, a cultural change will not occur unless the CEO endorses it. However, CEO endorsement alone will not bring about a change if the change is not a good fit with the organization’s environment – in other words, it must be in sync with the organization’s strategies (Goodes, 1998, pp. 190-192). While the CEO triggers

culture change in a top-down manner, employees from the bottom-up achieve it. As noted by Goodes, “Enduring cultural change is created with practical tools such as measures, rewards, and carefully structured people practices.”

Finally, culture is living, dynamic and subject to change. If knowledge is power then bringing about a meaningful culture change requires:

- understanding an organization’s existing culture
- having a deep and sensitive understanding of the ways in which individuals interact with the organization’s culture to help enable them to adapt to change
- knowing how to use performance measures and rewards to change the existing culture
- having the courage, focus and resolve to bring about lasting change, and
- being consistent and persistent in communicating core values, vision, mission, and goals while constructively addressing concerns and opposition to change.

ORGANIZATIONAL CHANGE

It has been said that changing a college is a lot like moving a cemetery – you don’t get a lot of help from the residents. O’Banion, 1997, p. 28

The implementation of a new faculty evaluation system in the spring 2002 was anticipated to bring significant change to the college district investigated in this study. Part of this implementation requires training for faculty supervisors who identified their training needs at the November 2001 retreat. Unbeknownst to all the participants in the study (including the researcher), in late February the Chancellor announced a district wide reorganization whereby all 26 instructional associate dean

positions were to be eliminated over the summer and replaced by fewer (16) instructional dean positions. Obviously, change theory is an important aspect of this study. This section reviews theories of organizational change, including expected issues, and change forces and behaviors in higher education.

Organizational Change Theories

Johns (1996) notes, “by definition, change involves a sequence of organizational events or a psychological process that occurs over time” (p. 564). As such, organizations go through change all of the time. This observation led Baldrige and Deal (1983) to declare: “Good organizational change theory is simply good organizational theory; good organizational change management practices are simply good management” (p. 4). According to the distinguished psychologist Kurt Lewin (1951), change involves undergoing a sequence of three basic stages – unfreezing, changing, and refreezing. While Johns defines and explains these stages, Schein (1992) expands them in his cultural change model. The definition of the stages with Schein’s extension are noted below.

- Unfreezing occurs when recognition exists that some current state of affairs is unsatisfactory. This might involve the realization that the present structure, task design, or technology is ineffective or that member skills or attitudes are inappropriate. Schein expanded on this concept by noting that three processes occur before unfreezing takes place. First there has to be enough disconfirming data to cause serious discomfort. Next, anxiety and/or guilt occurs over the disconnect realized between the disconfirming

data and the goals. Finally, psychological safety must be attained in order to move ahead without risking a loss of one's identity or integrity.

- Change occurs when some program or plan is implemented to move the organization and/or its members to a more satisfactory state. According to Schein, cognitive redefinition must occur or the change in behavior will not last, even if coerced. Cognitive redefinition usually involves either new learning as a result of trial and error or projection to a desirable role model.
- Refreezing is the condition that exists when newly developed behaviors, attitudes, or structures become an enduring part of the organization. Again Schein emphasizes the importance of reinforcement to confirm the acceptance of the cognitive change.

Huber and Glick (1993) claim that there are only two energizing forces capable of bringing about organizational change – top managers and the organization's environment. Top managers influence organizational change in the following four ways:

- through their values, ideologies, and belief systems. Their beliefs determine organizational strategies, structures, and cultures they prefer and seek to create.
- by serving as inhibitors of change.
- by acting as interpreters of the organization's environment, and
- by manipulating the organization's environment.

All of these have implications for implementing and establishing on-going faculty evaluations of performance that have value to both faculty and their supervisors.

The root cause of environmental change is increasing available knowledge. This is primarily due to the increasing effectiveness of information technology – both in communications and computing. As a result, we are experiencing more environmental complexity and turbulence which will only increase further. In other words, today’s turbulent times are not a transition to an era, they are the new era. The implications for top managers are more frequent and more rapid decision-making and implementation. While managers need continuous information that is more wide-ranging, information must become more directed in order to prevent overload. Organizational learning will become more managed.

Organizational behaviorists are quick to point out that inherent in the change process are “issues that represent problems that must be overcome if the process is to be effective. These issues include diagnosis, resistance, evaluation, and institutionalization” (Johns, p. 566). Of these, resistance, by definition, is often the most challenging of the issues.

Resistance is defined as “the overt or covert failure by organizational members to support a change effort” (Johns, p. 568). While several researchers list multiple reasons for resistance, Miles (1997, p. 72) notes that Trice and Beyer (1993) provide one of the most “comprehensive listings of common sources of resistance to change that occur at individual and group levels:

Sources of resistance at the individual level

1. **Fear of the unknown.** Some people fear the unfamiliar. Even if the familiar has limitations, it is comfortable in that it is knowable. Change is likely to create new and unfamiliar uncertainties.
2. **Self-interest.** Changes threaten people's self-interests because they get practical advantages, such as salary, bonuses, status or power from the status quo, which may be threatened by change.
3. **Selective attention and retention.** People have difficulty recognizing and responding to ideas that do not fit their present ideologies. Consciously or unconsciously they may delete inconsistent ideas or forget those that do not fit into present sets of meaning.
4. **Habit.** Accustomed ways of doing often become norms or cultural forms. In addition, changing habitualized ways of thinking and acting is hard work and is often avoided or resisted.
5. **Dependence.** Social factors such as concern for ostracism may make individuals reluctant to support change efforts until they see others doing so.
6. **Need for security.** Some people have greater needs for constancy and safety in known ways of thinking and acting. Others resent external attempts to change their beliefs and behaviors.

Sources of resistance at the organizational or group level

1. **Threats to power and influence.** Organizational change may alter existing webs of interdependencies and threaten a group's or organization's power.
2. **Lack of trust.** Change may be resisted in organizations with histories of mistrust of leadership or of intergroup rivalry.
3. **Differential perceptions and goals.** Organizational subgroups often differ in their reactions to change initiatives, making pervasive organizational change difficult. Communication barriers and divisional isolation in more complex organizations often magnify differences and hamper efforts for change.
4. **Social disruption.** Expectations of disruptions to valued social relations in the work organization may lead to resistance to change.
5. **Resource limitations.** Inadequate resources to support the cultural costs (e.g., commitment, leadership skills) and economic costs (e.g., training, facilities) of change may lead to resistance.
6. **Fixed investments.** Established facilities and equipment may hamper change in terms of obvious economic cost of relocation or

remodeling, as well as in less visible cultural costs associated with major changes in location or processes.

7. **Interorganizational agreements.** Perhaps the most subtle barrier to change is the perceived effect that change in an organization will have on various groups in the environment – customers, suppliers, regulating agencies. If external stakeholders perceive intraorganizational changes will affect them adversely, they may exert pressure to resist the change” (Trice & Beyer, 1993, pp. 402-404).

Changes in Higher Education

Until the last twenty years, change in higher education has been slow and incremental, but continuous. Since then, many factors have combined to propel us into permanent whitewater. The major factors effectuating changes to occur in higher education are: the increasing effectiveness of information technology (fueled by increases in available knowledge); the assessment-as-accountability movement (fueled by limited resources and higher expectations); the emergence of competitors from the for-profit institutions and industries; and the increasing diversity of students entering higher education – many of whom challenge status quo.

Almost two decades ago Drucker (1983, p. 132) preached, “Without major changes in policy, college and university professors are likely to become an endangered species in the decades ahead.” Drucker then explained the three areas that needed to be radically overhauled. These were: 1) to develop an effective substitute for self-defeating tenure policy, 2) to devise and implement systemic personnel development programs, and 3) to practice an organized placement of

middle-aged, average professors in work and careers outside the academe. Drucker's rationale on why college faculty need organized personnel development were:

- To be prepared for the growth in continuing education and community colleges as the knowledge movement gears into full swing
- Because they do not know how to teach adults
- Because it is standard practice in all other areas of employment in the knowledge industries
- To repot [replant root bound] burned out or bored middle-age professors

CHAPTER SUMMARY

May you live in interesting times.

Ancient Chinese curse

Interesting – a word we often use to signal an uncertain mix of danger and opportunity. If we wish to enjoy more of the opportunity and less of the risk we need to understand the changes better. Those who know why changes come waste less effort in protecting themselves or in fighting the inevitable. Those who realize where changes are heading are better able to use those changes to their own advantage.

Handy, *The Age of Unreason*, 1991:4

Interesting times are here, and more interesting times are coming.

Huber and Glick, *Organizational Change and Redesign*, 1993:7

A comprehensive review of the literature indicates that supervisors are rarely trained how to judge and improve the work of others. Yet, all supervisors are expected to evaluate the performance of their employees and attain a certain level of productivity in the areas they supervise. Even though there is little published evidence to suggest that faculty supervisors have the knowledge, skills, and support resources needed to assess and help faculty in their professional development, faculty evaluations are taking place. Even so, reports indicate that neither faculty nor their

supervisors value the current practice, both often dreading getting and giving performance reviews. While the issues are complex, it seems that an unanticipated consequence of teacher evaluation from over-burdened supervisors has resulted in equating completing the evaluation instrument with improving instruction. This practice reflects the obvious disconnect between faculty, supervisors, and appraisal policies.

The consequence of perpetuating ineffective performance appraisals is serious and multi-faceted. At best, it wastes valuable and limited resources at a time when all higher education stakeholders expect greater institutional and individual accountability for student success. At worst, it devalues teaching effectiveness and student learning. With many reform efforts focusing on higher education to improve student learning, providing faculty supervisors with resources and training for how to assess and improve faculty performance should be at the forefront of the agenda for every educational institution.

Conversely, a well-designed and implemented performance appraisal system has the potential to bring about cultural changes that improve student success. An effective faculty performance appraisal system must accomplish the following: a) tie faculty performance to professional development with rewards and consequences for improvement/non-improvement; b) address, recognize and promote teaching effectiveness based on current research on how people learn; and c) provide faculty

supervisors with the resources and training to assess current faculty performance to help improve future performance.

CHAPTER THREE METHODOLOGY

Qualitative inquiry cultivates the most useful of all human capacities – the capacity to learn from others. From Halcolm's Evaluation Laws

This qualitative case study employs a grounded theory methodology. The study provides a rich accounting of administrator training needs for conducting faculty performance assessments in a community college system from the perspectives of the administrative faculty supervisors and the faculty they assess. Data sources utilized are faculty supervisor pre and post training focus groups, faculty focus group, and open-ended evaluation questionnaires. Utilizing the qualitative interactive analysis design of Northcutt and Miles (1998); and Northcutt and McCoy (2001, unpublished), both faculty and their faculty supervisor focus groups identified supervisor training needs to assess faculty performance as well as the interrelationships between these needs. This process provides participant-generated data that is examined in the contexts of motivation, organizational culture, and organizational change. The design of this study seeks to address the following research questions:

1. How is a faculty supervisor training program for assessment of faculty performance developed and implemented in a community college district?
 - A. How was NHMCCD/Kingwood College's supervisor training program designed?

- B. What steps and processes were used to implement and manage the training program
2. How does the organizational culture(s) of a community college facilitate or impede the development and implementation of a faculty supervisor training program on the assessment of faculty performance?
- A. What are the shared values, beliefs, or assumptions characterizing the culture of NHMCCD and Kingwood College that relate to the supervisor training program?
 - B. What cultural barriers and support factors exist within the organization for the training program?
 - C. Do subcultural differences in values, beliefs, or assumptions exist among the different groups within the district or college? If so, how do they differ?
3. What do community college faculty supervisors perceive to be: a) significant factors contributing to the success or failure in the development of a supervisor training program on the assessment of faculty performance; b) the outcomes of the initial implementation of the supervisor training program on the assessment of faculty performance; and c) the long-term outcomes for the college?

The basis for utilizing this methodology is explained in the following sections:
(a) rationale for methodology; (b) study design; (c) data collection; (d) data analysis;
(e) standards for research and (f) methodological limitations.

RATIONALE FOR METHODOLOGY

Strauss and Corbin (1998, p. 3) define methodology as “a way of thinking about and studying social reality.” Patton (1990, p. 39) advocates for pragmatism in choosing an appropriate methodology “given the purpose of the inquiry, the questions being investigated, and the resources available.” Considering these aspects, grounded theory using qualitative evaluation is the methodology chosen for this case study, whereby a) data will be systematically gathered through the use of an interactive qualitative analysis (IQA) and b) analyzed through the use of an interrelationship diagram (IRD) within the context of a naturalistic inquiry. In defending this rationale, grounded theory, qualitative evaluation, IQA - IRD, case study, and naturalistic inquiry will be described first. These definitions will then be used to delineate methodological appropriateness “given the purpose of the inquiry, the questions being investigated, and the resources available.”

Grounded Theory

Grounded theory is the appropriate methodological choice since no theories exist for faculty evaluation (Rifkin, 1995) or evaluation of teaching (Centra, 1993). Therefore, in this topic of study, theory can be built from data gathered and analyzed through research. Strauss and Corbin (1998, p. 33) further explain that by using the emergence approach to theory building, “the researcher will not be able to enter into

the project with a set of pre-established concepts or with a well structured design. Rather, the design, like the concepts, must be allowed to emerge during the research process. As concepts and relationships emerge from data through qualitative analysis, the researcher can use that information to decide where and how to go about gathering additional data that will further evolution of the theory.”

In phase one of this study participants were asked to identify and cluster their experiences with faculty evaluations. Faculty were asked to recall their experiences of being evaluated. Faculty supervisors were asked to recall their experiences evaluating faculty. Participants were asked to determine how their written thoughts and feelings could be clustered into topics or affinities and how they relate to each other. The emergence of this data determined major concerns/desires to guide the kind of training provided in phase two of the study.

The historical background on how grounded theory was developed by Barney Glaser and Anselm Strauss offers further relevance to explaining the rationale for using a grounded theory methodology. As noted by Strauss and Corbin (1998, pp. 9 - 10):

Glaser especially saw the need for making comparisons between data to identify, develop, and relate concepts.[...] Strauss’ contribution to the development of this method were (a) the need to get out into the field to discover what is really going on; (b) the relevance of theory, grounded in data, to the development of a discipline and as a basis for social action; (c) the complexity and variability of phenomena and of human action; (d) the belief that persons are actors who take an active role in responding to problematic situations; (e) the realization that persons act on the basis of meaning; (f) the understanding that meaning is defined and redefined through interaction; (g) a sensitivity

to the evolving and unfolding nature of events (process); and (h) an awareness of the interrelationships among conditions (structure), action (process), and consequences.

Qualitative Evaluation

Qualitative evaluation is the method of choice since it allows the investigator to study selected issues in depth and detail and “can be used to explore substantive areas about which little is known or about which much is known to gain novel understandings” (Strauss & Corbin, 1998, p. 11).

Interactive Qualitative Analysis & Interrelationship Diagram

IQA - IRD is a research method that both produces and analyzes qualitative data. While this method was originally developed by Norvell Northcutt, Ph.D., (professor of research methods at The University of Texas at Austin and the author’s research advisor), it was further advanced by Northcutt, Miles, et.al. (1998) followed by Northcutt and McCoy (unpublished 2001). IQA - IRD is distinguished from traditional qualitative research in that the participants are involved in the analysis and interpretation of the data, not just the primary investigator. As explained by Miles (1997, p. 85): “IQA provides structured opportunities for groups of participants involved with a given topic of study to collaborate with the primary researcher in data analysis activities concerning that topic. Using conceptual processing tools originally designed for strategic management and planning, this research approach takes a group of participants through a cycle of inductive and deductive analysis activities to

generate a rich theoretical understanding of a research topic from the worldview of those experiencing the phenomenon.”

This method uses focus groups to inductively (through brainstorming) define the common topics or themes of the question and then to deductively define their range of meaning to establish the dimensions (called affinities) of the issue. The participants then collaborate to systematically explore the relationships among the affinities to produce a comprehensive picture of the entire system (Northcutt, Miles, et.al, 1998 and Northcutt and McCoy, unpublished).

At the April 2001 meeting of the NHMCCD District Instructional Council (DIC), I asked if the faculty supervisors would be interested in participating in this proposed project to help identify their training needs for conducting evaluations. The majority of them affirmed their interest to be active participants in this collaborative project. I approached the same group again in October 2001, whereby they reaffirmed their interest and also wanted to ask one volunteer faculty member from their division to help with this initiative.

Case Study

The researcher prefers to use a case study reporting mode for several reasons. First, it is suited to the purpose of the study. Its suitability is adequately described by Lincoln and Guba (1985, p. 41) “because it is more adapted to a description of the multiple realities encountered at any given site: because it is adaptable to demonstrating the investigator’s interaction with the site and consequent biases that

may result; because it provides the basis for both individual naturalistic generalizations and transferability to other sites; because it is suited to demonstrating the variety of mutually shaping influences present; and because it can picture the value positions of investigator, substantive theory, methodological paradigm, and local contextual values.” Second, it is of personal and professional interest to the researcher, having been both a faculty member evaluated by an untrained supervisor and an untrained faculty supervisor evaluating others. Third, using the researcher’s place of employment can benefit the institution by providing relevant pertinent information. Lastly, the use of a case study is timely and convenient for both the researcher and the employment institution.

Naturalistic Inquiry (phenomenological paradigm):

Patton (1990, p. 41) attributes Egon Guba with defining naturalistic inquiry as a “discovery-oriented” approach, but further explains, “that [it] minimizes investigator manipulation of the study setting and places no prior constraints on what the outcomes of the research will be.” Lincoln and Guba (1985, p. 15) use the words worldview and paradigm as synonyms for “what we think about the world [as] a systematic set of beliefs and their accompanying methods.” The naturalistic (postpositivist) paradigm axioms are: the nature of the reality (ontology) which supports “realities are multiple, constructed and holistic; the relationship of the knower to the known (epistemology) which are interactive and inseparable; that only time and context bound working hypotheses are possible for generalization; that all

entities are in a state of mutual simultaneous shaping, so that it is impossible to distinguish causes from effects in casual linkages; and that inquiry is value-bound.” Patton (1990, p. 37) refers to this paradigm as a “phenomenological inquiry, using qualitative and naturalistic approaches to inductively and holistically understand human experience in context-specific settings.” Since this case study examines supervisor training for evaluating the work of others, all of the above axioms of a naturalistic paradigm are applicable.

Using the naturalistic paradigm for doing research is aided by Lincoln and Guba’s fourteen characteristics of operational naturalistic inquiry (1985, pp. 39-42). These characteristics are justified by “their logical dependence on the axioms that undergrid the paradigm and by their coherence and interdependence.” While a listing of these characteristics is provided below, many have already been incorporated into this section as aspects or descriptors used in explaining the methodology chosen. The fourteen characteristics are:

1. Natural setting
2. Human instrument
3. Utilization of tacit knowledge
4. Qualitative methods
5. Purposive sampling
6. Inductive data analysis
7. Grounded theory
8. Emergent design
9. Negotiated outcomes
10. Case study reporting mode
11. Idiographic interpretation
12. Tentative application
13. Focus-determined boundaries
14. Special criteria for trustworthiness (pp. 39-42).

Purpose of the Inquiry

Building theory is not the only goal of this study. As applied research, this study seeks to inform action and enhance decision making by supervisors conducting employee performance evaluations. More specifically, the purpose of this inquiry is to discover a basis for making faculty evaluations more meaningful to both faculty and their supervisors. Therefore, most of the 14 characteristics of a naturalistic inquiry noted above apply to this investigation.

Questions Being Investigated

The research questions of this study developed from an intense interest of the researcher having been intimately involved in many aspects of faculty evaluation. As a long-term employee of the college district that is the site of this case study, I have served as a full-time faculty member for eight years, a direct faculty supervisor for four and a half years, and as an academic vice president for six years. I have first hand experience and knowledge of past and present evaluative processes. In addition, I was asked to chair a district wide taskforce charged by the Chancellor to recommend revisions to the current faculty evaluation system. The importance of training faculty supervisors how to conduct productive faculty performance reviews kept emerging as a major issue needing to be addressed.

With the implementation of the new faculty evaluation system, training supervisors becomes critical and timely. Since most faculty supervisors have already affirmed a need to become better versed in performing faculty evaluations, an IQA -

IRD involving them as active participants in collaborative data analysis is most appropriate.

Resources Available

The resources needed for this study are either inherent in the college-district or were made available. The timeliness of this study guarantees participants for both faculty and faculty supervisor focus groups. Both the Chancellor and the Kingwood College President granted support for ensuring that training for the project is provided. Finally, as an employee and as a doctoral student conducting this research, my labor efforts are assured.

STUDY DESIGN

The researcher admits to being influenced by several of Patton's (1990, pp. 150 - 197) dominant themes of inquiry – pragmatism, increased options, and appropriate choices – more than by his design issues and options described.

The purpose of the study should determine the design, measurement analysis and reporting (Patton, 1990, p. 160). This case study is designed to help make faculty evaluations more meaningful by training supervisors how to conduct effective evaluations of performance. This study has multiple purposes partially described by applied research, summative evaluation, formative evaluation, and action research. As applied research, the study has potential to contribute knowledge to understanding what makes performance evaluations valued by those giving and receiving them. As a summative evaluation, the study has potential to determine effectiveness of human

interventions through appropriate and effective training for faculty supervisors. As a formative evaluation, the study has potential to improve existing supervisor training programs. As action research, the study has the potential to solve the problem of inadequate supervisor training for conducting faculty evaluations at NHMCCD – Kingwood College.

While most of the study design components are mentioned below, the unit of analysis, instrumentation, sampling, research plan, and timelines will follow with greater description. This qualitative case study utilizes an inductive methodology in the grounded theory tradition. Multiple sources of qualitative data are used in the analysis, which include both faculty and supervisor focus groups, open-ended evaluation questionnaires, and a follow-up focus group interview. An Interactive Qualitative Analysis/Interrelationship Diagraph (IQA/IRD) method provides the primary means to gather and analyze data through participant focus groups. Participant observation occurs over the course of this one-year project.

Unit of Analysis

While the need for training faculty supervisors how to conduct meaningful and effective faculty evaluations has always existed at the NHMCCD, it gained high visibility as the district implemented a new faculty evaluation system during spring 2002. Therefore, in following the criterion of usefulness (Patton, 1990), the unit of analysis chosen for this case study is the NHMCCD/Kingwood College faculty supervisors.

Twenty one faculty supervisors from four colleges participated in the initial focus group IQA in phase I. They were predominately Caucasian, 76% female, and had been in their positions for an average of 4.9 years. Due to the district reorganization, the scope of the study narrowed to conclude with only the four Kingwood College faculty supervisors. As mentioned earlier, three were female. The only male is currently serving as the interim associate dean.

Instrumentation

“In qualitative inquiry the researcher is the instrument. Validity therefore hinges to a great extent on the skill, competence, and rigor of the person doing fieldwork,” noted Patton (1990, p. 14). The qualitative researcher’s adherence to particular characteristics is paramount to the credibility of the study. Additionally, “the task for the qualitative researcher is to provide a framework within which people can respond in a way that represents accurately and thoroughly their points of views about the world, or that part of the world about which they are talking [...] Furthermore, the researcher’s direct participation in and observation of the phenomenon of interest may be the best of all types of research strategies” (Patton, pp. 24 – 25).

My intense interest in this study and unique experiences at the case study site provide both advantages and reason for caution. As a former faculty member and faculty supervisor, I know the issues on a personal level. I also chaired the taskforce charged with developing a new evaluation system, albeit the modified abbreviated

version was approved for a January 2002 implementation. While this allows me great insight, I recognize my own bias and reactivity towards the topic and even some of the participants. As a subjective researcher, I will constantly strive to be reflective on my attempts to be objective. As an academic vice president supervising associate deans, who in turn supervise faculty, I am in a delicate role, ever cognizant of my influence on some of the primary participants of the study.

Since I cannot deny any of these forms of subjectivity (bias, reactivity, and going native), my validity as the chief investigator must rely on using a combination of methodologies to strengthen the study design and on standards of research.

Sampling

Patton wisely states that, “the sampling strategy must be selected to fit the purpose of the study, the resources available, the questions being asked, and the constraints being faced” (p. 181). The purpose of the study is to help make faculty evaluations more meaningful by identifying faculty supervisor training needs and then training them on how to conduct effective performance evaluations. This case study starts with a district wide perspective at NHMCCD, whereby there are approximately 35 faculty supervisors among the four college participants. Twenty six of these supervise teaching faculty. The rest supervise librarians and counselors on faculty contracts. This population fits maximum variation sampling in that all faculty supervisors were invited to participate. There are great variations between participants in terms of experience, prior knowledge or training on conducting faculty

evaluations, disciplines supervised, and college cultures. The same may be said of another set of participants – faculty whose only selection criteria by their supervisors was their willingness to participate in the study through an Interactive Qualitative Analysis/Interrelationship Diagram process.

Research Plan and Timelines

The methodology involved the following steps and timelines:

1. **Phase I Data Collection & Analysis** November 26, 2001
 - A. Two separate focus groups were convened to generate data and analysis through an IQA-IRD process. Group one consisted of associate deans as the faculty supervisors. Group two consisted of faculty chosen by their associate deans. Many of the faculty members were supposed to be assessed during the spring 2002 by the supervisors in group one. (The reorganization impacted the number of faculty who were to be evaluated by supervisors whose positions were changing to faculty status during the summer.) Each group was asked to describe and define their experience with faculty assessment. Faculty were asked to reflect on their thoughts of being evaluated while faculty supervisors were asked to reflect on their thoughts of evaluating faculty. Information was gathered through inductive emergent coding (brainstorming activities). An affinity diagram was created through deductive axial coding by asking the participants to identify the affinities and subaffinities. Then, each focus group was asked

to determine the relationship between the affinities through the IRD process. These topics and their relationships were used to target specific training needs.

- B. IRDs from the two focus groups were compared to prioritize training needs.
- C. Focus groups were asked to identify individuals within the organization who can provide internal expertise for training on any of the affinities.
- D. Observations in the research setting were made.

2. **Phase II Training & Data Collection** November-April 2002

Training was conducted for faculty supervisors on areas identified and prioritized by the focus groups. Data collection consisted of having each faculty supervisor participant respond to an open-ended questionnaire to evaluate the effectiveness of various training activities. The table below depicts the various training sessions held.

Faculty Supervisor Training Sessions

Date	Activity	Data Collected
November 26	District Focus Group Retreat	Yes
February 12	Portfolio Development & Assessment	Yes
March 19	Training Session with Faculty Supervisors – New Model, <i>Manager’s Coaching Handbook</i> , & Role Playing	Yes
March 27	Eval Documentation on ADA/Legal	No
April 4	Explanations to Faculty on Process & Forms	No

Table 3.1

3. **Analyze Data from Training Evaluations** May-July 2002

Many sources were used to identify and compare emerging themes.

4. **Phase III Data Collection & Analysis** June 2002

Kingwood College faculty supervisors who participated in the previous phases and conducted subsequent faculty evaluations during the April-May timeline were convened as a focus group. They were asked them to reflect on the effectiveness of the training provided.

5. **Final Data Analysis & Evaluation of Findings** June - August 2002

Analyze interactive focus groups findings and training evaluations; analyze (triangulate) comparative data including documents and records for congruencies and non-congruencies.

This case study design practiced a pure qualitative strategy through naturalistic inquiry, qualitative data collection, and content analysis.

DATA COLLECTION

Data collection was through the use of multiple qualitative sources. During the three phases of this study, data was obtained through the following means:

- Three separate focus groups. Two groups participated in the IQA /IRD exercises and one was the final focus group interview. The November 26 retreat involved two separate focus groups. There were 47 participants of which 21 were faculty and 26 were faculty supervisors. The final focus group consisted of the four Kingwood College faculty supervisors.
- Three separate questionnaires were administrated (See Appendices C, J, and L). They consisted of both Likert scale response questions and open-

ended questions. The total respondents were 41, 25, and 4 to the corresponding activities held on November 26, February 12, and March 19.

- Observations occurred at numerous meetings, focus group sessions, training sessions, and the final interviews over a one year period.
- Documents and records relating to the district and college culture pertinent to the study were collected and analyzed.

Data collection using each of these methods is detailed below.

Focus Groups

Permission to use data collected from participants was obtained prior to starting the focus group sessions. All participants were volunteers. Phase one of the study (November 26 retreat) involved two separate focus groups – with group one consisting of faculty supervisors and group two consisting of faculty who were chosen by their supervisors. Both groups were asked to describe and define their experiences with faculty evaluations. The third focus group convened in June 2002 and consisted of Kingwood College participants from the November 26 retreat. These faculty supervisors participated in most or all of the training offered in phase two, evaluated their faculty, and were asked to reflect on the training provided in terms of changed behaviors and future expectations.

Focus groups: phase I

On November 26, 2001 a retreat was held for both the faculty and faculty supervisor focus groups at an off-campus site, Shirley Acres. The site was chosen by the researcher primarily because of its central location in the college district and the

availability of a large and aesthetically pleasing meeting room to accommodate the group at-large and the two focus groups separately to accomplish the activities planned for the day. Other reasons included catered food services, microphone set up, and outlets for a laptop computer and a power point projector.

The large meeting room was set up to accommodate the joint and separate activities planned. Two opposite ends of the room were set up with tables/chairs arranged in a U shape for each focus group to conduct their separate brainstorming and affinity clustering tasks. The middle of the room contained round tables/chairs set up for joint activities, which included eating and the opening overview presentation as well as the summary discussions.

A total of 25 faculty supervisors, one academic vice president, and 21 faculty volunteered and participated in the activities planned for the day. All participants are employed at one of the four colleges in the district. All participants were asked to respond to a questionnaire to obtain demographic information and insights to their college cultures and prior experiences with faculty evaluation at NHMCCD.

The decision to have the two separate focus groups meet on the same day in the same setting was made for several reasons. The most important reason was to provide the opportunity for collaborative group comment and discussion about their evaluation experiences and ways to make faculty evaluations more meaningful to both parties. Other important reasons were time and costs. Since the end of the academic semester was fast approaching, both groups needed to meet no later than the

end of November. At the October meeting of the District Instructional Council (faculty supervisors group), members were given six dates to consider for the retreat. The members present chose November 26, the Monday after Thanksgiving. The cost factor for facility rental made it more attractive to have a one time event in a large enough room so that both separate and joint activities could be fulfilled.

Another factor in deciding to conduct both focus groups simultaneously was the opportunity to obtain an outside facilitator for the faculty focus group. The strategy for using an outside facilitator, as opposed to using a district administrator, had objective merit. The faculty facilitator must be perceived as neutral. Fortunately, an expert in the IQA-IRD research methodology, Mr. McCoy, M.S., agreed to assist with the focus group retreat. Mr. McCoy, a University of Texas doctoral student, is currently a teaching assistant for and co-author with Dr. Northcutt on IQA-IRD.

Participation in this event was by invitation (email) to all faculty supervisors and their academic vice presidents. Once faculty supervisors indicated who their volunteer faculty were, they were sent a tentative agenda and map with directions on how to get to the retreat. The response was overwhelming. Out of about 35 supervisors of full-time faculty, 25 participated in the retreat. Their solicitation for faculty volunteers produced 21 faculty participants.

The researcher started the retreat with an overview of the agenda items, timelines, and activities. The overview noted the four-fold purpose of the retreat. These were addressed in the activities of the day and are briefly described below.

1. First was to review the components of the new faculty assessment model to be implemented in January 2002.
2. Second was to briefly share some of the latest research findings to frame the issues surrounding faculty evaluations and supervisor training. Framing the issues included: noting the complexity and lack of consensus on what is important to evaluate; examining teaching effectiveness; recognizing the potential power of performance assessments; summarizing major characteristics of good assessment models; acknowledging known obstacles to establishing successful evaluation programs; examining major causes for not valuing evaluations and; re-emphasizing what an effective faculty performance appraisal system must do.
3. Third was to gather input from participants about their experiences with the faculty assessment process. Co-facilitator Mr. McCoy led the guided imagery exercise. At this point, faculty and faculty supervisors (mostly associate deans, but also included several directors and one academic vice president) were separated into their respective focus groups. Faculty were asked to brainstorm their ideas/thoughts about being evaluated. Mr. McCoy facilitated the faculty focus group. Associate deans were asked to brainstorm their ideas/thoughts about evaluating faculty. The researcher facilitated this group. Each group individually and then collectively clustered all of their group ideas into topics or affinities. The affinities represented categories of meaning. The meanings could be both positive and negative aspects, but they were grouped

according to an overall affinity topic. Next, participants were asked to individually determine the relationship between each of the affinity topics. The relationship was either 1 influences 2, 2 influences 1, or no relationship exists between the two affinities. Afterwards, all individual determinations of affinity relationships were tallied to give the group's determination of relationships between affinities. These group relationships represented their mental model of their experiences with faculty assessments. Facilitator Danny McCoy used Inspiration software to depict the mental map of each group allowing comparisons to be made between the two focus groups.

4. Fourth was to identify areas of concern that need addressing (some by way of training initiatives) in order to help establish an evaluation process that has meaning for both faculty and supervisors.

Focus groups: phase III

Participants for this focus group consisted of a subset of participants from the phase I faculty supervisor focus group – Kingwood College associate deans - who participated in all or almost all of the training sessions conducted during phase II. Three of the four associate deans convened for a half-day focus group interview on June 10, 2002. The interview took place in the college boardroom and lasted over two hours. The fourth associate dean, who was out of town on June 10, was interviewed separately in her home on June 17. Her interview lasted approximately 45 minutes. During both of the interview sessions, the associate deans were asked to reflect /give opinions on the following questions:

- Given all of the changes that have happened since the last evaluations (a year ago), how are things the same and how are they different (as applied to assessing faculty performance)?
- What impact did these experiences (formal training sessions and other) have (on you, your faculty, the college)?
- What do you perceive to be the significant factors contributing to the success /failure in the development of a training program to assess faculty performance?
- What do you perceive to be the long-term outcomes of this experience?
- Both interview sessions were audio taped and later transcribed by a neutral third party.

Questionnaires

Three separate questionnaires were administered during the study. The first was given at the end of the November 26 retreat. Out of 21 total faculty participants, 20 responded to the questionnaire. Out of the 23-26 faculty supervisor participants (some arrived late and others left early), 21 responded to the questionnaire. This initial questionnaire helped establish a baseline for data analysis. Demographic questions were asked as well as questions on college culture and beliefs about the greatest challenges and needs for making performance evaluations meaningful.

The second questionnaire was given to all participants of the February 12 portfolio training session. There were 33 participants of whom 25 responded to the questionnaire. They answered nine Likert scale questions and one open ended one specific to the training session. They were also asked to indicate future training topics they would find valuable. In addition, five demographic questions were asked.

The third questionnaire was administered to the four Kingwood College associate deans who attended the March 19 training session. Three participants e-mailed in their questionnaire responses. The fourth responded via the telephone. The questionnaire consisted of five Likert scale and two open ended questions regarding the training session. Another question was asked about future training needs.

Observations

As both the researcher and lead facilitator for parts of this project, I have had ample opportunity for participant observations. My interest in this project started with my participation, first as a member and then as the chair, of the district wide Faculty Assessment Taskforce. As the taskforce was developing a new faculty performance assessment model recommendation, the need for supervisor training as an essential model component became obvious to them. When the new assessment model was adopted in the fall 2001 for a spring implementation, I was in an opportune position to gather information on training needs for faculty supervisors. In this role I met with numerous groups and individuals including the District Instructional Council (faculty supervisors), several vice chancellors given responsibilities for various aspects of this project, my college president, academic vice presidents from the sister colleges, my faculty supervisors, and faculty. Numerous formal and informal discussions relating to the project took place. Additionally, I

- Led and helped facilitate the November 26 retreat to kick off the project
- Arranged for and attended the portfolio training session

- Facilitated the coaching/role playing session with the Kingwood College associate deans
- Arranged for and attended the Americans with Disabilities Act training session focused on legal aspects regarding faculty evaluations
- Met with Kingwood College faculty and faculty supervisors to walk through the new evaluation instrument and process
- Facilitated the final focus group interviews.

As an academic vice president whose charge is to provide leadership for faculty and faculty supervisors, I live “in the field.” (Patton, 1990) Therefore, given my intimate involvement with this project and long term connections to many of the participants, triangulation of data is essential for credibility. My observational data will be compared to information gleaned from surveys, interview transcripts, and written documents.

Documents and Records

Numerous documents and records from many sources are used as appropriate to the study. In order to establish the culture/ climate district wide and at the college, both internal and external documents were viewed. These included reports from the fall 2000 THECB site visit, the spring 2001 SACS site visit, and the 2001 preliminary findings of professional development at NHMCCD developed by one of the district vice chancellors and another doctoral student. Document collection also included minutes from various meetings whereby the project was planned or discussed, email messages from many stakeholders regarding the project, my notes regarding the

subject, participant responses from the three separate questionnaires, and interview transcripts.

Data Management

Initially data management was facilitated by systematic collection of information using an activity code and participant number code. Activities were noted as belonging to phase I, II, or III (PI, PII, PIII), or pre-study (PS) and by activity dates. Participants were coded as faculty (F), faculty supervisors (AD), or by the initials of their title. Faculty supervisors were also coded according to the college they worked. Correspondence dates further detailed data management. All data was eventually sorted into the research question areas for the process perspective, the organizational culture perspective, and the participant perspective.

All survey responses and taped interviews were transcribed verbatim into a Microsoft Word document or Excel spreadsheet. Also, Inspiration software produced the group system influenced models.

DATA ANALYSIS

“Analysis is the interplay between researchers and data. It is both a science and an art” according to Strauss and Corbin (1998, p. 13). In qualitative research the “bulk of analysis is interpretative.” The interpretation and organization of data will occur through coding. Coding encompasses “conceptualizing and reducing data, elaborating categories in terms of their properties and dimensions, and relating [categories] through a series of prepositional statements” (pp. 11 - 12).

Interactive Qualitative Analysis

“IQA data collection/analysis techniques originated from Total Quality Management (TQM) processes designed to capture knowledge from organizational members to solve problems and improve processes. TQM is based upon the belief that the people who are closest to the job best understand what is wrong and how to fix it. Similarly, IQA data collection techniques assist group members in describing perception or a conceptual map (a collective one in the case of a focus group), which is a systems representation of how a person or a group understands a particular phenomenon. This system consists of categories of meaning called affinities and the perceived causal relationships among the affinities” (Northcutt and McCoy, unpublished chapter on Affinity Production, p. 2).

As noted by Northcutt, Miles, et.al. (1998, p. 3) Interactive Qualitative Analysis provides a method to answer the two broad questions sought in any research study which are (1) what are the dimensions of the issue or phenomenon (affinities) and (2) how do the dimensions (affinities) relate to each other? The IQA method accomplishes this through three kinds of analysis (coding) of textual data that are inherent in the three activities of silent brainstorming, affinity diagramming, and interrelationship diagramming which ultimately leads to the construction of a systems influenced model. Since IQA methodology was used in this study, the three activities and types of analysis are described below as they occurred in the first phase of the study.

First IQA activity: silent brainstorming/nominal group technique

Brainstorming answers the question, “what are the affinities.” This first phase of the IQA process produces inductive or emergent coding by asking participants to generate data (thoughts, feelings, reflections) about the issue under study. Performing

this exercise silently has several distinct advantages. Northcutt and McCoy (2001, unpublished chapter Affinity Production, p. 6) note the key advantages and issues with this technique.

“Advantages cited include:

- Minimizes group pressure to respond in an influenced, rather than authentic, manner.
- Provides introverts with private time to think and generate ideas in the group processes.
- Generates a large amount of data, as opposed to verbal brainstorming, which often causes a group to follow a single train of thought or conversation.

Issues include:

- Extroverts do not do their best thinking silently and might be frustrated by enforced silence.
- In some settings, people feel vulnerable without the cues that conversation provides.”

This phase started the morning of November 26. Prior to soliciting focus groups thoughts on evaluations, the stage was set to frame the issue. As the organizer and researcher for this one-day retreat, I started the morning session with a welcome and an inclusive process whereby ground rules were established. Next, I gave a 45 minute overview of the activities planned for the day which included a review of the components of the new assessment model the district would start using in January 2002 and a brief synopsis of the latest research findings to frame the issues surrounding faculty evaluations and supervisor training. Each participant was given a

folder that contained the following: an agenda; consent form; questionnaire; new assessment instruments for the comprehensive faculty assessment, classroom observation, and the student feedback questionnaire; the NHMCCD faculty assessment recommended timelines; two different examples of the full-time faculty workload information sheet; and the teaching faculty position description.

While participants were focused towards the center of the room for the overview presentation and summary, they were asked to think about how to make faculty evaluations more meaningful to both faculty and their supervisors. The challenge to improve the evaluation system began the transition to the IQA process. Co-facilitator Mr. McCoy led the group through a guided imagery exercise. The following script depicts how he prepared the participants to begin the silent nominal technique.

In a few minutes I'm going to ask you to tell me about your experiences with the faculty assessment process. To begin with, try to get as comfortable as you can. Close your eyes. Putting aside your thoughts of the day. Take a deep cleansing breath. Now imagine yourself in an evaluation session. If you are faculty, imagine being evaluated. If you are an associate dean (faculty supervisor), imagine evaluating faculty. Faculty - see yourself engaging in the activities of being evaluated. Associate deans - see yourself engaging in the activities of evaluating faculty. Notice your surroundings. Looking around you, take in the sights, the sounds that are associated with -as faculty – being evaluated and as associate deans – evaluating faculty. Allow yourself to become aware of your environment with all of your senses. Focus on what it feels like to be totally absorbed in the evaluation setting. Now tell me about faculty assessment. As faculty, reflect on the thoughts you had concerning being evaluated. As associate deans, reflect on the thoughts you had concerning evaluating faculty. Write these thoughts on the index cards. Write one thought per card. This can be a word, phrase, or picture.

Participants “quietly” moved to their respective focus group U shaped areas and started to jot their thoughts on cards. Each participant was given 25 index cards (5” by 8” size) and asked to write in big print so that the group could see the words when the cards were posted on the wall. As participants finished, their cards were posted on a nearby wall. The two separate focus groups were far enough apart in the room that they could not see the other groups’ cards or hear their subsequent discussions. Activity slowed to a stop after about fifteen minutes.

Second IQA activity: affinity diagramming

Affinity diagramming completes the answer to the question, “what are the affinities” (Northcutt, Miles, et.al., 1998, p. 4). During this phase, deductive or axial coding takes place with naming, reorganizing, clarifying, and refining the categories of meaning into affinities.

After all the index data cards were posted on the wall, the facilitator (each working with their respective group) read each card to the group to seek clarification of meaning. Each group audio taped this portion of the activity for future transcription. (Unfortunately, due to soft voices and a large room, most of the tapes were inaudible.) The facilitator explained that while data was written on the cards as an individual activity, the thought now belonged to the whole group. As stated by Northcutt and McCoy (unpublished Affinity Production Chapter, 2001, p. 7) the purpose of clarifying “is to arrive at a socially constructed, shared meaning of each card among members of the group.” This also reduces “any vagueness or ambiguity

associated with the meaning of the words or phrases on the cards.” Even though some presorting of cards into common areas started to occur with this activity, focus group participants were next asked to individually start grouping the cards according to topics or categories of meaning. While they started this activity as individuals, they soon formed several small groups discussing, aligning, and realigning the cards. This activity took place over about 15 minutes.

The facilitator reviewed the categories with all participants until consensus was established on both the naming of a category of meaning as an affinity and on the cards placed therein. The affinities were numbered according to their name in an alphabetical order. Interestingly, each separate focus group produced eight affinities, four of which had same or similar affinity names.

Third IQA activity: interrelationship diagram

The third activity answers the question of how do the affinities relate to each other. This is achieved through theoretical coding “ascertaining the perceived cause and effect relationships among all the affinities in a system” (Northcutt and McCoy, 2001 unpublished chapter on Representing the System, p. 4). “Theoretical coding of the affinities will produce and IRD” (p. 7).

Each focus group facilitator gave their participants an affinity relationship table (ART, which is a matrix containing all the perceived relationships between the eight affinities) and asked to determine one of three possible relationships between any two affinities. For example in determining the relationship between affinity #1

and affinity #2, either 1 influences 2, or 2 influences 1, or no apparent relationship exists between 1 and 2. To help determine the affinity pair relationship, the ART (Appendix D.) contained a space for participants to write out if/then (cause and effect) statements. This activity took at least 20 minutes.

In order to produce a focus group IRD, the facilitator asked the participants, one affinity pair at a time, to show by raised hand how many thought that affinity #1 influenced affinity #2, affinity # 2 influenced affinity #1 and so on until every possible relationship between the eight affinities were covered. These responses were recorded on a combined interview theoretical code frequency table for each focus group. (Appendices E. and F.) Next, the group responses were put into a group tabular IRD. This table indicated the relationship between affinity pairs by drawing arrows upwards when the affinity on the y axis influenced the affinity on the x axis. When the affinity on the x axis influenced the affinity on the y axis, the arrow was drawn pointing to the left. The total number of arrows pointing upwards were tabulated as “outs” and the total number of arrows pointing towards the left were tabulated as “ins.” By subtracting the number of ins from outs, a change (delta) value was obtained. The affinity with the highest number (delta value) was the primary driver. The affinity with the lowest number was the primary outcome. (See Appendices G. and H.) This data was then entered into an *Inspiration* software program for producing a focus group systems influenced model (SIM).

Final Data Analysis

Thematic analysis of documents, memos, and questionnaire responses joined by the findings from the three interactive qualitative analysis focus groups were amalgamated then organized to address the three primary research questions. As in Mile's study (1997, p. 111) these questions relate to the process perspective, the organizational culture perspective, and the participant perspective.

Process perspective. The first research question: "How is a faculty supervisor training program on assessing faculty performance developed and implemented in a community college district?" solicited descriptive findings of the process. These findings were gleaned from documents produced by the NHMCCD taskforce to recommend a new appraisal model, the November 26 focus group discussions, District Instructional Council minutes, numerous emails and discussions with various stakeholders, questionnaire responses to the training sessions, and the results from the final focus group interviews. (Refer to Chapter Four for these findings.)

Organizational/Cultural perspective. The second research question: "How does the organizational culture(s) facilitate or impede the development and implementation of the supervisor training program?" solicits findings from historical data (from both the district and individual colleges), focus group discussions, questionnaire responses, and correspondence memos between the faculty supervisors and administrators developing a training program. In addition, observations of

organizational culture practices and behaviors were linked to findings from the above-mentioned sources. (Refer to Chapter Five for these findings.)

Participant Perspective. The third research question: “What do community college faculty supervisors perceive to be significant factors contributing to the success or failure in the development of a supervisor training program on the assessment of faculty performance, the outcomes of the initial implementation, and the long-term outcomes for the college?” relied on the perspectives of both the participants and researcher. The participant perspectives were gleaned from focus group IQAs, discussions, questionnaire responses and the final interview with faculty supervisors. The researcher’s perspective was derived from analysis of the above-mentioned sources in addition to observational analysis. (Refer to Chapter Six for these findings.)

Triangulation. Final data analysis employs triangulation to verify and validate findings. Strategies for triangulation exist on several levels. The four kinds of triangulation noted by Patton (p. 464) are triangulation of methods, sources, analyst, and theory/perspective. The triangulation of methods were accomplished through both qualitative sources (IQAs, documents, memos, etc.) and quantitative sources (questionnaires on training sessions). The triangulation of data sources will be from “comparing and cross-checking the consistency of information derived at different times and by different means within qualitative methods.” Observational data will be compared with IQA data, what people say in public was compared with what they say

in private, what people say over time will be compared for consistency, and the perspectives of people from different points of view – cultures/subcultures – was compared. Analyst triangulation comes from the IQA focus groups. The two separate focus groups analyzed their own data during the affinity diagramming and interrelationship diagramming. Theory triangulation occurs through examining the data from the perspective of various stakeholder positions with different theories of action about the evaluation training program.

STANDARDS FOR RESEARCH

The naturalistic paradigm of this study calls for examining special criteria for trustworthiness as one of its characteristics. Since the conventional (positivist) trustworthiness criteria of internal and external validity, reliability, and objectivity fail, the substitute criteria of credibility, transferability, dependability, and confirmability will be used.

1. **Credibility**; Patton (1990, p. 461) declares that in a qualitative study, credibility depends on the following three elements:
 - A. rigorous techniques and methods for gathering high-quality data that is carefully analyzed, with attention to issues of validity, reliability, and triangulation;
 - B. the credibility of the researcher, which is dependent on training, experience, track record, status, and presentation of self; and

C. philosophical belief in the phenomenological paradigm, that is, a fundamental appreciation of naturalistic inquiry, qualitative methods, inductive analysis, and holistic thinking.

Integrity, validity, and accuracy of the findings will be addressed by the use of multiple sources of data collection. Every attempt will be made to separate description from interpretation and judgment. Additionally, the researcher will be “methodical in reporting sufficient details of data collection and the processes of analysis to permit others to judge the quality of the resulting product” (Patton, p. 462).

My credibility as researcher is supported by my past experiences and career in education. My first two degrees were in science. My master’s thesis, *The Combined Prenatal Effects of Ethanol and Nicotine on Development*, produced publishable results. The past 18 years of my professional career have been in higher education with eight years as a full-time teaching faculty member, four and a half years as a faculty supervisor, and six years as an academic vice president. Prior to this, I was an adjunct instructor for about seven years. I am also starting my thirteenth year as an elected public school board trustee. All of these educational experiences have contributed to my knowledge and perspective of faculty evaluation and supervisory training. Additionally, I was on the Chancellor’s commissioned taskforce (serving as the chair after the first year) to develop and recommend

a comprehensive evaluation model. My worldview is one that is compatible with a naturalistic paradigm.

2. Transferability

In qualitative analysis, thick description and elaborate/careful documentation of data collection are essential for interpretation. Organization of data and the researcher's creativity ultimately produce the study's findings. Whether these findings may be transferred to other settings will depend on the accurate and complete explanation of data collection and analysis.

3. Dependability

A qualitative study design is not replicable in that each study is unique. Therefore, a qualitative case study must rely on dependability of research findings through the quality control measures described and adhered to in the protocols, data collections, and analysis process (Maxwell, 1996).

4. Confirmability

In qualitative analysis confirmability replaces the scientific principle of objectivity. Inquiry is value-bound in a naturalist paradigm (Lincoln and Guba, 1985). "The inquirer and the object of inquiry interact to influence one another; knower and known are inseparable" (p. 37). Patton (1990) notes, "The politics of evaluation mean that evaluators must make their own peace with how they are going to describe what they do. The meaning and connotations of words like objectivity, subjectivity, neutrality, and impartiality will have to be worked out with particular stakeholders in specific

evaluation settings... For better or worse, the trustworthiness of the data is tied directly to the trustworthiness of the evaluator who collects and analyzes the data” (p. 476).

Being in the field, going deeper into the field, and learning about the problem first hand from the perspective of many participants is a great asset for the researcher. I am also aware that the “researcher attempts to make sense of the situation without imposing preexisting expectations on the phenomenon or setting under study” (Patton, p. 44). Even though I am empathetic to both faculty and faculty supervisors, I am conscience of maintaining neutrality with regard to selective perception, personal biases (which includes confirmatory bias), and theoretical predispositions. Strategies used in this study to maintain confirmability are those noted by Patton (p. 56) as “systematic data collection procedures, rigorous training, multiple data sources, triangulation, and external reviews.”

The standards of research should include researcher awareness of ethical issues and commitment to ethical research. Patton (p. 356) identifies the following seven ethical issues that the researcher will likely encounter as:

- Promises and reciprocity
- Risk assessment
- Confidentiality
- Informed consent
- Data access and ownership
- Interviewer mental health
- Advice

As a researcher who is employed by the institution that is the site for this case study and whose position influences some of the participants, I tried to ethically deal with the issues noted above.

METHODOLOGICAL LIMITATIONS

As in all studies, there are limits on resources, time, space, and participant involvement. The researcher is aware of at least three methodological limitations.

They are:

1. **Scope and timeline of the study.** This study does not extend beyond the initial faculty evaluation cycle after a new model is implemented and a semester of supervisor training is provided. Since no other similar studies are reported in the literature, institutions of higher education implementing new evaluation programs may find the research useful. However, this does not mean that the findings are transferable. That aspect will be determined by the adherence to strict research standards for this study and by those reading it with other sites and situations in mind.
2. **Personal biases.** As much as the researcher may strive to be objective in observing and reporting results, I am influenced by my past history with this topic and experiences with many of the participants. To help alleviate this burden, I will reflect on my own perceptions and record them for others to judge as well as practice the principles for conducting good research noted in the above section on standards of research.

3. **Participant biases.** All participants are stakeholders in this study. They all bring their own biases based on their past experiences with evaluations and their interactions with each other and with me. Several of the participants were also members of the Chancellor's taskforce and worked with me to develop the new evaluation model that is intricately tied to this study.

CHAPTER SUMMARY

The grounded theory methodology is an appropriate choice for this naturalistic qualitative case study given “the purpose of the study, the questions asked, and the available resources” (Patton, p. 39). The study design ensures the use of multiple data collection sources. Data analysis includes thematic analysis, interactive qualitative analysis, and triangulation. While the researcher is the primary interpreter of the data, participants play a direct role in interpreting their experiences during the two interactive qualitative analysis focus group sessions and the final focus group interview.

This study investigated the organizational process, cultural factors, and participants' perspective with regard to making faculty evaluations more meaningful through faculty supervisor training. Even though the development and implementation of a new faculty evaluation model is not the direct focus of the study, it was the catalyst for examining the need for and creation of a faculty supervisor training program. The development and success of this faculty supervisor program will be reported and analyzed in this study.

CHAPTER FOUR DEVELOPMENTAL PERSPECTIVE FINDINGS

Shared meanings motivate people to action and meld individual striving into collective action. Stone (1997, p. 11)

This chapter addresses the first research question: How is a faculty supervisor training program for assessment of faculty performance developed and implemented in a community college district in general and at Kingwood in specific? To respond to this question, findings are reported for the following two subset questions:

- A. How was the NHMCCD – Kingwood College program was designed?
- B. What steps and processes were used to implement and manage the training program?

As noted in chapters one and three, the study design is described in phases one, two, and three. The events that took place prior to and during these phases parallel the flow of policymaking stages. Even though it might be questionable to consider a first time initiation for a training program as constituting a policy, the researcher justifies this approach by use of the broad definition of a policy from the *Webster's Universal College Dictionary* as a definite course of action adopted for the sake of expediency.

STAGES OF PROGRAM DEVELOPMENT

While many models of policy making exist, all contain an agenda setting stage, a policy formulation stage, an implementation stage, an evaluation stage and a policy succession stage (Goodchild et.al., 1997; Rushefsky, 1996; Stone, 1997).

Therefore, the developmental perspective findings are presented as agenda setting (pre phase I), program formulation (phase I), program implementation (phase II), and program evaluation (phase III). Program succession is still to be determined. As Rushefsky notes, the process “is rarely cohesive ... policies may be changed at any step or may fail to pass through a step” (p. 3). Nevertheless, the table below depicts the chronology of stages and events in the development and implementation of the NHMCCD-KC training program. The functional activities referenced are from Rushefsky (pp. 3-17) and Goodchild, et.al. (pp. 13-15).

Chronology of Program Development and Implementation

STAGE	FUNCTIONAL ACTIVITY	NHMCCD-KC ACTIVITY	DATE
Agenda Setting (Pre Phase I)	Problem Identification	Recommendation from Faculty Assessment Taskforce	April – November, 2000
	Agenda Building	Meetings with Stakeholders	March 2001 – on-going
Program Formulation (Phase I)	Information Collection & Analysis,	Focus Group Retreat	November 26, 2001
	Dissemination	Focus Group Retreat, Meetings & Email CESD, Other Key Administrators	November 2001 – February 2002
	Alternative Development	Shift from NHMCCD to Kingwood College (KC)	January 29
	Advocacy & Coalition Building	Meetings with KC President, VPs, ADs at KC	February 2002
	Compromise	Shift from NHMCCD to KC	January 29

Program Implementation (Phase II)	Resource Acquisition	1) NHMCCD 2) KC	1) November 26 Retreat 2) Additional Training
	Planning/ Organizing	Researcher & KC Faculty Supervisors	January – March 2002
	Training	Portfolio Development & Assessment	February 12
		Evaluation Tool, Coaching Techniques, Role Playing with Faculty Supervisors	March 19
		Legal – Documentation for ADA Conditions	March 27
		Evaluation Tool & Process Explanation to Faculty	April 4
Program Evaluation (Phase III)	Evaluation of performance and impacts	Final Focus Group Interviews with Faculty Supervisors	June 10 & 17
Program Succession	Decisions about future of program	Interviews with Top Administrators	July 2, 2002 – on-going

Table 4.1

1. Agenda Setting

For this study agenda setting encompasses the events that culminated in the November 26, 2001 focus group retreat. This retreat started phase I of the study, agenda setting is pre phase I. The two functional activities that occur during agenda setting are problem identification and agenda building. Problem identification consists first of perceiving that a problem exists and then defining it for others. As Rushefsky (1996) notes, “problems do not define themselves (Lindblom, 1968).’ Someone has to point out that a problem exists and give it meaning” (p.4).

In the broad sense, the problem is how to improve faculty performance when performance evaluations are often not valued. As the literature review reveals, the

reasons for this are many-fold and detailed in the first two chapters. Even so, one concrete reason noted is the skepticism of faculty about the abilities of their appraisers, knowing that their appraisers have never been trained or given in-depth knowledge on how to assess performance or help improve it (Andrews, 1997; Arreola, 2000; Boyd, 1989; Hubbartt, 1992, 1995; Licata & Morreale, 1997; Mark, 1982). This condition existed long before it was identified as a problem needing a solution.

During the spring 1999 to fall 2000 timeframe when the district wide faculty assessment taskforce met to develop and recommend for adoption a new faculty evaluation model, discussions centered on how to improve faculty performance. It was clear to the taskforce members that supervisor training – or the lack thereof - was an important issue. Even though this condition was historic (long tolerated) it became defined as a problem once it was viewed as an “underlying cause” (Rushefsky, p. 5) of the bigger problem of how to improve faculty performance. Thereafter, the push was to develop a supervisor training program to assess and improve faculty performance. Evidence of this push is seen in the taskforce’s April 2000 draft *Proposal and Model for Assessment and Feedback on Faculty Performance*. However, during the early stage of the problem identification, evidence suggests that the top key district administrator overseeing this project perceived training as focusing on the use of the proposed model only. This insight comes from an April

27, 2000 correspondence with the Chancellor. The Vice Chancellor notes that the taskforce chair (the researcher):

agreed that the Task Force would wrap up its work and submit recommendations to EC [Executive Council] in early summer 2000. Given the timing of the proposal and the perception and concerns expressed by some faculty leaders, she agreed that delaying final approval and possible implementation, if approved, in the fall would present major problems. She did note, however, that the original schedule called for training this summer.

Given the timing and concerns by faculty leaders, I recommend that we accept the report of the Task Force in early summer, and hold off final approval and implementation until early fall. We can work with faculty and college leaders over the summer to insure that concerns are addressed. Training sessions, if necessary, could be held during in-service and shortly thereafter...

Due to ongoing faculty feedback and subsequent taskforce revisions to the proposal and model for faculty performance, the final proposal document was not disseminated until November 20, 2000. Continuing faculty issues with the proposal were: the length; an annual workload assessment component (which had been adopted by the Board of Trustees and implemented in 1994); the requirement for every class to administer a student feedback questionnaire; and the requirement for the student questionnaires to be viewed by the faculty member's supervisor. These ongoing faculty concerns, combined with a forth-coming Coordinating Board site visit in November and a SACS accreditation site visit in April 2001, diverted attention and resources away from the faculty assessment proposal and subsequent supervisor training.

The agenda building activity of meeting with stakeholders to determine their interest in developing a supervisor training program started in February 2001 with conversations between the researcher and the Kingwood College faculty supervisors, the college president and several vice chancellors. In April 2001, the researcher visited with the Chancellor to solicit support for developing a district wide faculty supervisor training program for conducting faculty assessments. The researcher's proposal noted the need for this training as defined in the literature and as experienced by most supervisors. The researcher offered assistance in developing this initiative under one of the vice chancellors. The researcher, as an academic vice president, had the support of her college president who had previously chaired the faculty workload taskforce. The Chancellor was favorable to developing a training program for faculty supervisors and advised the researcher work with the Vice Chancellor for Human Resources and the Vice Chancellor for Organizational Development.

The Table 4.2 lists the major correspondence/meetings with various stakeholders leading up to the November 26 focus group retreat.

Chronology of Agenda Building

DATE	ACTIVITY
March 28, 2001	Researcher's written proposal to Chancellor
April	Researcher met with Chancellor and received favorable response. He advised Researcher to work with vice chancellors.
April 5	Researcher met with District Instructional Council (DIC). Eight faculty supervisors volunteered for a focus group to help define training needs for faculty supervisors to assess/improve faculty performance.

August 27 (1 st official announcement of training)	Vice Chancellor for Education emailed the Executive Council’s approval of the revised shorter version Faculty Assessment Proposal to be implemented in the spring 2002. Email stated that researcher “will help coordinate training sessions through Council for Education & Student Development (CESD).”
September 25	Vice Chancellor for Education emailed all faculty supervisors notice that the Faculty Assessment forms/documents were being sent to the colleges and that “training will be coordinated through CESD under the leadership of the [researcher].”
September 26	Researcher emailed an update to all Kingwood College employees noting the receipt of the new evaluation forms that would be distributed to their offices and the various plans the faculty supervisors and I were considering on how to implement a three year cycle of review for “seasoned” faculty on multi-year contracts.
October 4	Email from Exec. Vice Chancellor noting official district response to faculty supervisors questions about the revised adopted Faculty Assessment forms and process. When asked what will be covered in the training sessions – response was “to be determined at meetings convened by researcher.”
October 6	Exec. Vice Chancellor emails researcher “There is sense of urgency on the part of ADs [faculty supervisors] for implementation of the training program. Can you contact [chair of DIC] to get this moving?” Researcher responds she tried to the previous week and left a message for chair to call so “we can start on logistics.”
October 23	DIC chair emailed “...at recent DIC meeting faculty evaluations were discussed and an interest shown on the part of the ADs to have some sort of training session The new ADs especially were interested but some of us oldies thought a sharing session would be beneficial. In the phone message you left last week...you want to know how best to approach ADs to see who wants to volunteer to give input on training needs. If this is accurate, let me know and I will get a few volunteers.”
October 24	Researcher responded to above email from DIC chair telling her “yes – this is accurate. I will plan an all day (9:00-4:30) retreat for the ADs to identify their training needs and to prioritize them....” The researcher asked how many might want to participate in this one day event and suggested four different dates in November. The researcher also offered to meet with ADs at the next week’s DIC meeting or email them asking for interest and best date.
October 26	Email from Exec V Chancellor to all faculty supervisors reminding them that the new Faculty Assessment Plan goes into effect in January 2002 and that the researcher is making arrangements for the training sessions and will contact them.
October 26	DIC Chair invited researcher to attend Nov 1 DIC meeting.

November 1	Researcher met with DIC and set retreat date for Nov. 26. Most members present were interested in attending and also wanted to bring a faculty member (each) to help determine faculty supervisor training needs for assessing/ improving performance.
November 1-16	Researcher discussed possible methods with UT professor Dr. Northcutt for collecting information for the study on supervisor training needs.
November 12	Researcher emailed all ADs the very tentative plans for the Nov.26 retreat and requested them to RSVP for accurate food/material counts.
November 16	Researcher emailed all respondents (ADs and faculty) the more detailed tentative agenda for and map to the November 26 retreat site. The agenda clearly depicts the IQA/IRD process. (See Appendix A.)
November 16-25	Since the numbers of respondents were over 40, the researcher contacted Dr. Northcutt for a recommendation on a facilitator who could help conduct an IQA focus group session. Danny McCoy agreed to become the co-facilitator. He and the researcher talked and emailed information about the retreat plans numerous times. They met on November 25 to walk through the plan/agenda for the retreat scheduled for the next day.

Table 4.2

2. Program Formulation

The “develop[ment of] a plan to remedy the problem” is policy formulation defined by Rushefsky, p.7. The program formulation stage consists of many functional activities. While the November 26 retreat started the development of a plan for supervisor training, this plan expanded, contracted, and changed scope during the spring 2002. The November 26 retreat, termed phase I, sought to have participants identify and analyze their own training needs for assessing and improving faculty performance. Information collection and analysis is the first activity in the formulation stage. Over the next four months, the other functional activities - information dissemination, alternative development, advocacy and coalition building, and compromise - took place.

The Interactive Qualitative Analysis (IQA) methodology proved to be an effective tool for program formulation. Not only do participants generate their own data and analyze it, they also produce a model demonstrating the dimensions of the problem and their relationships to one another. As Rushefsky notes, “At the heart of analysis is a model, an abstraction from reality that focuses on only those things (variables) that are important to the particular problem...”. p.8.

Even though chapter six presents the participant perspective findings, the findings from the November 26 retreat must be presented here as they determined the course of action (training implemented) for the rest of the study. While chapter three details the IQA method of data collection and analysis, the appendices contain copies of the November 26 agenda (Appendix A.), participant consent form (Appendix B.), Phase I Questionnaire (Appendix C.), samples of an Affinity Relationship Table (ART) and an Interrelationship Diagram (IRD) (Appendices D. G., and H.).

There were a total of 47 participants (excluding the researcher and including another college academic vice president). The number of faculty participants fluctuated between 21 and 19. By comparison, the number of faculty supervisors (not counting the VP) in attendance fluctuated between 25 and 21. The 47th attendee did not sign in, but is believed to be a faculty member. The faculty and faculty supervisors formed two separate focus groups to participate in each of the three distinct IQA activities.

The findings from the first IQA activity, the silent brainstorming, produced 146 faculty responses and 104 faculty supervisor responses. During this activity the faculty supervisors appeared more gregarious and easily distracted compared to the more task minded faculty. Also, the faculty group had a facilitator who was from outside the institution.

The second IQA activity, affinity diagramming, produced eight affinities for each group. As the table below notes, half of the affinities were basically the same for each group.

Affinity Topics

Faculty Affinity Topics	Faculty Supervisor Affinity Topics
1.Consistency	1. Affirmation
2.Efficiency	2. Communication
3.Emotion*	3. Emotions*
4.Evaluator Competence	4. Meaningfulness/Purpose*
5.Evaluator/Instructor Relationship*	5. Mechanics
6.Faculty Benefit	6. Relationship Building*
7.Purpose*	7. Strategies for Improvement
8.Student Benefit*	8. Student Benefits*

Table 4.3

* Note the similar affinities between the faculty focus group and the faculty supervisor focus group. Both identified purpose, relationships, emotions, and student benefits as categories of meaning with their respective experiences with evaluations. Since most associate deans were once faculty, this makes sense.

Because of time constraints, no synopsis was created for each affinity.

Instead, the individual responses from each group provide a vivid description of their experiences with evaluations. The collective ideas/thoughts generated from each participant are noted in Appendix I.

The third IQA activity, the interrelationship diagram, requires participants to determine the relationships between the affinities – their categories of experience with evaluations. While this activity was individually done, the group collective resulted in a model by which to guide future training initiatives. The model of each focus group is depicted below.

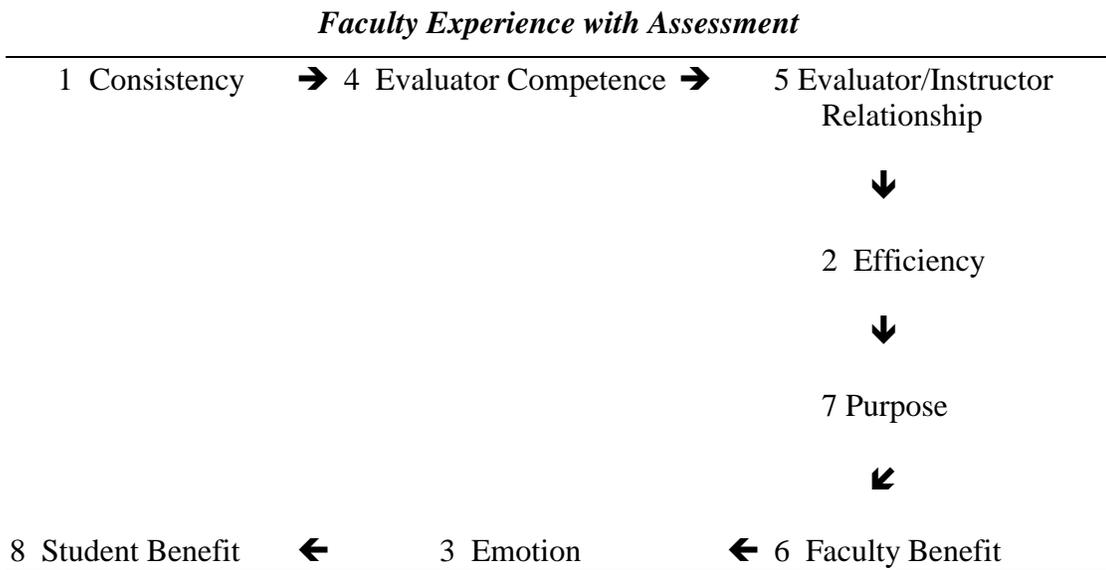


Figure 4.1

* Note the linear model with Consistency as a primary driver and Student Benefit as a primary outcome.

Faculty Supervisor Experience with Faculty Assessment

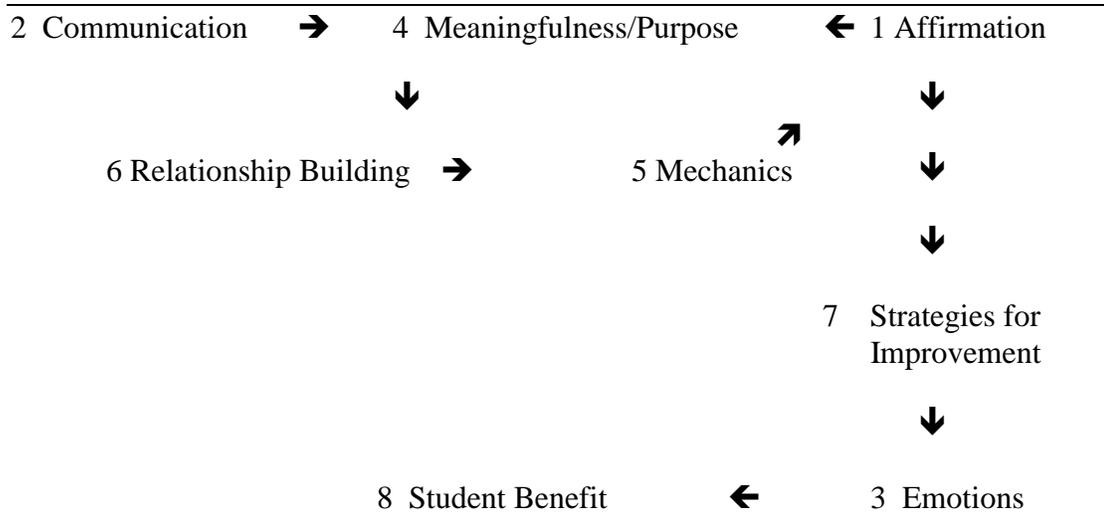


Figure 4.2

* Communication is the primary driver and Student Benefit is the primary outcome in this model. Note the feedback loop between affinities 4, 6, 5, and 1. One interpretation of a consequence of this feedback loop is to get trapped in it and not spin out to concentrate time/resources on # 7 Strategies for Improvement. This observation will be further explored in chapter seven.

As the participants examined the order of the affinity relationships, the primary drivers for each group were noted as areas of focus for future supervisor training. The retreat culminated in a 45 minute open forum whereby participants expressed their comments, concerns, and needs regarding evaluations in general. Below are their comments as recorded on flip charts that day and disseminated to the group for verification a few days later. (Note that teaching faculty supervisors are called associate deans – ADs.)

Comments, Concerns and Needs Expressed by Participants

The following information was taken from flip charts that briefly highlighted the questions, suggestions and conversations about training needs for associate deans to assess faculty performance and help them improve performance.

How do associate deans assess accuracy of content knowledge if they are not content experts and peer evaluation does not occur? While the new model does not include peer evaluation (not favored by two colleges), it does not prohibit peer evaluation for assessing content expertise.

Associate deans need help on addressing faculty members who need to improve performance and/or behaviors. Specifically, ADs need legal training on how and what to document as personnel / discipline issues. Also, ADs need to know coaching strategies for how to help faculty improve. Bring in outside experts. Use HR for some of training on contract issues.

Associate dean mentoring is a definite need.

Faculty career development is not addressed by our appraisal system. We should ask faculty what they want to do three to five years from now, and then give them resources to get there.

Portfolio creation requires both faculty & AD training. What should go in them? Should they be discipline unique?

Since the new model requires faculty to submit their self-evaluation (their reflections and evidence of performance), what should they include? They need to know AD's expectations for all parts of assessment. This needs to be addressed at the college level and be consistent.

Evaluation should not be a surprise – should have on-going conversations throughout the year.

Training should include all who evaluate instruction (coordinators evaluating adjunct faculty).

Best practices should be shared. Lots of experience exists within the group.

Conflict resolution – need meaningful training. (Not just recognition of own emotions, but how to deal with difficult people.)

ADs want scenarios that include role playing/modeling and teaming as part of training sessions (e.g. interpersonal communication).

Videotape for future use, or if good videos are available, purchase them.

How do we address AD training needs?

First suggestion was to offer a “mini-conference” and invite anyone who evaluates faculty (coordinators, directors, and associate deans).

Second suggestion to address training needs was to develop a comprehensive plan. Form a committee made up of 1 AD and 1 faculty chosen from each college (asked to volunteer) at DIC. Katherine will volunteer also. Others welcome. Can start to address some of the above-mentioned concerns as a plan is being developed.

ADs need help in evaluating (and how to evaluate through observation) distance learning classes. Look at good models like the Stephen F Austin one.

Consistency on appraisals – need to set norms and model/ role-play as part of AD training.

ADs need a resource tool bag for how to help faculty improve performance (teaching, interpersonal skills, etc.). This should involve the teaching & learning centers as faculty development resources.

Not all colleges have listings of professional conferences and workshops that could be beneficial to faculty.

Internal experts volunteers:

Bill C - some expertise on evaluating faculty

Deborah E – portfolios

While chapter six inspects – by triangulation – participant data collected throughout the study, information gathered at the November 26 retreat provided the map to guide future supervisor training initiatives.

As Goodchild, et.al. (1997) note on page 14, “Formulation and legitimation [of goals and programs] are complex activities that involve four major sets of functional activities, each complex in its own right.” The four functional activities were noted earlier and are 1) information collection, analysis, and dissemination, 2) alternative development, 3) advocacy and coalition building, and 4) compromise, negotiation, decision (taken from Goodchild, p. 13).

Goodchild, et.al. also note that the outcomes of the

formulation and legitimation stage are policy statements (declarations of intent, including some form of goal statement) and the design of programs for making the intent concrete and pursuing achievement of the goals. Both the goals and program designs may be vague and sketchy. Grandiose goal statements that lack clarity are usually the result of compromise process. Too much specificity and clarity might prevent compromise of forces that don't really agree on fundamental concrete goals and aspirations. If the goals are raised to a more general and murky level, they can attract the support of persons and groups that might otherwise disagree (p. 14).

This stage of developing a training program for faculty supervisors established the “intent, including some form of goal statement.” The information collection, analysis, and dissemination occurred with the retreat and the subsequent summary write up, noting the intent and goal. This summary was sent to all participants and appropriate college and district top administrators. However, the program design was still “vague and sketchy.” This state persisted due to role confusion and conflict as to

who would actually design and implement the training program. While the researcher was willing to contribute efforts toward this project, three separate vice chancellors all had responsibilities that overlapped in developing and implementing a training program for educational supervisors involving aspects of faculty evaluation. By the end of January 2002, the scope of the program shifted from a global district perspective to a local Kingwood College one. The events leading up to this shift are summarized in the chronology of activity depicted in Table 4.6.

Chronology of Program Formulation

DATE	ACTIVITY
November 26	Focus Group Retreat – information collection and analysis
December 5	Researcher emailed participants draft of summary from retreat and asked for verification (changes, additions, deletions) of information before being distributed to top administrators. The researcher also stated “At the college and district level, the ideas (concerns and suggestions) produced will form the base for developing a training program for associate deans (with some overlap for faculty training). This coming week I will talk to [name of vice chancellor for Human Resources and name of vice chancellor for Organizational Development] on where we go from here. They have the funds and are willing to help address some of the training needs identified.”
December 7	Researcher received email from DIC Chair (council for faculty supervisors) asking “would it be possible for DIC to submit to you a plan for our workshop on implementation for faculty assessment and then have you plan around what we see as our needs?”
December 10	Summary of Nov. 26 Retreat was emailed to all participants and top administrators. (No requests for revisions were received from the earlier draft. Five participants responded that they liked the event and hoped that something would come out of it.)

December 12 (I think)	Researcher met with HR vice chancellor and HR director to go over findings from Nov. 26 retreat and request from DIC Chair. Support to let the group determine their own training initiatives as well as financial support was confirmed. HR vice chancellor stated that she and the vice chancellor for Organizational Development would help coordinate activities. Researcher noted that she would start contacting the renowned expert on developing/assessing faculty portfolios since the use of portfolios was an option given to faculty in submitting their self evaluation to their supervisors - which had a deadline of April 1. Also, training on portfolio development/assessment was expressed as a need at the Nov. 26 retreat.
January 11	Researcher received email from HR vice chancellor asking "Have you heard anything about the faculty appraisal?"
	Researcher responded "No – I have left messages for Dr. – to contact me... I know DIC will not meet until after classes start. I will bug [name of chair] to put this on their agenda first."
	Researcher contacted vice chancellor for Organizational Development asking her for resources on conflict management on how to deal with difficult people. She said she would investigate who is good/best.
January 14 -	Several emails went back and forth between one vice chancellor and the executive vice chancellor clarifying who was now directing this project. Since the exec vice chancellor oversees instructional issues and has an associate who is his liaison to the DIC, this project was now viewed as falling under his auspice.
January 17	DIC met and determined a 9-12 training session to administer faculty evaluation instrument was needed for either Feb. 8 or 15.
January 18	Executive vice chancellor received an email from the DIC chair noting "As you know IC worked yesterday to develop a suggestion for a workshop on the new Faculty Assessment Initiative. Attached are the results of our discussion yesterday."

January 21	<p>Executive vice chancellor forwards the researcher the information from the DIC chair sent on Jan. 18. He asked to “Please review this and be thinking about how we can meet their stated needs and what you are interested in. I attended part of this meeting. The general consensus is a common sense, straightforward training model that focuses more on their direct needs for assessment rather than a broad reaching plan.” Basically the plan called for</p> <p>9-10 Understanding original intent of the evaluation model Methodology – definition of instrument purpose and procedures for implementation – to be conducted by HR rep. Want to know about legal aspects.</p> <p>10-11 Components – ADs want to work together (perhaps need moderator) to “decide all the documents we are going to include in the evaluation packet.”</p> <p>11-12 Scenarios lead by ADs if an “expert” is not available to respond to scenarios suggested by ADs.</p> <p>12-1:30 Lunch and work through timelines for evaluation.</p>
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By Jan. 23	Researcher received message from renowned expert in portfolios that he is only available to do a workshop on Feb.12 and has made plans accordingly. His next available date would be in July. While the executive vice chancellor discouraged bringing in anyone to train on this until late April or May, faculty were to turn in their self assessments (with a portfolio option that is their choice to do, not the supervisor's) by April 1.
January 29	Due to the strong desire of the executive vice chancellor to support the suggested DIC half day training plan before any other training initiatives commenced, with the support of the Kingwood College president, the portfolio training session was sponsored by KC for February 12. The other four academic vps were invited to attend and send any of their faculty or faculty supervisors who were interested. The response was good. 33 faculty/faculty supervisors attended the interactive all day event.

Table 4.4

3. Program Implementation

The implementation of the training program, designated as phase II, called for acquiring resources, planning, organizing, and offering the training initiatives deemed important to faculty supervisors and faculty for conducting faculty performance evaluations scheduled over April and May. This short timeframe was complicated by the Chancellor's announcement, to the faculty supervisors on February 20, that a district wide reorganization would occur over the summer whereby their positions would be eliminated. The DIC chair announced soon thereafter that there would not be a faculty assessment workshop due to the reorganization. (However, their March 21 meeting minutes state, "it was decided that discussion of the [assessment] process will be held at the April 4 DIC meeting.")

While the NHMCCD chancellor’s office covered the cost of the November 26 retreat, all other training initiatives were covered by Kingwood College. Table 4.5 is a date/activity list of the training sessions held

Date and Activity of Training Sessions.

Date	Activity
November 26	District Focus Group Retreat
February 12	Portfolio Development / Assessment
March 19	Training Session with Faculty Supervisors – New Model Forms & Process, Coaching Activities, & Role Playing
March 27	HR – Legal Aspects of ADA & Faculty Assessment of Performance
April 4	Explanations to Faculty on Process & Forms

Table 4.5

All of the above training sessions were noted as areas needing to be addressed by participants at the November 26 retreat. Also, on February 27, at the weekly held Kingwood College Instructional Council meeting, faculty supervisors indicated their three priority training needs for conducting faculty evaluations in April. These were on personnel law and documenting unacceptable behavior/poor performance, coaching techniques utilizing interpersonal skills, and a review of the new assessment forms and process. Each of the training events is briefly presented below for the purpose of describing the development of the program rather than the participants’ perspectives, which are noted in chapter six.

Portfolio Training

The researcher made arrangements with a nationally known expert (who asked not to be named) on faculty portfolio development and assessment to present a one

day interactive training session on February 12. The presenter requested that a colleague of his accompany him to co-facilitate and enrich the training session. The colleague was a recently retired director of faculty development at a major university.

As mentioned earlier, this event was sponsored by Kingwood College. The President authorized college funds to cover lunch for all participants, including those from other colleges. Therefore, On January 29, the researcher sent an invitation to the other college academic vice presidents asking them if they had faculty and/or faculty supervisors interested in attending, to please RSVP. Of the 33 attendees, 25 responded to the questionnaire at the end of the session. Of the 25 respondents, 11 were faculty, 11 were faculty supervisors, two were noted as others, and one did not indicate their position. One respondent was from CyFair College, three were from Tomball, seven were from Kingwood, 14 were from North Harris, and none were from Montgomery College. Montgomery College was an early adopter of portfolio use. Since at least 1995 they have required applicants interested in teaching or administrative positions to submit their materials according to a portfolio template. Since then, both faculty and supervisors have practiced performance evaluation portfolios. While an analysis of the responses is noted in Appendix L. and the participant findings are discussed in chapter six, comments about the session were very favorable.

March 19, 2002 Training Session with Kingwood College Faculty Supervisors

On March 5, 2002, the researcher emailed the Kingwood College faculty supervisors the tentative agenda for their March 19 training session. At this same time, each of the six supervisors (four supervised teaching faculty, one counselors, and one reference librarians) were sent a packet of information, including their very own booklet, *The Manager's Coaching Handbook: A Practical Guide to Improve Performance* to help prepare for the all day session. The agenda sent is copied below.

Training for Conducting Faculty Evaluations

Session Conducted by Katherine Persson with ADs, and Director of Counselors
March 19, 2002

9:00-11:00: Review all required evaluation documents for full-time faculty comprehensive evaluations. Agree on consistent ratings for performance expectations.

Document	Timeline	Procedure	Ratings/Criteria for Performance
Faculty Assessment Instrument – Self Assessment	Submits to AD April	Faculty member submits as checklist and/or portfolio. Faculty member's comments should provide evidence for determination of ratings. (ex. Past student eval, classroom observations, peer eval., etc.)	Define #1 (could do better), #2, #3, #4, and #5 (did very well)
Faculty Assessment – AD's Assessment	April – May	Prepare for performance review conference. * Review self-assessment for congruency with information from student feedback, classroom observations, & workload accomplishments. * Answer climate checklist questions, define & analyze performance issue, & role-play. Resource – <i>The Manager's Coaching Handbook</i> (summary – p. 48)	
Classroom Observation	Oct/Nov (Spring for 2002 implementation)	Use pre and post conference guidelines as a resource (pp 37 & 40 in Nov. 2000 Final Proposal)	EE ME NI NA

Student Feedback Questionnaire	Before “W” day	Paper (in class) vs. online	Item analysis report
Workload Information Sheet	Jan/Feb. for continuing faculty. Aug-Sept – for brand new faculty.	Review/revise all at beginning of each semester.	

11:00-11:15: Break

11:15-12:15: The Manager’s Coaching Handbook: A Practical Guide to Improve Performance.

Test (p. 18)

Place your division members in one of 3 categories (super, middle, failing stars)

Determine the common characteristics of people in each group.

Is there a significant difference in behavioral traits of the three groups?

Do previous performance review scores reflect your groupings?

Climate check questions (p. 24/32). Discuss whether a good climate was provided in order to hold each faculty member accountable for her/his performance.

12:15 – 1:30: Lunch

1:30-4:00: Homework pre-assignment and role play.

Choose the person whom you believe will be the biggest challenge for you to conduct a performance review. Complete steps 1 & 2 on pages 32 & 33.

Define and analyze the performance issue.

Role Play

Tips – p. 34

Script – pr. 37 – 42

While a copy of the questionnaire is noted in Appendix M., the participant

findings are discussed in chapter six. Comments about the session were very favorable.

March 27, 2002 Legal Aspects of ADA and Faculty Assessment

At the March 19 role-playing session, faculty supervisors wanted to know how to assess and document behavior/performance issues with regard to faculty who have disabilities. Several critical issues regarding faculty in two areas seemed urgent

enough for the group to want training before April. Therefore, the researcher arranged for the District Director of HR to give us a one-hour workshop. Basically, the Director walked us through the policies and procedures with regard to ADA laws and our district policy and we asked a lot of questions. The college president also attended this session. While no formal evaluation of the session was done afterwards, some of the participants commented on the usefulness of this session in the final focus group interview.

April 4, 2002 Explanation to Faculty on Assessment Model and Forms

The researcher met with approximately 35 faculty (50 percent of the teaching faculty) on April 4 during the noon “dead time” (no classes) in the Teaching Theater. All but one of the teaching faculty supervisors were also present. The announcement for this meeting was conveyed to faculty from their supervisors after March 20. The Researcher emailed a reminder on April 2 and included a copy of the explanations of process and forms presented in a table (noting each component of the assessment instrument, the timeline for completion, the procedure, and the rating scale indicating performance level). This was the same table used in the March 19 session with supervisors, but included decisions made by them to clarify and bring greater consistency to the documents use and interpretation. This session lasted almost one hour. No questionnaire or follow-up was done on this session. However, some of the faculty supervisors commented on its usefulness during the final focus group interview.

Training Initiatives at Sister Colleges

Interviews with the other college academic vice presidents indicated that the only other college to offer training for evaluations was North Harris College. The academic vice president requested the researcher to present a two to three hour training session on the intent and use of the new evaluation model. This session occurred on April 10 with about 19 faculty supervisors.

4. Program Evaluation

In this study, the program evaluation step is phase III. This phase consisted of gathering feedback from the four Kingwood College teaching faculty supervisors who participated in all (three of the four did) or almost all of the aforementioned training sessions. They also evaluated their faculty in April or May using the newly implemented Faculty Assessment Instrument.

At the May 21 Kingwood College weekly Instructional Council meeting, the faculty supervisors volunteered to meet on June 10 for a half day final focus group interview. While it was known then that one supervisor could not attend, there was not another date when the majority of the others were available. Therefore, three of the four faculty supervisors met on June 10 with the fourth one being interviewed a week later. The interview questions were open-ended. While they are noted below, the participants' responses are revealed in chapter six.

During this session, participants were asked to reflect/ give opinions on the following questions:

- Given all of the changes that have happened since the last evaluations (a year ago), how are things the same and how are they different (as applied to assessing faculty performance)?
- What impact did these experiences (formal training sessions and other) have (on you, your faculty, the college)?
- What do you perceive to be the significant factors contributing to the success/failure in the development of a training program to assess faculty performance?
- What do you perceive to be the long-term outcomes of this experience?

3. Program Succession

Many factors hint at the possibility of program succession. Among them are: the reorganization, the district purchase of a larger facility and plans to build a training center, and a more visible role for District Human Resources Office in developing systematic training programs for all employees.

CHAPTER SUMMARY

This chapter details how a faculty supervisor training program for assessment of faculty performance was developed and implemented in a community college district by examining how the NHMCCD – Kingwood College program was designed and the steps and processes used to implement and manage the program. The steps used in developing and implementing a new program parallels the stages of policy making. Therefore, the developmental perspective findings are described in terms of agenda setting (pre phase I), program formulation (phase I), program implementation (phase II), and program evaluation (phase III). A glimpse on program succession is presented in chapter six.

The development and implementation of a training program for faculty supervisors took place in a relatively short timeframe of less than one year. Even though the purpose of the study is lofty, the short timeframe, combined with the significant reorganization changes affecting the major stakeholders, narrowed its scope to one college. As Stone (1997) notes, policy making is the struggle over ideas. “Ideas are at the center of all political conflict” (p. 11). Time and politics will tell whether or not this program grows into a more comprehensive one that faculty and faculty supervisors value.

CHAPTER FIVE
CULTURAL PERSPECTIVE FINDINGS
ORGANIZATIONAL CULTURE INFLUENCES ON FACULTY SUPERVISOR
TRAINING PROGRAM TO ASSESS FACULTY PERFORMANCE

It's all politics: power, conflict, coalitions, and policy.

Marshall and Scribner (1991)

This chapter addresses the second research question: “How does the organizational culture of a community college facilitate or impede the development and implementation of a faculty supervisor training program on the assessment of faculty performance?” To respond to this question, findings are reported for the following three subset questions.

- A. What are the shared values, beliefs, or assumptions characterizing the culture of NHMCCD and Kingwood College that relate to the supervisor training program?
- B. What cultural barriers and support factors exist within the organization for developing and implementing a training program?
- C. Do subcultural differences in values, beliefs, or assumptions exist among the different groups within the district or college? If so, how do they differ?

The findings reported below were obtained through examination of historical documents (created by both internal and external sources) commenting on the institution’s practice, individual and group discussions, observations, questionnaire responses, and correspondence memos between the faculty supervisors and administrators developing this training program. Since the study started out as a broad based district initiative but became narrowed to a college one by the

implementation stage, it is appropriate to examine both the district NHMCCD cultural perspective as well as the Kingwood College one.

In utilizing the resources listed, the researcher determined that both the district and the college demonstrated three cultural themes in common. These were collaboration, competition, and quality. In addition to these, each entity displayed evidence of at least one unique cultural trait. To determine the cultural themes of both the district and college, the researcher looked at the major shapers of culture. Among these were the founder's role, socialization (Johns, pp. 294-297), leadership, structure, performance measures, and change measurement (Dauphinais and Price, pp.185-186). The following sources were used by the researcher to determine the cultural themes of the District and Kingwood College:

External Sources

- Texas Higher Education Coordinating Board (THECB) January 19, 2001 report from the Community and Technical College Site Review Team
- Southern Association of Colleges and Schools (SACS) report from both the Alternate Reaffirmation Committee and the Consulting Team for the Self Study from the April 2001 site visit.
- The April 2001 report A Descriptive Evaluation of Professional Development and Training at North Harris Montgomery Community College District performed by doctoral student Ellene Polidore (personal communication – presentation/report made to NHMCCD April, 2001).

Internal Sources

- NHMCCD publications: Catalog, Quick Facts, Chancellor's Report to the Community

- Memos and emails from district and college administrators
- Discussions and interviews with college district personnel
- Personal observations

ORGANIZATIONAL CULTURE OF NHMCCD

This multi-college district was briefly described in chapter one, focus of the study. The District Office is located separately from the colleges, more or less south central to the five colleges. However, on June 28, the district purchased the Houston Advanced Research Center (HARC) campus and the adjacent 81 acres from the Woodlands Operating Company. This acquisition not only positions the district in a more central location, it also makes possible the creation of a professional development and training center, planned for construction next to the District Service Center.

All five colleges of the district operate somewhat independently and have their own president, vice presidents, administrators, faculty and staff. The presidents report to the chancellor. Five vice chancellors, each overseeing specific functions, are officed at district and also report to the chancellor.

The district enjoys stable leadership. The chancellor has led the district since 1991. During that same year, the former (second) president of Kingwood College became the Vice Chancellor for Organizational Development and Institutional Renewal. She was the first chief academic officer of Kingwood College and hired the founding faculty, many of whom are still there. In August 1999 the third President of Kingwood College and the Vice Chancellor for Education and Student Development

switched places. This former president is now the Executive Vice Chancellor for Education, Student and Community Development. Other vice chancellors include the Vice Chancellor for Business Affairs, the General Counsel and Vice Chancellor for Human Resources, the Vice Chancellor for Telecommunications and Information Systems, and the Vice Chancellor for External Affairs (position created December 2001).

Four major cultural themes emerged for the district as the researcher reviewed the above mentioned materials and reflected on her own experiences as a full time employee of 18 years. *The four themes are collaboration, competition, quality, and fiscal responsibility.* Evidence supporting each these findings is presented below.

Collaboration

Even though there are five separate colleges, NHMCCD is one district led by a chancellor who reports to an elected Board of Trustees. The organization is accredited as one institution by both the state and SACS. Evidence that collaboration is a strong cultural theme is observed in rituals, established through the organizational structure, practiced at councils, and provided by comments from outside reviewers.

Three chancellor led rituals illustrate the value of district-wide collaboration.

They are:

1. The fall in-service “state of the district” address given by the chancellor whereby all full-time employees are assembled under one roof. Much socialization takes place at this event.

2. One formal graduation ceremony held in May for all certificate and degree completing students of the four colleges.
3. A district Conference Day held in the spring semester during the even numbered years. During odd numbered years individual colleges hold their Conference Day at the same time. During this mandatory professional development day, all offices are closed and no classes are held throughout the district.

The functional structure of the district also ensures collaboration between the district office and separate colleges. Both college presidents and vice chancellors are in the same personnel category and report directly to the chancellor. They routinely meet as an Executive Council (EC) and are chaired by the chancellor. Additionally, the various vice chancellors chair appropriate councils whose membership includes representatives from all colleges. For example, the Executive Vice Chancellor chairs the Council for Education and Student Development (CESD) whose members include all five college academic vice presidents and vice presidents/deans of student development. A District Instructional Council (DIC) was created in 1995 for the purpose of bringing faculty supervisors from across the district together to share common concerns and area best practices. Chairmanship rotates between the colleges on an annual basis. The researcher was a founding member of this council. Faculty Senate presidents collectively meet with the chancellor on a regularly scheduled basis.

For at least the past five years, the Associate Vice Chancellor over curriculum (who reports to the [Executive] Vice Chancellor of Education and Student Development) planned with the academic vice presidents a half day to one day training event for curriculum facilitators who are faculty supervisors. This event reviewed new curriculum initiatives and provided updates from THECB representatives. Over the past two years the Executive Vice Chancellor included brief updates from other district vice chancellors.

The following external reviewers provide further evidence of the collaborative culture of the district.

Comment taken from the SACS Consulting Team for the Self Study (p.3):

The leaders of the self-study are to be commended for involving large numbers of people in the effort, leading to increased communication and collaboration both within individual colleges and across the district.

Comment taken from the SACS Alternate Reaffirmation Committee (p. 2)

The communities within the District were keenly involved in all phases of both aspects of the alternate study. Significant numbers of faculty, staff, and administrators played substantial and appropriate roles in the development of ideas, strategies, and findings. The ownership of the process is remarkable given the size of the District and the complexity of its operation. In fact, the process is surely an excellent model for institutions of the size and complexity of the North Harris Montgomery Community College District that are approved to complete the alternate self-study process.

Comment taken from the THECB Site Review Team (p. 4)

The team was impressed with the emphasis on collaborative teamwork at NHMCCD that goes beyond anything team members have seen elsewhere.

Competition

On the heels of the THECB quote about collaborative teamwork, was the following statement: However, this teamwork does not preclude a healthy competition among the colleges.

The fact that the five colleges are separate entities with strong leaders and distinct cultures sets them up to compete with one another. This is perhaps most obvious when developing budget allocation models, deciding where expensive one college programs will reside (Biotechnology, Veterinarian Technology, Dental Hygiene), and developing a one size fits all model or program (faculty evaluations). Additionally, employees strongly identify with their local place of work – whether it is one of the colleges or district office. In reality, when district initiatives compete with college ones for employee time and effort, the college one will win out unless the college president makes it obvious that the district initiative is a priority.

As one administrator stated: “We have a love-hate relationship with each other and with district. Sometimes we need to collaborate, but at other times we must protect our turf.” One top district administrator noted that he was so successful as a college administrator in getting the College name known in the community that when he now talks to the same people about NHMCCD, they do not know what he is referring to.

The DIC, made up of first line faculty supervisors from across the district, is viewed by the EC and CESD as a cross between collaborative and competitive.

When the DIC was first created, members wanted representation to CESD. At that time the vice chancellor overseeing CESD did not feel it appropriate for the DIC to have membership in CESD, but rather that CESD charge the DIC with appropriate instructional initiatives. This on-going conflict persists. Even the DIC minutes reflect the title “guest” for anyone who is not a faculty supervisor – even the Executive Vice Chancellor and his associate.

Quality

Evidence is plentiful that creating and maintaining high quality is a shared belief district-wide. The symbol for the district is a star. The logo for each college is a star of a distinct color. The inference that NHMCCD is star quality is on every district and college publication.

Numerous reports from both students and employees cite the perception of the district as committed to high quality education. One Associate Vice Chancellor said, “We are a high quality district – just look around. Other [colleges in the Gulf Coast] are not in the same ballpark when it comes to curriculum design, core curriculum, work teams, or technology. They look to us for leadership.”

At the exit conference of the SACS Visiting Committee, the committee chair opened by saying, “All is well at North Harris Montgomery Community College District.” Indeed, it appears so judging from the final report from the Alternate Reaffirmation Committee reflected in five recommendations, four suggestions, and four commendations. The five recommendations centered on faculty credentials,

which have all been satisfactorily resolved. As the Chancellor noted in his April 16, 2001 email to employees:

The Committee commended the District on the following: 1) planning and evaluation, 2) addressing community needs and creating a seamless transition for students, particularly the model embodied by The University Center, 3) establishing effective learning environments in NHMCCD Learning Centers, and 4) maintaining excellent facilities and grounds. All of us should take exceptional pride in the Committee's compliance report. To put their findings in perspective, ten years ago, the time of our last SACS visit, the District received twenty-six recommendations, twenty-two suggestions, and no commendations.

Fiscal Responsibility

It is imperative for a college district to demonstrate fiscal responsibility to ensure continued taxpayer support. Since the District's primary funding source is now the taxpayer, financial accountability is highly visible. The District funding sources are from property tax (39 %), State funds (37%), student tuition (23%), and other (1%).

Evidence of taxpayer support for the growth and management of district resources comes from the overwhelmingly positive votes on the last two bond referendums. Also noted by the SACS Reaffirmation Committee (p. 40),

The College's resources appear to be well managed and appropriately distributed among all NHMCCD programs... finances are adequate, appropriate, and in compliance ...

And on page 35:

Evidence in interviews and documentation shows the administration of NHMCCD has brought together its various resources and allocates them effectively to accomplish institutional goals.

The THECB site review team wrote (p.3): The district is in excellent financial condition.

ORGANIZATIONAL CULTURE OF KINGWOOD COLLEGE

Like the District, Kingwood College demonstrates strong beliefs for collaboration, competition, and quality. It also has a student-centered environment and a sense of security for risk taking.

Collaboration

The collaborative culture for Kingwood College is evidenced by the effective functioning of many councils and interdepartmental committees. Examples include:

1. **President's Council** whose members are the three vice presidents, Dean for Student Development, Dean for Institutional Effectiveness, Dean for Technology, Director of Public Information, Director for Grants, and President as chair.
2. **Administrative Staff Council** is chaired by the President and is made up of all college administrators and the presidents of Faculty Senate and Staff Council. The purpose of this council is to provide for on-going administrative professional development.
3. **Instructional Council** is comprised of the three vice presidents, associate deans (faculty supervisors), Dean for Educational Services (Teaching & Learning Center, Academic Support Center, Distance Learning, and Library), Dean for Student Development, Dean for Institutional Effectiveness, Dean for Technology, and the Evening/Weekend Coordinator. The researcher, as the

academic vice president, chairs this council's weekly meetings. This council serves many functions, including providing training for members when deemed appropriate.

(Note: professional development activities for administrators are most commonly offered through one of these three councils.)

4. Faculty Senate formally meets the first Tuesday of every month.
5. Faculty Senate-Instructional Council jointly meet the Thursday following the Faculty Senate meeting.
6. Staff Council meets monthly.
7. One to two times a year the Instructional Council, Faculty Senate, and Staff Council meet.
8. Recruitment and Retention Committee – cross disciplinary and department areas membership meet as needed.

Numerous other committees meet across the college including “after action review” committees for each registration cycle and for new procedures or program initiation. Also, the president, academic vice president, teaching and learning center director, and the public information office director disseminate updates and newsletters regularly.

Also noted by the THECB Site Review Team (p. 15),

Kingwood College's Instructional Council is responsible for the development and implementation of the [strategic] plan at the college. ...The team commends the institutional research staff for the effective use of data and for making it an integral part of Kingwood's improvement and decision-making efforts.

Competition and Quality

As the second college established in the district, Kingwood College had to develop high quality programs and initiatives to establish its own identity separate from the much larger “main campus” as the North Harris College was then called. This competitive culture persists today. Competition is more between the colleges than within departments of the college.

Quality indicators for the college are the: numerous and consistent international awards and officer positions won by the college’s Phi Theta Kappa honor society; highly visible state officer positions held by the college’s Student Government Association; a Minnie Stevens Piper Faculty Award Winner; THECB exemplary programs in computer graphics and networking; THECB exemplary Continuing Education Program (evening child care and summer youth programs); award winning Delta Epsilon Chi student association; 2000 National Council of Instructional Administrators first place award; 1999 Award of Merit from the Southern Association of Institutional Researchers; Texas Association of Institutional Researchers 2002 First Place Award for Best Presentation of Statistical Data; and two Bronze Medallions for publications from the 2000 National Council for Marketing and Publication.

The cultural themes of competitiveness and quality are indicated by the astonishing growth in student enrollment over the past several years. By uncapping the limit on funding course sections that had potential to grow, target recruiting, and

publicizing quality programs, the student enrollment increased from 4000 in the fall 1999 to 6000 expected for fall 2002.

Student Centered

The college has been steadily working to establish a more student centered culture. This is reflected by the increasing number of faculty/staff sponsored student activities and clubs; an the emphasis on student success as measured by retention and successful course completion; and the attendance at planned professional development activities around learning facilitation as well as the faculty attendance at open forums concerning academic student issues.

Both faculty and administrators solicit student feedback. It has been the practice at Kingwood College for instructors in every class to ask for student feedback via an instructor/course evaluation. The results are viewed by the faculty supervisor before being given to and discussed with the faculty member. Also, several faculty supervisors personally meet with their division classes (which number 200 plus) at the beginning of each semester to let the students know they are there to hear the good news about their educational experiences and not just problems. Additionally, the college president sponsored several focus group sessions with students for feedback on their educational experiences. Many of the comments students gave were acted upon by either the direct supervisor over an area that needed addressing or through the retention and recruitment committee initiatives – especially those with a budget impact.

Concentrated efforts for training in and recognition of friendly customer service have been implemented over the past several years. The student services area at Kingwood College was very close to being ranked as exemplary by the THECB last year. As the relatively new Dean and advisors establish on-going practices, this area should become exemplary in serving students.

Also, every attempt is made to provide faculty with a greater awareness of student success indicators. Examples include:

- Grade distribution reports that show trends over time for the individual faculty members and how they compare with the average of all full-time faculty teaching the same course and to all part-time faculty teaching the same course. This report reflects withdrawal and retention rates as well. All faculty receive information on course retention rates including drops made from the first day of class to the official day of record.
- Follow up reports on students flagged by faculty as needing attention/support services in order to successfully complete their course. This is the early academic alert program.
- Numerous professional development workshops, seminars, idea exchanges, and modeling on active learning and learning communities.
- Use of a Student Supplemental Instructor peer teaching program.

As the Faculty Senate President (and former Faculty Teaching Excellence Award Winner who regularly volunteers for general student advising) commented: “Our students know they have a good thing here. They know we care about them and when they go off to the big universities, they tell me they wish they treated them the way we do.”

Further evidence is provided by the THECB Site Review Team's statement on page 18 of their report:

The team complimented all of the Kingwood staff as being friendly and team-oriented. The student-centered approach at Kingwood College is evident at all levels, from the administration to the faculty and staff.

(p. 17) It is apparent that students are at the center of everything Kingwood College does.

Risk Taking – Innovation

Most long time college employees consider Nellie Thorogood, Ph.D. to be the founding mother of the college. She is known far and wide as an innovator. As the former college president, she helped establish the first biotechnology associate degree program in the state. As the NHMCCD vice chancellor, she was the driving force behind the successful creation of The University Center. Dr. Thorogood left her mark on many Kingwood College employees instilling them with the notion that anything is possible.

Further evidence of the innovative practices of the college come from the words of both THECB reviewers and faculty supervisors interviewed. With regard to the Tuesday-Thursday 12:30-1:30 "Dead Time" (when no classes are held), the THECB site review team commends the college for the innovative use of this time. During this hour twice a week, student activities/clubs meet, Faculty Senate meets, division and department meetings occur, and professional development seminars/mini workshops are offered. Also, on page 18 of their report, the site review team states,

Retention and success is the focus of much attention from the faculty and staff. The college provides an Early Academic Alert Program, Second Start. The team commends this innovative approach

Two other innovative initiatives undertaken by the college are:

- a developmental studies program pilot that has had such a positive impact on student success, it will become institutionalized this year.
- the development and implementation of a Teachers Education Certification Program to certify those with baccalaureate degrees to teach in public schools. Kingwood College is the first in the district and one of the first in the state to provide this much needed service to school districts.

The five Kingwood College cultural themes are supported by the on-going quest to “close the loop” and analyze the result of efforts/goals. Student, faculty, and administrator feedback is constantly solicited. As the academic vice president, the researcher asks faculty to give feedback on their perception of their supervisor’s leadership skills. This feedback is incorporated into the supervisor’s evaluation. At the same time, she also asks those who report to her, how she could better serve them. Additionally, she asks those who report to her to give feedback to her boss about her leadership skills. As the chair of the Instructional Council, expectations and assessment of goal attainment are reviewed annually during an off campus retreat. The overriding value for inspecting past performance is to continually improve.

CULTURAL BARRIERS AND SUPPORT FACTORS FOR A FACULTY SUPERVISOR TRAINING PROGRAM TO ASSESS PERFORMANCE

In considering the major cultural themes of both the District and Kingwood College in the development and implementation of a faculty supervisor training program to assess faculty performance, several structures, practices, and interpersonal

communication styles of key leaders became barriers and provided support for this initiative. The existing barriers at both the District and College levels are presented first followed by the factors that supported the initiative. The subcultural tensions between district and the college and between the administrative leaders, faculty supervisors, and faculty will be interwoven as both barriers and support factors.

Barriers to a Training Program

Five cultural barriers that emerged from the district level to developing and implementing the training program were:

1. No prior district commitment to establishing a systematic professional development program for employees – especially administrators. Evidence that this is the vision of one vice chancellor comes from the April 2001 report *A Descriptive Evaluation of Professional Development and Training at North Harris Montgomery Community College District* authored by Polidore. As noted on pages iv-v,

The purpose of this evaluation was to identify what NHMCCD campuses are currently providing for professional development and training for faculty, supervisors, and professional and support staff....The Vice Chancellor [for Organizational Development] requested an evaluation of professional development and training district-wide to assist her with recommendations for formalizing and tracking development for all employees. Currently, all campuses have some form of professional development program but there is no consistent program, tracking or minimum guidelines provided by the district. The Vice Chancellor would like to see development elevated to a more meaningful and relevant component of the entire learning community, by implementing a “district goals driven” professional development program, that tracks, rewards, and meets the needs of all staff and students.

Indeed, the results from this evaluation note: “Most professional development seems to be geared toward faculty only. ...None[of the administrators] indicated they had any professional development to assist them with developing others” (p. vii).

This evaluation is not surprising when considering that the culture of the district has been to collaborate and coordinate initiatives rather than to direct or lead them – especially ones that impact the colleges. When the need arises for a change to occur across the colleges, the chancellor calls for a taskforce made up of many college and area representatives to study the issue and make a recommendation. This normally takes two years. Even the outside reviewers noted in the THECB report (p.2)

NHMCCD’s planning and evaluation process is a fairly recent approach to coordinating and cooperating across the district.... The team observed inconsistent planning efforts across the four colleges and believes that some district review may benefit the colleges and the entire district. Since NHMCCD is accredited as a district, it seems logical that the district should provide some oversight.

2. A shift in support from the Executive Vice Chancellor ultimately given oversight of the project. This is understandable from several levels. First of all, it is hard to reconcile that a problem exists around faculty supervisor training as it relates to either faculty evaluations or student success. The THECB performance indicators show NHMCCD is “above the state average in Graduation/Persistence, Retention and Remediation and 3-year Graduation Rates” (Polidore, p. viii).

Second, ensuring that a trusting relationship be built with the DIC members had to guarantee that their time table be respected above others. And lastly, he knew the reorganization was imminent.

3. A lack of clarity on oversight coordination/collaboration. Three vice chancellors all had areas of responsibility that pertained to developing a faculty supervisor training program, therefore, making it legitimate for them to lead – or at least oversee – this project. Until the middle of January, only two vice chancellors were involved. A lack of clarity on which vice chancellor was to oversee this project occurred and was compounded by a lack of coordination with the faculty supervisors on implementing the training program.
4. Reorganization. Eight days after the training program was implemented (portfolio training), the chancellor informed all teaching faculty supervisors that their positions were being eliminated.
5. Time. The past initiatives that have been successfully developed and implemented across the district have taken time for buy-in – usually two years. The new faculty assessment model was approved August 27, 2001 for a January 2002 implementation. This meant faculty supervisors had until between April 1 and May 10 to receive training and evaluate their faculty.

Since a training program was implemented at Kingwood College, there were few barriers. Certainly, the short timeframe, limited resources, and reorganization hastened the number and kinds of training activities provided.

Support Factors for a Training Program

Many support factors at district helped to initiate this training program.

Among these were:

1. Chancellor approval and financial support for commencing the project.
2. Initial support and continuing interest from the DIC members. Many faculty supervisors were open to training to help them assess faculty performance and help them improve performance. Between 25 to 50 percent of the faculty supervisors at the various colleges were new to their position this year. They wanted training. Also, the researcher had some credibility as a former faculty supervisor and as the chair of the taskforce committee that developed the new faculty assessment model (albeit modified by a final review committee).
3. Reorganization of faculty supervisor positions to deans provides two incentives for supporting a training program. First, the job description changed to emphasize more of a leadership role with faculty for student learning. Second, new supervisors were hired.

The support for implementing the training program at Kingwood College came from the college president, faculty supervisors, faculty and other college academic vice presidents. Each is briefly detailed below.

1. The college president has a strong philosophical commitment to on-going supervisor training sessions that are not one time efforts.
2. The four teaching faculty supervisors were supportive of this project from its inception. They all had experience with on-the-job training and thought there must be a more rational approach to assessment. In the final focus group interview, one supervisor stated:

I think anytime you offer a number of training sessions on something, you are establishing the idea that it is an important process first of all. If you tell people to do something and then you don't tell them how to do it, you are not really backing it, you're not really supporting it.
3. Faculty were generally supportive of the training efforts for several reasons – they thought training for their supervisor was a good thing. Many had actually been supervisors and knew that training efforts were rare (as per conversations with the researcher and the supervisors). Their major concern was to have a fair consistent evaluation done by someone competent to judge their performance. Also, the information session held by the researcher with the faculty was well attended.
4. The four other college academic vice presidents were supportive in wanting to see a program developed and implemented across the district. When it became apparent that this was not going to happen, three colleges sent faculty and faculty supervisors to the portfolio training session sponsored by Kingwood College. One of the vice presidents also requested that the researcher give a two-hour training session to her faculty supervisors on how

to use the evaluation instrument and process. This took place April 10 with around 19 faculty supervisors.

Subcultural Differences

Subcultural differences were observed between faculty, faculty supervisors, and upper administrators. The differences between the faculty, their supervisors and upper administrators are evidenced in their ways of collaborating and competing with one another. Faculty are non-competitive with one another within departments and across the district. The college district does not have a structure or system that encourages them to be competitive. There is no merit pay or tenure. However, in general, faculty do not collaborate unless a special initiative requires it. Teaching has traditionally been an individualized experience. The establishment of faculty development centers (which have been at three colleges for several years, but still not at a fourth college) and enticements offered by the upper administrators are slowly changing this mindset to one of collaboration.

Faculty supervisors are first line supervisors who are sandwiched between the faculty they supervise and the upper administrators to whom they report. Their first priority is to be an advocate for their area in supporting their faculty. Therefore, they are primarily focused on faculty issues over student issues and divisional needs over college needs. The organizational structure encourages them to be competitive in serving their division. They compete for resources within the college and they compete for faculty and student enrollment between the colleges. The DIC members

struggle between wanting to collaborate on common issues and compete over others.

As a council, independence from other administrative councils is cherished.

The academic vice presidents work in a system whereby they are more collaborative than competitive. When it is clear that an initiative is in the best interest of the district as a whole, they collaborate.

In summary, faculty tend to be non-competitive and non-collaborative. Faculty supervisors tend to be more competitive than collaborative. Upper administrators tend to be more collaborative. Therefore, the distinct subcultures influenced the dynamics between the DIC Chair, the Executive Vice Chancellor, and the researcher in implementing a training program.

CHAPTER SUMMARY

The cultural themes and factors that helped shape them at both the District level and Kingwood College level were reported and analyzed as they related to addressing the research question: How does the organizational culture of a community college facilitate or impede the development and implementation of a faculty supervisor training program on the assessment of faculty performance? While District support was critical for the initial development of the program, the culture at Kingwood College was conducive to implementation. Both cultural barriers and support factors that existed at both the District and College levels influenced the development and implementation of a supervisor training program. Evidence of subcultural tensions between various administrative groups and faculty were noted.

CHAPTER SIX PARTICIPANT PERSPECTIVE FINDINGS

When the student is ready, the master teacher will appear. Chinese Proverb.

This chapter presents overall participant findings from the study and addresses the third research question: What do community college faculty supervisors perceive to be (a) significant factors contributing to the success or failure in the development of a supervisor training program on the assessment of faculty performance, (b) the outcomes of the initial implementation of the supervisor training program on the assessment of faculty performance, and (c) the long-term outcomes for the college? Each phase of the study involved participants; therefore, this chapter presents their findings from phases I, II, and III. While findings from phases I and II set the construct for phase III, phase III specifically addresses the third research question.

The findings reported below were taken from direct and indirect communications with participants and personal observations. The data was analyzed using different methods and during different timelines of the study.

PHASE I: THE NOVEMBER RETREAT

Phase I took place at the November 26, 2001 retreat with 47 faculty and faculty supervisor volunteers. The culminating IQA activity (as detailed in chapter four) of producing a System Influence Diagram (SID) became the template for identifying faculty supervisor training needs for assessing (and improving) faculty performance. After both the faculty and faculty supervisor SIDs were reviewed, the researcher opened the floor for comments, questions, requests, and suggestions about

training needs. (See chapter four, program formulation for copy of comments.) This information augmented the analysis produced by the focus groups SIDs.

Participant findings from this day are voluminous. Findings include the following:

- demographics
- culture of trust with supervisor and/or faculty
- satisfaction with current evaluation process (new model implementation is two months away)
- opinion of new evaluation model
- perceptions for making evaluations meaningful
- perceptions on greatest training need for supervisors to assess/improve faculty performance
- opinion of comprehensiveness of new assessment model
- focus group affinities
- focus group affinity relationships (Combined Interview Theoretical Code Frequency Table)
- focus group SID model
- Kingwood College faculty supervisor comments of process as stated in final focus group interview

Demographics of Attendees at the November 26 Retreat

College	Kingwood College	Montgomery College	North Harris College	Tomball College	Totals
Total attendees	10	9	19	8	46
Faculty supervisors	5	5	11	4	25
Faculty	5	3	8	4	20
Other	-	1	-	-	1
Female	7	5	14	5	31
Male	3	4	5	3	15
Caucasian	10	6	15	4	35

Table 6.1

Demographics of Questionnaire Responders at the November 26 Retreat

College	Kingwood College	Montgomery College	North Harris College	Tomball College	Totals
Total Respondents	9	7	16	8	40 + 1 fr. ?MC/NH
Faculty supervisors	5	4	7	4	20 + 1 fr ?MC/NH
Faculty	4	3	9	4	20

Table 6.2

Additional demographic information obtained from the questionnaire includes (a) years in their current position, (b) years at NHMCCD, and (c) for faculty only – last evaluation and if they were scheduled for an evaluation during the spring 2002. (Appendix M) The responses indicate that the faculty participants have been in their current position almost twice as long as their supervisors. The average number of years faculty participants have been teaching is 8.2 compared to 4.9 years supervising for participants in a faculty supervisory role. Six of the 21 faculty supervisors reported that they have been in their position less than one year. Several were interim

faculty supervisors serving in this capacity for no more than a year. One supervisor had been in the position (new to the district) only two days. This faculty supervisor turnover rate is not shocking given the growth of the district and the national average of a 25 percent annual turnover for faculty supervisors (Gmelch). However, faculty supervisors have been with the district an average of 10.9 years compared to faculty's 7.4 years. Rarely is someone hired as a faculty supervisor who has not previously been a full-time faculty member of the district.

Eighteen of the 20 faculty participants indicate they have been evaluated within the past three years. When asked if they were to be evaluated this spring (as the new model goes into effect), seven did not know, seven said no, and six said yes. The new model calls for evaluating seasoned faculty (teaching in the district over three years with a positive last evaluation) on a three year rotating basis rather than a two year one which has been the practice. The district left the process to individual colleges for deciding how to rotate faculty to this new evaluation cycle. Evidently, even though the new model implementation was less than two months away, some colleges had not determined or communicated who was going to be evaluated in the spring 2002.

The phase I questionnaire contained four Likert scale questions with 1 being very poor, 2 being poor, 3 being OK, 4 being good, and 5 being very good. An analysis of the findings for each question area (culture of trust, satisfaction with current evaluation process, and opinion of new evaluation model) is presented below.

Culture of Trust

A seemingly high level of trust exists among the participants with their supervisors and college faculty. Faculty indicated an average score of 4.4 for their trust level with their supervisor and a 4.2 with their college faculty. The faculty supervisors indicated an average of 4.2 with their supervisors and a 4.5 with their college faculty. While there may be many factors that contribute to the high level of trust between the two participant groups, consideration must be given to the fact that the supervisors chose their faculty to participate and the faculty who participated wanted to come.

Satisfaction with Current Evaluation Process

Faculty and faculty supervisors have the exact same average of 3.4 indicating slightly better than an OK rating of the current evaluation process.

Opinion of New Evaluation Model

Faculty supervisors rated the new model a 3.9 average compared to the faculty average of 3.4. The reasons for this difference are not clear. Both focus groups gave a wide variety of responses on the last question of the questionnaire as to whether or not they thought the new assessment model is missing any essential components. Evidently, faculty were more compelled to comment than their supervisors since 16 of the 20 faculty participants did compared to 11 of the 21 supervisors. (Appendix M. reports these details.) Comments given ranged from the new model being too abstract and detailed, to not having a well defined rating criteria, to no incentives or

consequences, to it covers all of the essential components. Since any faculty assessment model impacts the faculty member to a greater extent than the supervisor, any change may not be perceived as positive compared to the familiar.

Perceptions for Making Evaluations Meaningful

The questionnaire asked participants what they believe is the biggest challenge in making faculty performance evaluations meaningful to faculty and to faculty supervisors respectively. Most comments from both groups correlated well with the information obtained from the IQA activity. Participants want the evaluation to be meaningful, otherwise, it is wasted effort. All of the responses are noted in Appendix M.

Strategies for Assessing/ Improving Faculty Performance

The participants were asked what they believe is the greatest training need for faculty supervisors to assess and help improve faculty performance respectively. Their responses complimented the information obtained from the IQA activity. Many of the responses can be interpreted as supervisor strategies for improving faculty performance. The many responses are noted in Appendix M.

Opinion of Comprehensiveness of New Assessment Model

As stated previously, opinions about the comprehensiveness of the new model were varied. Question #9 on the questionnaire asks if the participant thinks the new faculty assessment model is missing any essential components? If yes, what is it? The responses from each group are reported in Appendix M. A future study by the

district faculty assessment review committee may want to ask the users of the new model the same question to verify suggested revisions to the model.

Focus Group Affinities

Unfortunately, the tape recorders did not record audibly either focus group discussions. However, a brief description of the meaning of each affinity is presented below based on the participants’ brainstorming activity, comments made at the end of the retreat, and the researcher’s observations. The descriptions of affinities from the faculty focus group are noted first followed by the faculty supervisors’. Each group coded eight affinities, four of which were in common. They are presented in alpha order along with the number of individual responses.

Focus Group Affinities & Number of Responses

Faculty Group Affinities	# Responses	Faculty Supervisor Group Affinities	# Responses
1. Consistency	19	1. Affirmation	19
2. Efficiency	19	2. Communication	20
3. Emotion*	21	3. Emotions*	8
4. Evaluator Competence	21	4. Meaningfulness/Purpose*	15
5. Evaluator/Instructor Relationship*	22	5. Mechanics	6
6. Faculty Benefit	15	6. Relationship Building*	16
7. Purpose*	16	7. Strategies for Improvement	15
8. Student Benefit*	13	8. Student Benefits	5
TOTALS	146		104

Table 6.3

Faculty Focus Group Affinities

The co-facilitator Mr. McCoy led the faculty focus group. Mr. McCoy directed the imagery session and asked faculty participants to silently brainstorm their

experiences with being evaluated. They clustered their responses into the eight affinities described below.

1. **Consistency**

Out of the 19 participant descriptors for this affinity,

- Four state consistency/ inconsistency.
- Four relate to relationship trust factors with the evaluator.
- Four relate to student feedback questions, how they are interpreted, and if they are valid.
- Four relate to the consistency/inconsistency of the instrument itself, use of definitions (vague) and process. During the open forum at the end of the session, the following comments were made to further describe the consistency affinity.

Consistency on appraisals requires set norms and model/ role-play as part of AD training.

Since the new model requires faculty to submit their self-evaluation (their reflections and evidence of performance), what should they include? They need to know AD's expectations for all parts of assessment. This needs to be addressed at the college level and be consistent.

Training should include all who evaluate instruction (coordinators evaluating adjunct faculty). This comment could also be included under Evaluator Competency.

2. **Efficiency**

Out of the 19 faculty descriptors, five specifically mentioned waste of time or timelines or takes too much of their time. Four descriptors specifically mentioned it required more paperwork or it was just an exercise in paperwork. In contrast to this connotation on time and paperwork, other comments were: "very little follow

through”...“lack of prior goal setting”... and “neglects what’s important to instructors.” All of these imply commitment of time and paperwork. Another respondent noted that evaluation was a rare occurrence.

Several faculty responded to the questionnaire part that asked how to make evaluations more meaningful by stating “make them less time consuming.”

3. **Emotion**

Twelve of the 21 faculty descriptors were negative. They mostly described autonomic nervous system responses to flight, fright, or fight (i.e. “nervousness, shallow rapid breathing, sweaty palms, jitters, ...”) Seven responses were positive using terminology such as “relaxed, potentially helpful, improve, insightful, and positive attitude.” Two neutral descriptors were “a conversation” and “teacher openness to atmosphere.” Even though participants noted a high trust level with their supervisor, just being evaluated puts many of them in a defensive/ offensive mode.

4. **Evaluator Competence**

Most of the 21 descriptors related to concerns that their evaluators either do not know their content matter/subject and therefore cannot judge their teaching or they do not have an open mind and are therefore prejudiced and judgmental in their assessment of performance. Several comments from the faculty responses to the questionnaire support these concerns. In addition, the following comments were recorded from the open forum at the end of the retreat.

How do associate deans assess accuracy of content knowledge if they are not content experts and peer evaluation does not occur? ADs need help in evaluating (and how to evaluate through observation) distance learning classes.

5. **Evaluator/Instructor Relationship**

Seven of the 22 descriptors were truly positive, with three saying “friendly.” Nine descriptors were somewhat sarcastic or skeptical stating “thanks for telling me how to do my job”...”unbiased?”...”making sure to play the game well”...”the real goal is not the improvement of instruction”... Even though faculty expressed more negative connotations than positive ones to the evaluator/instructor relationship, ratings on their trust level with their current supervisor were high - between good and very good. One of the faculty comments from the questionnaire part on how to improve performance said: “TRUST by faculty and sincere desire for growth. This growth should eventually come from within the faculty member.”

Since some of the faculty members have been in the profession a long time and are sure to have had many supervisors, they may have had a poor relationship with at least one that is still remembered. Another possibility is that they exaggerated the rating they gave on their supervisor trust level.

6. **Faculty Benefit?**

All 15 descriptors are somewhat derogatory. It is clear that faculty question the value of evaluations being for their benefit. Some of the comments were:

Good profs do their own meaningful evaluation – bad profs don’t care.
USELESS.

Do I really need someone else [to] tell me what's wrong with me?
If I knew better, would I do better?
Nuisance

7. **Purpose**

Nine of the 16 descriptors were positive noting that evaluation experiences were an “opportunity for growth” ... gave “potential for encouragement and mentoring”...and was a “good idea.” Other positive descriptors were stated as:

Chance to “strut my stuff”
Accountability for performance – a good thing!

Three faculty descriptors seem to reduce the purpose to something minimal with quips like, “necessary” ... “prove worth” ... “does evaluation make a difference?” Two descriptors related to consequences (“job consequences” ... “the ‘what if’ concept”) and only two indicated a positive potential purpose in stating: “Potential for encouragement and mentoring” and “evaluation is a growth experience.”

8. **Student Benefit**

All 13 descriptors for this affinity were positive with statements like:

Generate student interest in learning
Hoping students are interactive
Respect for each student

One of the faculty responders to the questionnaire stated: “Student learning is what makes teaching meaningful – if evaluations aid that end, they are a worthwhile tool.” Another faculty responder stated that in order to make evaluations meaningful to supervisors, “They have to believe it will help instructors and ultimately students.”

Faculty Supervisor Affinities

While the co-facilitator led the imagery to prepare faculty supervisors for the silent brainstorming about their experiences evaluating faculty, the researcher facilitated this focus group's affinity diagramming. A description of the eight affinities, augmented by comments at the end of the session and by information stated on the phase I questionnaire, is given in alphabetical order.

1. Affirmation

Experience with the positive declaration of faculty's performance is clear from the 19 descriptors. While five of the descriptors are about planning -as in relating goals and objectives to teaching, the division, the college – the other 12 reflect “affirming celebration of strengths”...”hopes and dreams”...”I enjoy faculty”... “recognition”... Affirmation descriptors are also reflected in the faculty supervisors' comments on the questionnaire. One supervisor wrote that evaluations would be more meaningful to them by: “Encouraging faculty to showcase their achievements, initiatives, and weaknesses.”

2. Communication

The majority of the 20 descriptors for communication relate to being sensitive to what is said and heard during the evaluation conference. Eleven descriptors relate to interpersonal skills, six to relationship with faculty, and three descriptors relate to supervisor training needs. Much discussion centered on the interpersonal communication skills needed by supervisors when “discussing faculty weaknesses”

with “honesty and tact” in trying to be “clear” but “empathetic.” These descriptors are further supported by the comments made at the open forum later that day. Some of the comments are noted below.

Evaluation should not be a surprise – should have on-going conversations throughout the year.

Best practices should be shared. Lots of experience exists within the group. Conflict resolution – need meaningful training. (Not just recognition of own emotions, but how to deal with difficult people.)

ADs want scenarios that include role playing/modeling and teaming as part of training sessions (e.g. interpersonal communication). Videotape for future use, or if good videos are available, purchase them.

3. Emotions

Originally the group placed all of the descriptors for emotions and mechanics under one category named “Pain in the Butt.” However, further reflection called for separating them. The eight descriptors of the emotional experience of evaluations refer to both that of the supervisor giving the evaluation and the faculty member receiving it. There is “uneasiness”...”fear”...and “defensive[ness]” on both sides.

4. Meaningfulness / Purpose

Discussions were animated when participants were clarifying the 15 descriptors for this affinity. None of the descriptors had a positive connotation and reflected the participants’ frustrations. Their frustrations were with the actual evaluation instrument, the time constraints needed to do a good assessment of performance, and how to get faculty to value them. Their descriptors were well supported by comments given on the questionnaire. Some examples of responses to

the question on what is the biggest challenge to making evaluations meaningful to them were:

That it means something to the faculty.

Knowing the evaluation process is taken seriously by faculty – that they appreciate the positive comments and take the areas to improve on to heart.

It needs to be a tool that will reward good work and a tool to help improve others.

Instruments that really create a big picture view of a faculty member's contributions.

Multi-year contracts mean (sometime?) that faculty have little motivation to change.

5. Mechanics

Four of the six descriptors on mechanics dealt with “too time consuming/ time intensive.” This sentiment was also reflected in the comments on the questionnaire. Most faculty supervisors oversee divisions with 10-30 full-time faculty and 10-80 part-time faculty. They are the instructional managers and leaders of their division. Anyone who has ever done this job agrees that the workload is not reasonable and certainly not realistic for spending a lot of time assessing – let alone improving – the work of full-time faculty.

6. Relationship Building

The 16 relationship building descriptors were all positive. Terms like “reflection, opportunity to interact, sharing, collaboration, collegiality, and cooperation” captured the participants' sentiments. Evidently, many supervisors feel that the one-on-one summative conference is usually a positive relationship building experience.

7. Strategies for Improvement

The 15 descriptors for this affinity centered on coaching and problem solving skills as well as knowledge about how to assess and improve teaching and learning.

These descriptors are supported by the following comments made in the open forum.

Associate deans need help on addressing faculty members who need to improve performance and/or behaviors. Specifically, ADs need legal training on how and what to document as personnel / discipline issues. Also, ADs need to know coaching strategies for how to help faculty improve. Bring in outside experts. Use HR for some of training on contract issues.

Associate dean mentoring is a definite need.

ADs need a resource tool bag for how to help faculty improve performance (teaching, interpersonal skills, etc.). This should involve the teaching & learning centers as faculty development resources.

Supervisor comments from the questionnaire give further support to strategy descriptors.

Understanding where students are coming from.

Know how to correct without threatening or offending.

Have faculty have a mindset that everyone can do something better.
Have them feel less threatened.

8. Student Benefits

Of the five descriptors, four are on student engagement in learning and one is to “focus on what is best for the students – all students.” One of the supervisor’s response to the questionnaire on what they believe is the greatest training need for supervisors to help improve faculty performance is: “Need a focus on active learning

techniques strongly endorsed by the President and Vice President and then training to implement it – by showing good examples.”

Summary and Comparisons of Affinities

The table below is a summary tally of affinity descriptors interpreted by the researcher as a main idea or by the tone from analyzing the raw data (Appendix I).

Comparison Summary of Focus Group Affinities

FACULTY		SUPERVISORS	
<i>Consistency</i> N = 19	4-inconsistency/consistency 4-trust with supervisor 4-student feedback 4-instrument, process, definitions	<i>Strategies for Improvement</i> N=15	9-training, knowledge skill 4-communication
<i>Evaluator Competency</i> N = 21	6-training 4-subject matter 2-content of lesson 2-see/know big picture of performance 2-trust 2-eval Interpersonal skills 3-other	<i>Communication</i> N = 20	11-eval interpersonal skill 6-relationship with faculty 3-training
<i>Relationship</i> N = 22	9-skeptical 7-positive	<i>Relationship</i> N = 16	16-positive summative conference
<i>Efficiency</i> N = 19	5-waste of time 4-more paperwork Rare, little follow through	<i>Mechanics</i> N = 6	4-time 2-forms/parts
<i>Purpose</i> N = 16	9-positive 3-skeptical 2-potential 2-consequences	<i>Meaningfulness/Purpose</i> N = 15	15-negative frustrations with time, instrument, value placed by faculty
<i>Faculty Benefit?</i> N = 15	15-negative	<i>Affirmation</i> N = 19	12-positive 5-met goals, objectives
<i>Emotion</i> N = 21	7-positive 12-negative 2-neutral	<i>Emotion</i> N = 8	8-stressful for them and faculty
<i>Student Benefit</i> N = 13	13-positive	<i>Student Benefit</i> N = 5	5-positive about learning

Table 6.4

The affinities and descriptors above reflect 1) the experiences faculty participants have had in receiving evaluations and 2) the experiences faculty supervisors have had in giving them. The finding that four of each focus groups’ eight affinities were the same is noteworthy. Almost all (about 21 out of 25) of the

faculty supervisors had previously been full-time faculty within the district. Six supervisors had been in their position less than one year – most came from faculty. Therefore, the “typical” supervisor in the district identifies with their faculty. Even though there are many similarities between the two focus groups four common affinities, there are also some differences. They are as follows:

Emotions

All eight faculty supervisor descriptors relayed stress and fear emotions compared to 12 of the 21 faculty descriptors. A future study might explore the background of the current faculty supervisors. It would be interesting to measure their emotional quotient to determine their level of empathy for others – specifically faculty being evaluated. A background investigation should include a profile of the kind of supervisor(s) the current faculty supervisors had when they were faculty.

Relationships

While all 16 of the faculty supervisor descriptors were positive, only seven of the 22 faculty descriptors were. Most of the supervisor descriptors indicated a positive view of evaluations as a summative conference – affirming faculty strengths. They named this affinity relationship building. Faculty seemed to look at the broader perspective of the evaluator/instructor relationship. Fifteen of their 22 descriptors were either negative or sarcastic. Several possible explanations may account for this difference. First, there is an obvious power disparity between the two groups. The ones in power think the relationship is fine. Second, one can only guess at the “baggage” or past history that some faculty may still be carrying. This may reflect

either a previously negative experience or simply an “us versus them” mentality known to exist in academia between faculty and administration.

Purpose

While none of the 15 faculty supervisor descriptors were positive, nine of the 16 faculty ones were. The supervisors expressed their frustrations with many aspects of the evaluation, essentially noting that it was not seen as meaningful to faculty. Some possible reasons for this may be due to the district’s long history of not sending a strong consistent message to all employees that evaluations are valued. There seem to be no rewards or consequences built into the system. Also, the perception of many supervisors is that faculty are rarely held accountable and that they are not empowered to do so. These sentiments were expressed on some of the questionnaire comments and by the participants of the final focus group interview. The following is a part of the dialog from the final focus group interview with the Kingwood College faculty supervisors.

Facilitator: How do you think we’ll get to that point where faculty see this as a long-term benefit? What will it take to get them to that point?

Supervisor: I think you’re right. I think that ultimately some sort of reward whether it’s monetary or some other way of it being recognized – I think that’s how faculty views it. I think many of them think that, my perception of what they think is, they think it doesn’t really matter if I am a high-high performer or a medium performer as long as I don’t get into real trouble because I’m gonna get paid the same anyhow. And especially people who have been here long-term, they have very little incentive to be getting better. I mean, in the history of being at this college, we don’t hold people to a higher level of accountability - we suggest, we recommend, we discuss, but we very rarely come back and say – you’ve been here for 15 years but you’re not going to be here for 16 if you don’t change. I mean that’s a very, very rare instance.

So, I'm hopeful that maybe we will see changing expectations in faculty with some consistency going along. To the college, I don't know about that, we've seen a lot of that. I think this openness about our training helps. I don't know –

Student Benefit

All five faculty supervisor descriptors and all 13 faculty descriptors were positive or hopeful that ultimately evaluations will mean student engagement. This response supports the notion that people go into this profession to help others learn.

Focus Group Affinity Relationships

As described in chapter three, participants of each focus group were asked to determine how their group's eight affinities related to each other. While each individual filled out their own affinity relationship table, the facilitators worked with their respective focus group to determine their collective (majority vote) decisions regarding the relationships between affinities. Each group's determination of relationships between affinities is illustrated in the group tabular IRD. The appendices contain a sample ART (Appendix D.), both the Faculty and Faculty Supervisor Group Tabular IRDs (Appendices G. and H.), and both the Faculty Combined Interview Theoretical Code Frequency Table and the Faculty Supervisor Combined Interview Theoretical Code Frequency Table (Appendices E. and F.) respectively.

Faculty Affinity Relationship IRD

Nineteen faculty completed an affinity relationship table and participated in the tabulation of the group interrelationship diagram. Only two pairs of affinity

relationships failed to reach consensus by 80% of the participants. Nine faculty voted that affinity #1 (consistency) caused/ influenced affinity #4 (evaluator competence) compared to eight for the reverse cause. (Two faculty members refused to vote adhering to the belief that they equally influenced each other, even though that was not a relationship choice.) Based on this narrow lead and no other possibilities as the system influence diagram model was constructed, consistency became the primary driver and evaluator competence the secondary driver.

The other pair that failed consensus by receiving equal numbers of votes was affinity #2 (efficiency) and affinity #5 (evaluator/instructor relationship). Since the relationship between the affinities was not revealed by the system influence diagram and could not be determined from the faculty questionnaire responses, it will await further exploration in a sequel study. All other affinity relationships were clear establishing a very linear model.

Faculty Supervisor Affinity Relationship IRD

Twenty three faculty supervisors completed their affinity relationship table and participated in the tabulation of a group interrelationship diagram. Out of eight affinities, relationships between four pairs were clear. Communication received all “outs” and therefore was the undisputed primary driver in the system. Likewise, affinity #8 (student benefits) received all “ins” and was the undisputed primary outcome. Affinity #3 (emotions) was a secondary outcome influenced by affinity #7 (strategies for improvement). However, the tabulation IRD was not as clear for the

remaining four affinities. Affinities #4 (purpose) and #6 (relationship building) had equal numbers of ins and outs (both had deltas of 5), giving them driver positions. However, #4 (purpose) influenced #6 (relationship building) by only a majority vote of one.

Affinities #1 (affirmation) and #5 (mechanics) also had equal numbers of ins and outs. They each had a delta of one meaning that they were a lower order than the #4 and #6 affinities. In modeling, these two affinities would move more to the right of the diagram. In examining the tabulations of the relationships between these four affinities, it became clear that a recursion or a feedback loop existed. As stated by Northcutt and McCoy: “Feedback requires at least three affinities and has no beginning and no end” (p.17). The feedback loop was determined by looking at each relationship pair and drawing the arrow from the cause affinity towards the effect affinity. As mentioned in chapter three, co-facilitator Mr. McCoy used *Inspiration* software to construct the models in a timely manner for all participants to view and discuss near the end of the focus group retreat.

Faculty Focus Group System Influence Diagrams

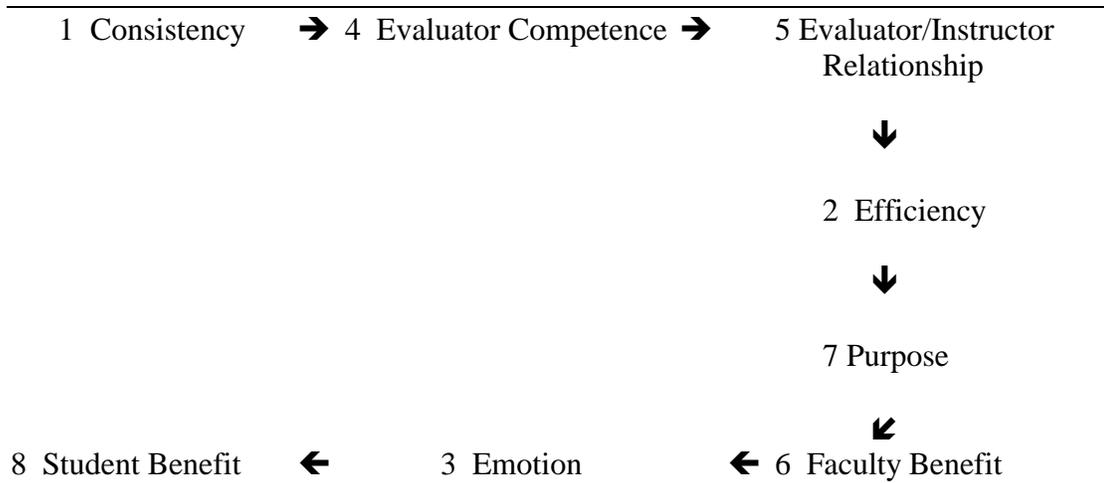


Figure 6.1

* Note the linear model with Consistency as a primary driver and Student Benefit as a primary outcome.

The order of most of the affinities in this linear model is supported by faculty comments made during the open forum following the creation of this model and by written responses on the questionnaire. The primary and secondary drivers, consistency and evaluator competence, became the mantra for further supervisor training sessions. In order to make evaluations meaningful to faculty, they said: “Maintaining consistency so that it is equitable.” ... “Faculty evaluations must be fairly administered ...” ... confidence that the evaluator knows enough about what your performance to adequately evaluate you...”. Ancillary support comes from comments made by the Kingwood College faculty supervisors during the final focus interview.

Twenty faculty wrote responses to questions asked on the Phase I Questionnaire. Interestingly, when open-ended questions #5-8 (#5 and #6 asked

about making evaluations meaningful and #7 and #8 asked about greatest training needs) were examined for references to consistency, competency, and communication, 13 separate responses referred to consistency issues, 12 separate responses referred to competency issues, and 26 referred to communication issues. While communication was the supervisor’s primary driver, it can be viewed as a strategy for improvement by faculty as well.

Faculty Supervisor Group Model of Experiences with Evaluating Faculty

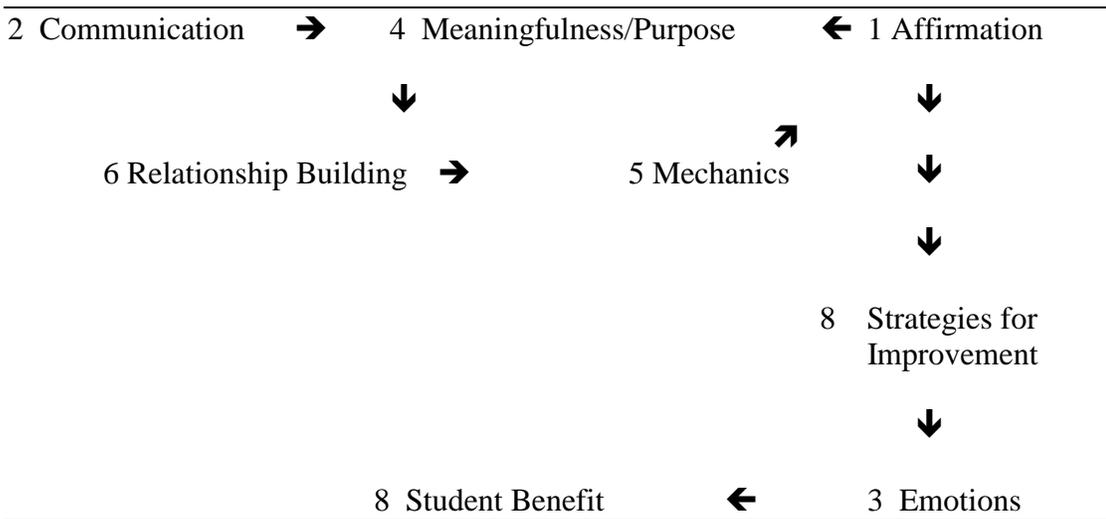


Figure 6.2

Communicating effectively and sensitively is the driver in supervisors’ experiences with giving faculty evaluations. An abundance of evidence supporting this statement is found in the phase I questionnaire responses, the affinity descriptions, and in the final focus group interview. Twenty-one faculty supervisors responses to open-ended questions #5-8 (#5 and #6 asked about making evaluations meaningful and #7 and #8 asked about greatest training needs) on the phase I questionnaire were examined for references to consistency, competency, and

communication. Supervisors gave 7 separate responses to consistency issues, 5 separate responses to competency issues, and 19 separate responses to communication issues. Clearly, consistency and competency issues have not been thought of or experienced as areas of concern on their part. (Final focus group comments on consistency from the Kingwood supervisors are detailed later in this chapter.)

The recursion warrants exploration. This model suggests that supervisors' experiences with giving evaluations may seldom lead to addressing strategies for how they can improve faculty performance. This is certainly a leadership issue. Instead, time and energy tend to concentrate on the management side of evaluating faculty. While supervisors want the evaluating exercise to have meaning and believe that the summative conference offers potential for relationship building, they still resent the time consuming nature of evaluation (even if they are only done once every one to three years per faculty member). They begrudgingly perform this act believing that in 80% of the cases, it reaffirms faculty strengths and this provides meaning to keep evaluating faculty. The other 20% of the faculty they evaluate need improving, but the supervisor does not have the time or the tools to help. Chapter seven explores this synopsis further from the theory of supervision to organizational theory.

Kingwood College Faculty Supervisor Comments from Final Focus Group Interview

An observation made by the researcher is that the IQA-IRD methodology is hard to get buy-in from concrete linear thinkers. This is supported by the following

statements made by the supervisors of the final focus group. (FS is the faculty supervisors. There are more than one in this conversation.)

Facilitator: Significant factors contributing to the success or failure in the development of a training program?

FS 1: I think your first session – looking at a critique I wrote of it was that your terms were too nebulous and undefined. When we tried to discuss anything – I think there were so many factions, we were discussing different concepts with the same words and I thought therefore that your conclusions were very suspect because – I'm not so sure that sometimes we were talking about the same things. We just happened to using one word to mean something one way another another way. And so I think if you're going to do that kind of discussion define your terms. Define your parameters, so that everybody knows what we are talking about. That's one of the things at the overall session that was hard to understand because we came up with this diagram. I heard all the side comments as we were sitting there and people were saying things like – well we didn't know that's what that meant – when we voted on that one we didn't know that's what that person meant by that thing. And so I think some of your conclusions were suspect when we were making them – so that's the only comment I have on that.

Facilitator: Thoughts from the others?

FS 2: I would agree on that – I thought everything worked really well – but I got a little lost when we went to the final chart. I thought a lot of the other people did too.

Facilitator: Any comments [FS 3]?

FS 3: No – what I said before about making sure that training sessions really are specifically directed to the process itself.

PHASE II: ASSESSMENT OF TRAINING

Phase II occurred over the spring 2002 semester and represents the program implementation stage. Four separate training sessions took place in this stage. Even though the dates, activities, and other particulars about each session were detailed in

chapter four as related to program development, the table below summarizes the events to a greater extent.

Each of the events will be further described from the participants' perspective.

Phase II Training Activities, Participant Numbers, & Feedback

Date	Activity	Number of Participants	Responders to Questionnaire
February 12	Portfolio Development / Assessment	33 faculty & faculty supervisors representing three colleges	25 faculty/faculty supervisors
March 19	Training Session with Faculty Supervisors – New Model Forms & Process, Coaching Activities, & Role Playing	4 teaching faculty supervisors and one director of counseling all from Kingwood	4 teaching faculty supervisors
March 27	HR – Legal Aspects of ADA & Faculty Assessment of Performance	Instructional Council members which include faculty supervisors	none
April 4	Explanations to Faculty on Process & Forms	About 35 faculty plus three of their supervisors	none

Table 6.5

Portfolio Development and Assessment Training

The decision to offer training in portfolio development and assessment was driven by two factors. First, the new evaluation model clearly states that the faculty member may choose to submit their self-assessment to their supervisor in the form of a portfolio. Faculty self-assessments were due to be turned in to their supervisor by April 1. Second, at the November 26 retreat the following was stated in the open

forum: “Portfolio creation requires both faculty & AD training. What should go in them? Should they be discipline unique?”

An interactive one-day training session for faculty and faculty supervisors provided basic information on how to develop a portfolio and how to assess one. This five-hour session plus lunch and breaks took most of the day. Even though the presenter offers a more in-depth session, it was felt by the researcher, and the faculty and supervisors she consulted, that we were not ready nor was the timing good for a three or five day workshop. This session was intended to be an interactive one, therefore, attendance was limited. The RSVP response was excellent. A total of 33 attended with 25 of them responding to the questionnaire. An Evaluation of Portfolio Training Session questionnaire was given to each participant to fill out at the end of the session. All of the responses to the questionnaire are included in Appendix K.

The questionnaire asked demographic information, nine Likert scale rating questions, and two open ended questions. A Likert scale with a 1-5 range was used with 1 being very poor, 2 being poor, 3 being OK, 4 being good, and 5 being very good.

Demographics of Portfolio Training Session

College	Kingwood College	North Harris College	Tomball College	CyFair	District Office	Totals
Total # Questionnaire Responders	6	14	3	1	1	25
Faculty supervisors	1	7	3	1	-	12
Faculty	5	7	-	-	-	12
Other		-	-	-	1	1

Table 6.6

Respondents rated all but the food question an average greater than 4, indicating they thought the session was good in many ways. (The College hired an outside caterer to furnish lunch.) Both faculty and faculty supervisors indicated that they would incorporate information from this session into developing a portfolio (in the case of faculty) and in evaluating portfolios (in the case of faculty supervisors). Comments heard during the day and written on the questionnaire support their “good” rating. The following depicts all of the responses to the question on why was the session useful/ not useful.

- Information about a new issue
- Discussion at lunch was especially helpful regarding who utilizes the process and how to implement, rating of portfolio items used for improvement
- Great tool for eval and self-eval
- I had no previous knowledge of the information presented today – so it was all very useful
- Improved educational outcomes
- Gave me a good foundation of the process

- A better understanding of what type of information is need to complete a portfolio. How to use the portfolio improve one’s teaching skills.
- I like the emphasis on self-awareness – keeping track of what you claim to do and whether you are truly accomplishing that.
- The table of contents of the portfolio is good, the checklist of general items for evaluating portfolios is also good.
- I am moving toward establishing a teaching portfolio
- Good ideas – useful to me/my reflection
- Have considered using this approved formula, will try to start, now
- Currently, we use portfolio assessment in our training programs for students, and are excited to build our own faculty use!!!
- To stay of cutting edge makes (illegible) useful.
- Like the idea of portfolio as evaluation tool.
- Solid, practical, good information that we can put to use – “doable”
- I constantly revise my courses and have not kept a written documentation and I continually use ideas I pick-up through professional development. I like the idea of leaving a legacy.
- Organized, thorough – provided food for thought.
- Good applications to personal and student growth. Will facilitate self-evaluation. Emphasis on teaching important.

Only one comment indicated a disappointment in the usefulness as “Too basic; not enough application; would prefer more detail.”

The final focus group interview with the Kingwood faculty supervisors revealed several outcomes of this session. The dialog with several faculty supervisors (FS) follows.

FS 1: The other thing is it seems to me in the ones I've seen so far, there is quite a bit of self-reflection. And the instructors have even been willing to touch on their weak points, things they need to improve on. And that's been interesting to me, that I've seen more of that than it seems like I saw with the old forms that we had.

Facilitator: So that was more of a reflection of the forms or the training or both? Because we addressed that here and we addressed that with faculty.

FS 1: Well, I don't' if it's a reflection of the form so much or what you did talking to the faculty and to us – what my expectations were that they would be self reflective. And certainly the idea of the portfolio at least one person seemed to be sold on it. Getting that baseline this year so that then it would be there every time it came up again.

Facilitator: What did you think personally of the portfolio? Did you think that helped you better evaluate their performance.

FS 1: Yes. Because it was all tied in with the form. They did a pretty good job of that. And yeah it was help.

FS 2: What I like with the portfolio or any other thing like this, I like the forms a little bit because it made people come up with concrete examples. In fact that's what I wrote back on some of the people who did it too casually. I wrote if you're writing yourself XYZ, just give me some examples of where you have done that. And I thought that in itself, because if you have to reflect on what is that you do that says that you are a top of the line curriculum developer, what did you do. I think that that process in itself was an eye opener to at least one faculty member who I asked, just give me an example. But I think that's true with the portfolio too anytime you have to dredge up a concrete kind of evidence of something you've done you start thinking about what did you really do.

FS 1: I've had the younger, newer - say younger faculty seem to be taking it more seriously and are working with image and generalities. I've gotten more details from the newer faculty than from the ones that have been around a long time.

March 19, 2002 Session With Kingwood College Faculty Supervisors

The four faculty supervisors who attended the March 19 all day session responded to the evaluation questionnaire. The questionnaire contained five Likert scale questions, three open ended questions and one demographic question. Three of the four have evaluated faculty before. The evaluation results are:

An average of 4.5 on the overall usefulness of the training session.

An average 4.5 on the usefulness of document (forms) review.

An average 3.8 on usefulness of The Manager's Coaching Handbook as a resource for conducting evaluations.

A unanimous 5 on the usefulness of role-playing.

An average 4.8 on the chances that he/she will incorporate information learned from this session into his/her performance review session with faculty this spring.

The multi-part question #6 asked if the training session met the goal of bringing greater consistency to the evaluation process in terms of clarifying the new documents - to which all answered yes, and in terms of clarifying the ratings / criteria for performance on the Faculty Assessment. The answers were usually, yes, good, and no. In further exploring why a no answer was given, participants were asked to describe how this goal may be accomplished. The reasons given by two respondents are noted below.

The problem isn't with the training, which was helpful, but with the evaluation instrument itself. Anytime you have to make up your own scale of assessment – from never to usually, for example – that's a problem. At least the training session allowed the associate deans to create some consistency among the four at Kingwood College.

Since the form does not specify “frequency” as the criteria, I don’t feel that faculty will use the same standards to do self-evaluation.

Obviously, first step is to meet with the faculty as planned to establish some shared understanding after that I believe, we need to change the form and get some “buy-in” from other AD’s in the District.

All participants answered “yes” to accomplishing the session goal of helping evaluators with language and coaching techniques for conducting a performance review on someone the evaluator felt would be difficult. The comments from all four are noted below as FS 1-4.

FS 1: Absolutely the best part of the session. It put the associate deans under similar pressure to a real evaluation because they wanted to do well in front of their peers. Plus, after the role-playing, the associate deans shared possible successful approaches to areas of conflict that came up in the practice evaluation.

FS 2: Hearing others role-play is very helpful as it alerts the evaluators to words and phrases that would not be productive. It gives the AD a chance to “rethink” better ways to accomplish a goal. It also gives one potential “scripts” to use in cases that the evaluator may encounter in the future.

FS 3: It was valuable to hear the language and strategies others used.

FS 4: I got very good insight into what to say and not to say. My partner in the role-playing was very good at portraying my subject. I had the feeling afterwards that I probably wouldn’t have really said some of the things I said in the role-play; however, I thought it was very useful.

The overall high rating that this session received (see Appendix K.) is in agreement with my observations. All participants were engaged during the entire session. No one wanted to break from the room.

Legal Aspects of ADA and Faculty Assessment

This one hour session was given by one of our human resource specialists. Even though some complained afterwards that we just had the policies and procedures book read to us, several of the supervisors, facing serious evaluation issues about faculty with disabilities, asked lots of questions and obtained help on how to phrase performance and behavior issues and what allowances were appropriate.

While several participants commented on the legal training for ADA issues, most thought the session was not all that helpful. However, another difference was the perception that human resources offices (at district and at the college) were emphasizing more training on the personnel legalities. With all of the hiring and employee reclassification activities, there seemed to be more emphasis coming from local human resources to correctly fill out paperwork. There had even been a session on this prior to the study. (As the literature review noted, the practice of offering supervisor training on personnel/legal issues is common.) Even so, from the participants reflections, it was clear that the biggest change over the year to positively affect their ability to evaluate faculty was the March 19 role playing activity.

PHASE III: FINAL FOCUS GROUP INTERVIEWS

Phase III consisted of final focus group interviews with four Kingwood College faculty supervisors. Three were present for the June 10 focus group interview session and the fourth was interviewed separately a week later. The three

present for the group session participated in all of the training sessions described earlier. The fourth supervisor was present for the November focus group retreat and the March 19 training session. Since these supervisors experienced all or almost all of the training activities prior to evaluating their faculty in late April, their reflections provide a rich accounting of the supervisor training program that was the focus of this study. Their perceptions answer the third research question: **What do community college faculty supervisors perceive to be: a) significant factors contributing to the success or failure in the development of a supervisor training program on the assessment of faculty performance; b) the outcomes of the initial implementation of the supervisor training program on the assessment of faculty performance; and c) the long-term outcomes for the college?**

The dialog below combines the responses from all four faculty supervisors even though supervisor number four was interviewed separately. When the question; What do you perceive to be the significant factors contributing to the success/failure in the development of a training program to assess faculty performance was asked, the first responses from the group was that the November retreat did not provide a clear description of the overall goal of the process and the methodology was suspect. Therefore, there was not universal buy-in for what came out of the session.

FS 1: And part of this process was almost an exploration process in a way. Another kind of process, which is fine, but I think if you are lining up training for something, your desired outcomes need to be pretty clear.

FS 2: And again I don't mean to just harp on this factor – but I had a real fuzzy idea of what model you were using and I don't know if I missed your description and why this particular model and the method of analysis.

FS 3: The one thing that kind of surprised me at this session [November retreat] was the negativity that the faculty felt toward the whole process. Whether it was even valuable or had a purpose that was worthwhile. I don't think the training is going to work until you have faculty buy in. We may have buy in from the Deans or Associate Deans but I think more emphasis needs to be put on convincing the faculty that this is worth having training for it.

FS 1: I think they are all tied back, with what we've been saying... it's the continuity and whether are we consistent... Also, the buy-in of the faculty is tied back into the consistency and performance in the future.

FS 2: But that was my point, because consistency is not consistency on how you were evaluated but whether it was consistently valued by the district, by the colleges. Because if [only] two colleges say yes - this is important ... It will never become a driving force in the district - an overall goal of teaching excellence - if only two out of four or five colleges think this is important enough to be driving things.

FS 4: I think that from the onset the project provided an opportunity to develop a training program but the institution [district] derailed the process through organizational changes and leadership decisions and, so I think, there were a lot of aspects of training programs that were first brought up by members of the faculty or members of the supervisors group that we didn't have the opportunity to go through... I think that my colleagues and I worked together to try to take evaluation to another level even given the constraints of the specific forms that were required and um, the fact that the evaluations are not primary in faculty's ongoing future... for those of us that really tried to use the new tool ... I think it was a very important sequence of training.

FS 1: I think anytime you offer a number of training sessions on something you are establishing the idea that is an important process first of all. If you tell people to do something and then you don't tell them how to do it you are not really backing it, you're not really supporting it. I think the fact that we went to the trouble to have all

these training sessions certainly made the process feel like it was more important than it would have seemed otherwise. And for me some of them were just very helpful especially the role-playing.

In order to determine what the participants perceived to be the outcomes of the initial implementation of the supervisor training program, the researcher asked: 1) how are things the same and how are they different (as applied to assessing faculty performance) given all of the changes that have happened since the last evaluation; and 2) what impact have these training sessions had on you, your faculty, the college, and even the district. Their responses were:

FS 4: I think one of the best outcomes is that it enables faculty and supervisors to have a much better dialogue about the goals of the process and the merit of the process that allows each one to become in perspective and I think supervisors have a different versatility now to see faculty in a way that faculty wants to present themselves and I go back to portfolios ... I think that the evaluation training increased my vision of what was possible of what had impact for students.

FS 4: I think the first thing that is different is how I look at the responsibility of the process – having now seen and heard the faculty focus group on what they thought was good and what they thought was lacking about the process. I am more sensitive to their concerns and what I remember most is their determination to have consistency in the process, so while I cannot be responsible for variation among different evaluators, I can be consistent in how I approach faculty and so I think that has been a take-home lesson to me is to have a consistent approach with them and to make sure that I have learned a new set of language, vocabulary and strategy that will provide a comprehensive evaluation and give them some sense of continuity from year to year. Um, I think the other thing that is different is that I have had a lot of help from - although I missed the portfolio session with [name of expert] - I read the book because I had the opportunity to write my own job application and so I utilized both resources and in looking at his resources, I got a lot of other ideas and tricks for how to present myself and so what I have been able to do is take those ideas and work with the faculty one on one and help them to present themselves in a way that is not just obvious.

Facilitator: Did any of the training sessions you've gotten since November help, or do you think that they have helped you as you sat down at the end of this semester to evaluate faculty...Did they help address some of the issues that may have been a little more difficult before.

FS 4: I think, um major changes – the role playing that we did as associate deans one with each other gave us a very interesting glimpse into the diversity that we had collectively and strategies for how to help each other because when we really ran into snags - and I remember just stopping and cracking up when I got to a hard issue and when I couldn't get past the impact - the other associate deans came in you know with how they want to approach that. So that increased our collegiality and our working relationship and I think that lead to more discussion privately among us that allowed us to problem solve ...

FS 1: I think so and I think the role-playing session that we did was particularly helpful in that sense. Both from having to do it yourself but also observing other people do it. And observing their way of speaking, their line of questioning and so forth. I thought that was very helpful.

Facilitator: All of you indicated that that was helpful – the role-playing. All nod yes.

FS 2: I think having scripts in your mind that you can call on somewhere and say this is a situation I've heard discussed and here was a way to kind of play it helps a lot.

FS 2: It made us a more reflective group even in our roles as Deans and hopefully the faculty becomes more self-reflective about what they have to do when there is accountability and it makes you become more thoughtful about what you've done.

FS 3: I did have a couple of things that I thought were different. One is that I had an instructor turn in a portfolio, that obviously was a lot of work and I thought that was interesting. That was, we talked about it beforehand, what should be in the portfolio, how portfolios are made and so forth.

FS 3: I think anytime you do training together the camaraderie that develops – there is a feeling of at least we are all in the same boat – at least we're having discussions and coming to some consensus, some

agreement about things. And I think that's always a side benefit of training is that some group feeling develops out of it. And I certainly saw that happening – with the faculty I'm not sure any of this has changed for the faculty. I think they enjoyed hearing you say this was important, but my perception of the way the faculty views some of this stuff is it is a necessary evil and they go through it and getting over it and I think their past experience haven't been too much done about it. Until there is some proof that it will have some long-term impact or somebody in the college will value it. I don't see them changing a lot.

FS 4: I can't necessarily dissect what I learned from the training from what I learned overall because at the same time we've discussed learning communities and collaborations and projects and things and I think that all of that has increased the repertoire of possibility. I think that the – I am not sure that the impact on faculty at large is as great as the impact on faculty who are in the focus group and I think it would be important for faculty at large to analyze how they feel about the evaluation process in their own institution and to be part of the feedback loop tour ...

The question; what do you perceive to be the **long-term outcomes** of this experience received the following response:

FS 3: One thing you need for long term success is you need commitment on the part of whoever is at the top of the level you're trying to do this for.... It seems to me that we tried or we started off looking district wide and then the support wasn't there and we had to sort of limit it.

FS 1: Another way of looking at that – the importance to the district or the process being valued by the district is definitely a key to the success or failure but I don't think consistency across the district is necessarily the success indicator there. To me, I think that in a lot of different kind of initiatives another's campus has taken a leadership role in various things and with Kingwood and DL [distance learning] for example. I think its quite possible for a campus to take a leadership role in something like this and be the one who makes the headway and stumbles through the mistakes but also in the end ends up being the leader on something like this, but I don't think that's as likely to happen if it isn't clearly valued by the district, if it is not demonstrably valued by the district.

Facilitator: So [FS 1] from what you were saying earlier, you don't think there will be a long term effect unless this is repeated again and again? What would you like to see repeated for next year with Deans and with faculty?

FS 1: Well, I would like to see us build on the process that's started for one thing. I think we also probably need to continue our training for Deans - For one thing we'll have another person coming in who hasn't been here before. But I think we need to continue working with faculty. To help them do a better job at their own self-evaluation. I think we need to build on what we've got. We know certain things now about how the process works. We also know about some of its weaknesses. I think that once you start to identify those things you start to find a way to make it more comprehensive and close that loop like you were saying. In other words, we have some evaluations that we have done, now what do we do with them? How does this get made useful to faculty and to the college in general? So to me building on this project means taking the information that those self-evaluations and those faculty evaluations yield and determining the best way to utilize that

FS 2: What do you think Katherine? Can you speak up? What do you think long-term outcomes will be.

Facilitator: Well, for sure there are things. We don't need one-shot things, we can't have constant changeover, not only with Dean's and not only on the college level, (but across the whole district). So I would like to see more district wide training on role-playing. ..I think we have a great opportunity with the retreat coming up ...where we'll seriously talk about the roles of the Deans and the roles for Department Chairs to emphasize that if this is important it needs to be stressed from the top and we need to walk the talk... I think if the message comes out that this actually was worthwhile, was worth the hours spent since November 26th through now, that it does have meaning. Ultimately, it's can we make things better in a classroom and for the institution - ...How are we going to tie what happens in faculty evaluations to their own on-going professional development through the Teaching and Learning Center? Because I see that that needs to play a more significant role here.

I'd like to see us learn effective ways of changing behavior and I think some of you have done that. I also believe in stable leadership and that's probably what I see as the crux of it if we don't institutionalize it

with good training sessions and ongoing training sessions all of this is for naught. Because one fourth of the faculty supervisors are changed over every year.

PROGRAM SUCCESSION

At this time it is too early to predict with accuracy what the program succession will be. Evidence suggests that in the near future it is more likely to occur at Kingwood College rather than become a district wide program.

CHAPTER SUMMARY

The participant findings from all phases of the study were reported and analyzed through triangulation of sources, methods, and over time. While the strength of the study was the IQA methodology used in phase one to identify training needs, participants perceived it to be a weakness. However, from this process three main themes emerged for building a supervisor training program. They were communication, consistency, and competency. An irony is that a communication failure occurred between participants and the researcher in achieving full appreciation of the model used. Nevertheless, the study progressed to implement training in three areas identified as major needs 1) portfolio development and assessment, 2) review of the evaluation tool and process, and 3) role playing. Even though the ADA training was requested by Kingwood College participants, it was not considered a major pre-identified need from phase one.

The study concluded with the final focus group interviews with the four faculty supervisors. Their reflections of the process and training received provided the data needed for final analysis of the study.

CHAPTER SEVEN DISCUSSION, IMPLICATIONS, AND RECOMMENDATIONS

A GROUNDED THEORY APPROACH FOR DEVELOPING AND IMPLEMENTING A FACULTY SUPERVISOR TRAINING PROGRAM TO ASSESS FACULTY PERFORMANCE

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Faculty Supervisor Training Revisited

The development and implementation of a faculty supervisor training program to assess and improve faculty performance is one component of an effective faculty performance appraisal system. A well-designed and implemented performance appraisal system has the potential to bring about cultural changes that improve student learning. While this rational concept is supported by the literature, no publications have been found to report the development of an appraisal model for concept verification. Probable reasons for not developing a faculty supervisor training model are many. Among these are a lack of consensus on: 1) what are the roles of supervisors and faculty for ensuring student learning, 2) the definitions and descriptions of good supervision and teaching effectiveness, and 3) the role of professional development centers in providing faculty supervisors the resources and training to assess and improve current faculty performance. With no clear theories on faculty evaluation or evaluation of teaching, little direction is available for practitioners wanting to develop a supervisor training program to assess and improve faculty performance. Indeed, Polidore's study (2001, Abstract) reports: "research indicates that student success can be directly correlated to professional development

(Fullen, 1991[*sic*]; Joyce and Showers, 1988; and Joyce, 1990). However, many higher education institutions have no formal method of development for staff of any classification. The notion of learning communities is greatly diminished when professional development programs are not seen as important and are relegated to one-shot training sessions, which may or may not be tied to the organizational vision or student success.”

The overall purpose of this study is to help make faculty evaluations more meaningful by training supervisors how to conduct effective evaluations of faculty performance. This study has specific multiple purposes. As applied research, the study has potential to contribute knowledge to understanding what makes performance evaluations valued by those giving and receiving them. As a summative evaluation, the study has potential to determine effectiveness of human interventions through appropriate and effective training for faculty supervisors. As a formative evaluation, the study has potential to improve existing supervisor training programs. As action research, the study has the potential to solve the problem of inadequate supervisor training for conducting faculty evaluations at NHMCCD in general and Kingwood College in specific.

The purpose of the study is met through the design of the three research questions and their subset questions. They are:

1. How is a faculty supervisor training program for assessment of faculty performance developed and implemented in a community college district in general and at Kingwood College in specific?

- A. How was NHMCCD/Kingwood College’s supervisor training program designed?
 - B. What steps and processes were used to implement and manage the training program?
2. How does the organizational culture(s) of a community college facilitate or impeded development and implementation of a faculty supervisor training program on the assessment of faculty performance?
- A. What are the shared values, beliefs, or assumptions characterizing the culture of NHMCCD and Kingwood College that relate to the supervisor training program?
 - B. What cultural barriers and support factors exist within the organization for the training program?
 - C. Do subcultural differences in values, beliefs, or assumptions exist among the different groups within the district or college? If so, how do they differ?
3. What do community college faculty supervisors perceive to be: a) significant factors contributing to the success or failure in the development of a supervisor training program on the assessment of faculty performance; b) the outcomes of the initial implementation of the supervisor training program on the assessment of faculty performance; and c) the long-term outcomes for the college?

This chapter presents and describes a grounded theory model developed from the study, a discussion of the findings for each research question, implications of the findings, and recommendations based on the analysis of the findings.

GROUNDING THEORY MODEL FOR SUPERVISOR TRAINING

Grounding Theory of Developing and Implementing a Faculty Supervisor Training Program to Assess Faculty Performance

Using the IQA methodology about their experiences with performance evaluations, a faculty focus group and a faculty supervisor focus group furnished the information to construct a model for this study. Since the focus of this study was

faculty supervisor training needs, their focus group's SID formed the basis for the model. The information from the faculty focus group was used to enrich the model.

The framework of the model consists of eight affinities or topics, also thought of as categories of meaning. They represent the collective experiences of the faculty supervisors in conducting faculty evaluations. They are the system variables of the model and are identified as communication, meaningfulness/purpose, relationship building, mechanics, affirmation, strategies for improvement, emotions, and student benefit. Two other external variables became part of the model due to their influence on at least one of the other variables. They are:

1. Policymakers (SACS, THECB, NHMCCD, Kingwood College) – all require periodic faculty evaluation of performance from faculty supervisors.
2. External Stakeholders – community members, taxpayers, transfer universities, and employers of our students – all want the institution to be accountable for student learning.

The model also incorporates the concept analogy of Schon (1987). Some variables are on the high hard ground. They are “manageable problems [that] lend themselves to solution through the application of research-based theory and technique.” These “tend to be relatively unimportant to individuals or society at large... In the swampy lowland, messy, confusing problems defy technical solution... [Here] lie the problems of greatest human concern” (Schon, p. 3). The

graphic of the model starts on the high ground with the system drivers. The primary system outcome, student benefit, lies in the swampy lowland.

System Model for Faculty Supervisor Training to Assess Faculty Performance

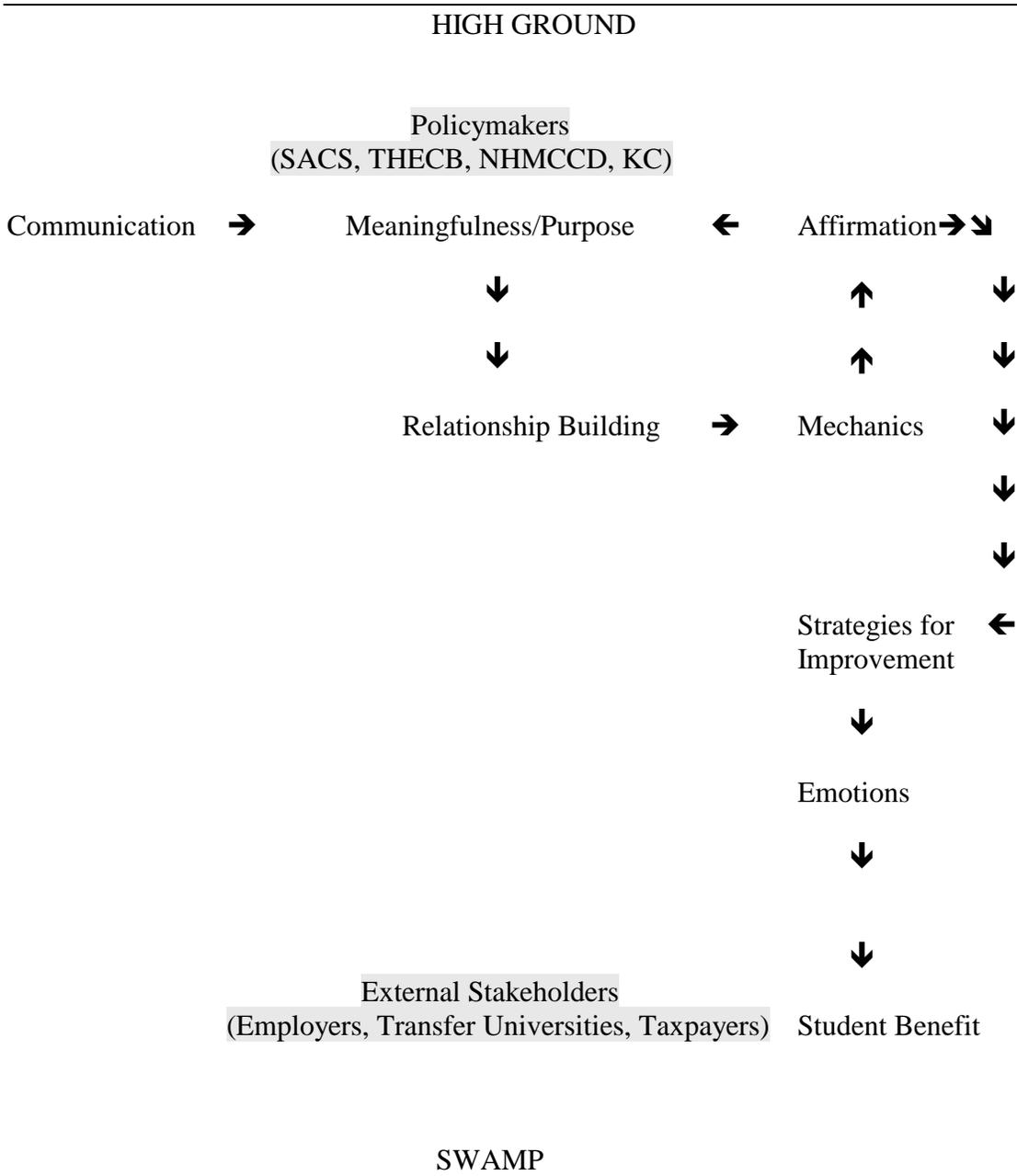


Figure 7.1

Explanation of the Model

The data analysis section in chapter three explains how the IRD was created from the cause and effect relationships between affinities and how the tabulation of these relationships was used to determine system drivers and outcomes. “The SID is a visual representation of an entire system of influences and outcomes” (Northcutt and McCoy, unpublished, P. 17) derived from the participants IRD. While chapter six provides detailed descriptions of each affinity, this section further analyzes the model in the broader context, incorporating theories of supervision and organizational management/behavior theory.

In the most concise terms, the system model for faculty supervisor training to assess faculty performance can be described in three words: **communication**, **consistency**, and **competency**. These three “C” words are the major themes for developing a supervisor training program.

Communication is the clear driver of the supervisors’ experiences with giving faculty evaluations. The faculty supervisors noted that one of the most difficult tasks of evaluating faculty performances is how to effectively and sensitively communicate that performance is not acceptable and needs to improve. This ability demonstrates a high level of interpersonal communication skill development that can be taught through modeling and role-playing good coaching skills. Some faculty supervisors recognize this while others believe that additional legal training is required on how to document unacceptable performance and behaviors in the hopes

of changing them or terminating the faculty member. As supervisors, their focus is both formative and summative. This automatically sets up conflicting role demands. Some “supervisors have difficulties balancing these two role demands” – to critique the work of faculty and at the same time “be attentive to [their] emotional needs and desires...” (Johns, p. 347). Johns notes three other barriers to effective superior-subordinate communication. They are the “mum effect, status effects, and time” (pp. 348-349). The time factor involved in effective communication extends beyond the summative conference and mechanics of performing an evaluation to time spent communicating with faculty to build a trusting relationship. In as much, faculty are clear that effective communication, or lack thereof, with their supervisors is a significant issue. In the faculty SID model (Figure 6.1) about 25 percent of the two main drivers – consistency and competency – contained responses that related to whether or not their relationship with their supervisor was a trusting one.

Consistency concerns for faculty extend beyond the definitions and interpretations of the evaluation instrument and the process used, albeit, these are legitimate faculty concerns. Consistency must apply to the administration of evaluations and to the judgments made by supervisors. Evaluations are inherently subjective. Faculty realize this and want their supervisors to consistently apply the same criteria and logic to making value judgments about their work. This concern is closely coupled with trust – trust that their supervisor will judge them fairly without prejudice or bias.

Faculty supervisors see consistency/inconsistency issues on another level. They question the consistency of expectations for them to evaluate faculty. With the reorganization and creation of deans and department chairs, they question the consistency of who will perform faculty evaluations. They question the consistency of training across the district. Lastly, they question whether the college and district will consistently value the formal process of evaluating faculty and implementing a training program for faculty supervisors to more effectively evaluate faculty. Clearly, the need exists to establish a culture that values assessment of performance and on-going professional development to improve performance.

Evaluator **competency** concerns faculty have about their supervisors can be addressed mostly through training and through development of good interpersonal skills. Training concerns relate directly to having the knowledge and skill base to assess faculty performance that goes beyond a superficial level. About 25 percent of the faculty issues on evaluator competency directly relate to an uneasiness about being evaluated by non-content specialists. Certainly it is important for a supervisor to be trained to recognize good teaching skills, but content expertise is still an issue with many faculty.

As previously described in the literature review, most institutions use faculty evaluations for both formative and summative purposes. The college district in the study does likewise. Also noted in the literature is that supervisor training for assessing performance is limited to the mechanics of how to use the instrument and

how to document abuses of EEOC laws. Most of the literature on faculty evaluations dwell on the components and validity of the assessment tool. The college district has done likewise. However, through “the application of research-based theory and technique” (Schon) we now know how to construct good valid evaluation tools. In the proposed model, the variables caught in the recursion – purpose, relationship building, mechanics, and affirmation are on the hard high ground. The individuals involved care about their solutions, but the external stakeholders do not. They care about student learning. Unfortunately, most institutions, including the college district in the study, get caught spending their resources in this loop and rarely “spin out” to develop and implement strategies for improvement, even when they are identified. The reasons for this are many fold. They may be explained by examining theories of supervision in the context of the socialization process and organizational factors.

Three theories of supervision have evolved; all have marked the practice for supervision in higher education – including the institution under study. The traditional scientific management theory instilled the belief in and the use of standardized tests and scales to assess performance. Many faculty assessment models emphasize objective rating scales based on a defined point system. When such a system is not used, it falls to criticism as subjective and invalid. The college district in this study has only had student responses to a Likert scale. Nevertheless, the new model has renewed this debate.

The neo-scientific management theory expects the faculty supervisor to monitor student learning through standardized testing and to report the student results to the faculty member (Wood). The results of the student outcomes are reflected in the faculty member's evaluation. The supervisor is the conveyor of the information about student performance, the faculty member must determine how to address the information, and student learning is only measured by standardized test scores. The college district in general, Kingwood College in specific, does not have institutionalized departmental tests. Instead, faculty supervisors are given data for retention and grade distributions over time on each faculty member. These are shared with the faculty member in the hopes of improving student success. However, there are no consequences or rewards built into the system for these measures. Accountability by assessment of student learning remains so controversial that it is not addressed in faculty evaluation models in higher education.

The human relations theory of supervision decentralized supervision to more site-based decision making (Wood). Deans and department chairs assumed direct supervision over faculty as opposed to the chief academic officers. Therefore, the relationships between the faculty members and their direct supervisors are subject to the socialization process described by Wood (1998). "Regardless of education, commitment, or previous experience, people are subject to an intense socialization process from the day they assume their roles in organizations" (p. 1085). Even though at some higher education institutions this is reflected in an "us versus them"

mentality between faculty and administrators, it is not the case in the college investigated in the study. Since most supervisors have been full time faculty at the institution and since many faculty served brief stints as supervisors during some part of their career, there is a high level of trust between the two groups – as supported by the data. However, organization factors also influence relationships. Supervisors “tend to become what they spend their time doing” (Wood, p. 1085). Very few supervisors over large departments/divisions have the time to investigate, learn, discuss, and reflect on what student learning means and how to measure it in ways other than standardized end-of-course exams. Likewise, they have little time for learning many varied strategies to help the faculty member improve performance. Another organizational factor may compound this situation further. As the college district implements a new dean structure and a job description that emphasizes evaluation of faculty, the dean’s evaluation may be based on whether or not they evaluated their faculty. If they are not given adequate amounts of time to effectively do so, the result will be superficial. They may fill out the faculty evaluation forms, but they will not have the time to concentrate on faculty growth and development or measures of student success. This has serious implications that could impede rather than enhance the development of a relationship with faculty that could lead to improved student learning.

Lastly, in spite of all the complaining about why we do evaluations, the overriding belief of both faculty and faculty supervisors is that the final outcome of a

faculty performance evaluation is to benefit students. While this belief is reassuring, we do not measure it, or if we do, we do not communicate it back into the evaluative process to “close the loop.” There are many reasons for this. Foremost, is the fact that higher education is process oriented and not results driven.

If the emerging theory on supervision as “a cooperative venture in control and responsibility” (Poledink, p. 126) in regard to quality learning is to occur at NHMCCD, then faculty supervisors and upper level administrators need to initiate conversations with faculty about quality learning. As Poledink states: “The responsibility for learning becomes a shared function, with all involved understanding and fulfilling their roles and responsibilities” p. 127.

DISCUSSION OF FINDINGS

Research Question One

Chapter four presented the findings to the first research question: How is a faculty supervisor training program for the assessment of faculty performance developed and implemented in a community college in general and Kingwood College in specific? This question was answered by describing the steps and processes used to develop and implement a training program at NHMCCD-Kingwood College. Even though the study design was simplified as phase I (identifying training needs), phase II (offering training on the identified needs), and phase III (evaluating the training given), the actual process of program development was more akin to policymaking and described as such.

There were several discoveries that occurred during this process that warrant further comment. First, the use of the IQA methodology (Northcutt and Miles; Northcutt and McCoy) to identify training needs under the guise of participant's reflections on their experiences with evaluations proved to be far more insightful than just listing training needs. It was a revelation to many faculty supervisors that the two drivers in the faculty's experience with evaluations were consistency/ lack of consistency and the evaluator competency. The majority of the faculty member's experiences in these areas indicate a need for improved communication on the part of the supervisor and training for the supervisor.

The researcher is not convinced that the full impact of either of these faculty needs have registered with the faculty supervisors. The basis for this belief lies in the analysis of the final results. As stated in chapter six, few faculty supervisors ever realized that their faculty had concerns with them regarding their ability to consistently and competently evaluate their performance. It would be unrealistic to think that the faculty member would feel comfortable enough or daring enough to tell their supervisor this face to face. Therefore, without this model revealing these major faculty concerns, faculty supervisors would only know them through self-discovery. Evidence indicates that this did not occur – or was minimal.

Another revelation from using the IQA and subsequent SID model was the recursion loop already discussed in the preceding section. The researcher still has concerns that faculty supervisors will want to continue to focus future training efforts

on the evaluation instrument rather than on other strategies for improving faculty performance. Perhaps this should be acceptable for the short-term given that the district just implemented a new assessment instrument and process. Regardless, the model brought awareness to the reality that if we keep concentrating our efforts on the evaluation tool and the mechanics of evaluation, we will never address strategies on how to help faculty improve. We will stay on the high ground. The paradox is that while both faculty supervisors and faculty see student benefit as the final outcome of the faculty member's performance, the meaningfulness of doing evaluations is still questioned. Additional comments about student benefits will be noted in the implications section.

Lastly, the researcher still finds it ironic that the IQA methodology used to create the model is viewed as "suspect" by the faculty supervisors. Their opinions were noted (verbatim) in chapters four and six. Perhaps this is understandable given that the methodology was unfamiliar to all but the researcher and researcher never gave the faculty supervisors the publication detailing the description and rationale of the IQA methodology. However, the researcher gave the faculty supervisors the overview of the methodology in both writing (tentative agenda and the retreat agenda) and orally at the retreat. The researcher recognizes that, as the principal communicator for the project, she needed to ensure that the methodology used was understood. There are two reasons why this did not happen. First, the researcher was

not highly experienced at using the methodology and second, she assumed that the explanations given were sufficient.

Ultimately, either the model will be rejected or accepted. If it is rejected, it is most likely due to “selective attention and retention [that participants] consciously or unconsciously may delete [as] inconsistent ideas or forget [because they] do not fit into [their] present sets of meaning” Miles, p. 72 citing Trice and Byer, 1993). If it is accepted by the faculty supervisors, it may bring greater awareness to the whole realm of how evaluations can help improve student learning.

Research Question Two

Chapter five presented the findings to the second research question: How does the organizational culture(s) of a community college facilitate or impede development and implementation of a faculty supervisor training program on the assessment of faculty performance? The findings highlighted three prominent aspects of culture change; leadership, environment, and risk-taking - as influenced by both leadership and the environment.

A cultural change will not occur unless the chief executive officer endorses it (Goodes). While the top administrators at the NHMCCD were favorable to developing and implementing a training program, it was not a high priority. Even if it had been, the district culture was not conducive for program implementation. The district leaders’ mindset has been and will probably continue to be strongly supportive of site-based decision making. This has merit. Many multi-college

districts are envious of this culture. This realization means it will be easier to implement a training program at a college rather than district wide. As such, Kingwood College already has the president and vice president's support and has an environment that is accepting of risk-taking.

Research Question Three

Chapter six presents the findings to the third research question: What do community college faculty supervisors perceive to be: a) significant factors contributing to the success or failure in the development of a supervisor training program on the assessment of faculty performance; b) the outcomes of the initial implementation of the supervisor training program on the assessment of faculty performance; and c) the long-term outcomes for the college? Several findings deserve greater emphasis than given in chapter six.

The demographics of the faculty supervisors who participated in the November retreat indicate 28 percent of them have been in the position for less than one year. This percentage mirrors the national statistics of a 25 percent annual turnover of faculty supervisors (Gmelch). The District's growth and reorganization will assure a statistic at least as high for this next year. Therefore, the training initiatives provided this year should be repeated. A comprehensive training program for assessing faculty performance should become established and on-going within the district. If this is not led by the district office, individual colleges should be responsible for implementing their own programs. If such is the case, Kingwood

College is prepared to offer further training for faculty supervisors next year. As already stated by the Kingwood College faculty supervisors, a training program for faculty supervisors needs to be valued by the district, but one college could take the leadership role in setting it up. There is good cooperation among the academic vice presidents to support such a plan. Regardless, the blueprint for a training program has already been developed. Organizing and offering training is doable. The more challenging part is to create a culture whereby training needs and an evaluation of the training session afterwards is part of on-going college discussions.

As Goodes states: “Enduring cultural change is created with practical tools such as measures, records, and carefully structured people practices” (pp. 190-192). Training faculty supervisors how to assess and improve faculty performance is a “carefully structured people practice” whose ultimate goal is improved student learning.

Another “carefully structured people practice” is to require self reflection of one’s work. The new faculty assessment instrument implemented at NHMCCD this spring gives faculty the choice of answering questions about their teaching/ learning facilitation by either providing a short summary description of their efforts or by developing a portfolio. Both are self-reflective, however, the portfolio is much more extensive in providing evidence. The training on portfolio development and assessment proved to be successful – not so much from the high evaluation ratings received as by its actual use from both faculty and faculty supervisors. For the first

time at Kingwood College, several faculty submitted their self-assessment via a portfolio.

When the portfolio training was offered, we did not know about the chancellor's plan to reorganize and eliminate the current faculty supervisor position of associate dean. Many associate deans applied for the newer, fewer dean positions. Some felt that a portfolio application would serve them better, and therefore submitted one based on the information received at the training session along with information from an ancillary book on administrator portfolios.

Regardless of whether or not faculty provided their self assessment in the form of a portfolio, the new assessment instrument implores faculty to reflect on their teaching effectiveness to a greater extent than their former evaluation instrument did.

If we take to heart the recommendations made in *An American Imperative* to "take values seriously, put student learning first, and create a nation of learners" (p. 7), then we must get serious in linking faculty performance evaluations to student learning. As noted by several leading researchers, the call for improving student learning is centering on faculty assessment of performance and how to improve performance (Carter & Alfred, 1998; Ewell, 1994; O'Banion, 1997; Roueche, Johnson, & Roueche, 1997).

IMPLICATIONS

As written by Licata and Morreale (1997, pp. 5-14) and stated by Rifkin (1995, p. 3), "there is a need for research to further address the development of

responsible and effective faculty evaluation systems that consider enhancing the growth of the faculty member as an individual.” The same can be said for faculty supervisors – especially ones that provide supervisors with knowledge, skills, and competencies to help faculty improve student learning. Once a model system is developed and described, it can be used as a benchmark for other institutions. An effective faculty evaluation system linked to professional development with improved student learning as its objective has great potential to transform institutional cultures to learning communities. Since no model has been described in the literature, there is need for rich case studies.

Implications from the findings of this study are significant in the following ways:

- The study provides solid research on a topic for which there is little published information.
- The study develops a model for faculty supervisor training programs.
- The study builds grounded theory on faculty supervisor training to assess faculty performance.
- The study offers a framework through which faculty and faculty supervisors can focus on student learning through assessing faculty performance and continually improving faculty performance.

Since the first three significant implications from the findings of the study were explained earlier in this chapter, this section will concentrate on the last implication.

It is the researcher's opinion that any assessment-as-accountability proposal for measuring performance must consider the means to be at least as important as the end result. This is especially true for the discussion that follows.

In any given institution, everyone knows who the top and bottom performers are. Sixty to eighty percent of all the others are in the neutral zone – they sufficiently do their job to varying degrees of satisfaction. In terms of teaching, delivering content and testing for student comprehension is considered sufficiently doing the job. Most faculty performance instruments parallel this – regardless of the number of components it incorporates. Neither the evaluation instrument nor the process automatically builds in a means by which to focus on improving student learning and to communicate that information and improvement strategies back to faculty.

The proposed grounded theory system model for faculty supervisor training to assess faculty performance (Figure 7.1) has the potential to carry the faculty member, their supervisor, and the academic institution into the “swamp” to really focus on student learning. The model is not perfect. It is based on the current reality of faculty supervisors. It is missing one component. Student benefit must become the cause that effects communication. The model then has the power to focus faculty and faculty supervisor discussions on: what benefits students; how should student learning be defined; and what are the various ways to directly and indirectly measure student learning.

Getting to this level requires risk-taking and trust on the part of both the faculty and administration. Faculty who do not feel threatened by these discussions will seek professional development activities to improve student learning. Faculty supervisors - armed with good communication skills and with on-going training in current research on student learning (provided by college professional development centers) – will be able to comfortably discuss the faculty member’s success with student learning and direct them to appropriate resources for further improvement. Only then will the swampy issue of student learning start to be lifted to higher ground.

RECOMMENDATIONS

This chapter is laced with recommendations in every section. The only additional recommendations the researcher wishes to add are those given by the participants of the study regarding strategies for improvement that supervisors can use to help make faculty evaluations more meaningful. These strategies came from both faculty and faculty supervisor responses to the questionnaire given at the November retreat. In addition, strategies for improvement were also suggested to the researcher in the final focus group interview with the Kingwood College faculty supervisors.

Strategies for Improvement From Faculty Supervisors and Faculty

Supervisors need to know and demonstrate:

- how to review/assess behaviors, not personalities
- how to encourage faculty performance

- how to encourage corrective action
- what faculty attributes improve student retention, success, and critical thinking skills
- how to evaluate content expertise if evaluator is not a content expert.
- ways to reward good performance
- how to write an improvement or development plan
- how to mentor faculty for improvement
- how to manage a continuous improvement process for all levels of performers
- communications skills especially in "psychology" of success
- excellent interpersonal communication skills (listening) needed to build trusting relationships
- an ability to listen non-judgmentally to a faculty member's teaching style and teaching methods and suggest ways to improve in a manner that is non-threatening
- competency in using the evaluation tool
- that they have a "real understanding" of the faculty members' discipline and know some of the potential for disciplinary improvements
- how to give positive, pro-active feedback on major and minor faculty improvement needs.
- the practice of on-going communication – need continuous discussion with teachers to get updates throughout year
- an ability to understand, interpret, analyze, and sort different kinds and sources of assessment data - student evaluations and classroom observations (what they mean and what they don't mean).
- mentoring skills including conflict resolution (enables an evaluator to address a conflict with an instructor receiving a poor evaluation).
- valid research on what is correlated with student learning

Other strategies for improvement noted by the participants at the November retreat are:

- to focus evaluation on good teaching as active learning techniques strongly endorsed by president and vice president. Offer training/modeling on how to teach by active learning techniques and incorporate it into the evaluation.
- to train everyone involved in any aspect of the evaluation process - top to bottom (president, academic vice president, deans, department chairs, faculty, and students) - how and what to base faculty performance evaluations on.
- to set up "role-play" models where evaluators see what constitutes a poor evaluation, a mediocre evaluation and/or an excellent evaluation with resulting negative/positive outcome

Additional suggestions from the final focus group interviews with faculty supervisors are:

- Role play specific problems – even ones that deal with institutional service or professional development needs.
- Still need training on personnel law from more than one perspective. It would be great to have a panel of three – inside and outside experts.
- Training efforts should be approached / presented using good teaching skills – cut through all the stuff and get to the critical points.
- Expand our mentoring program to encourage the “oldies” and not just the new faculty as participants.
- A good training program has to have a good balance of theory and practice
- Develop materials – booklets, tapes, so that training can be repeated (and not as expensive)

APPENDIX A

TENTATIVE AGENDA NHMCCD FOCUS GROUP(S) RETREAT

Shirley Acres located on 217 Woerner Rd.
November 26, 2001

- 8:30-9:00 Greetings & Refreshments
- 9:00-9:45 Overview (today's session & larger project)
- Components of New Faculty Evaluation Model
 - Frame evaluation issues (latest research)
 - Consent Form & Questionnaire
 - Issue specific charge for morning session
- 9:45-10:00 Guided imagery by the facilitator followed by two separate focus groups of participants (faculty and associate deans) silently brainstorm (silent nominal technique) using post-its notes to write a word, phrase sentence or picture to identify thoughts about knowledge/skills/competencies/training Associate Deans need in order to evaluate faculty performance and help faculty improve performance.
- 10:00-10:15 Focus group posts all notes on wall. Facilitator reads each card to focus group – authors may need to clarify meaning(s)
- 10:15-10:30 Break
- 10:30-11:00 Participants silently cluster cards into categories/affinities in vertical columns.
- 11:00-11:30 Participants name affinities. Participants review/refine affinities to reach consensus on Master Affinity List. Good affinity characteristics are: 1) Homogeneity – all items/ideas in cluster have something in common; 2) Cluster is easy to name; and 3) Independent from other affinities with little conceptual overlap.
- 11:30-12:30 Lunch (15 minute leeway to finish morning session)
- 12:30-2:00 Participants start prioritizing affinities by determining their relationship to each other. Determine cause/effect relationship (if/then statements) between a specific affinity and each of the others in a

system. Each participant will be given an Affinity Relationship Table to record relationships and provide for examples of the relationships.

A relationship between affinity 1 and affinity 2 is

- a. either 1 influences 2,
- b. or 2 influences 1,
- c. or there is no apparent pattern of influence between 1 and 2.

Participants will vote on the direction of relationships as the researcher tallies the totals. From this a focus group IRD and SID will be developed during the break.

- | | |
|-----------|---|
| 2:00-2:15 | Break (researcher will work on SID) |
| 2:15-3:30 | Both focus groups share information. Examine the affinities and IRD of each focus group for commonalities and differences. Examine commonalities considering driver affinities and together both groups multivote to determine training priorities. |
| 3:30-4:00 | From training priority list, name possible resources. Summary and session wrap up. |

**APPENDIX B
RESEARCH CONSENT FORM I**

I hereby grant Katherine Persson permission to audiotape the following portions of the November 26, 2001 focus group: 1) clarification of terms/phrases created during the silent brainstorming; 2) group explanations of the affinity names; 3) group determination of affinity relationships (IRD); 4) construction of the system influence model (SIM); 5) affinity comparisons and prioritizations between the faculty and associate dean focus groups; and 6) recommendations of experts for future training sessions. The audiotape will provide information that will be used for the researcher's doctoral dissertation (as a graduate student at The University of Texas at Austin) on Identifying Training Needs for Faculty Supervisors on How to Assess Faculty Performance. I understand that the researcher will be sharing summary findings from this study (without attribution) with members of the administration and faculty at NHMCCD. I understand that any information obtained in connection with this study and that can be identified with me will remain confidential and will be disclosed only with my permission. I also understand that I am under no obligation to participate in the study and that my decision whether or not to participate will not affect my future relations with NHMCCD or the University of Texas at Austin.

Signed: _____ Date: _____

Work Phone: _____

I hereby grant Katherine Persson permission to quote my statements, without attribution (that is, anonymously), in the reporting of this study. [This is optional]

Signed: _____ Date: _____

Check here if you want a copy of this form for your records. _____

Katherine Persson
20,000 Kingwood Dr.
Kingwood, TX 77339
281-312-1652 kpersson@nhmccd.edu

APPENDIX C
PHASE I QUESTIONNAIRE
November 26, 2001

This questionnaire seeks information on demographics, attitudes, and beliefs of focus group participants prior to the implementation of a new faculty assessment model. This data will be used by Katherine Persson as part of her doctoral dissertation under the Community College Leadership Program of the College of Education at the University of Texas at Austin. Anonymous, collective results of the study will be made available to NHMCCD.

In order to keep your responses anonymous and to compare information given by you after training and evaluation take place this spring, the following process will be used: 1) you will be assigned a number that will be used on both this questionnaire and a follow up one; 2) to insure that the same number is used by you approximately six months from now, your focus group will choose a member who will keep your name and number information secure from the researcher; and 3) during the follow up focus group session, the person chosen to keep your name and number secure will give you your card to insure accurate identification of your number on the follow up questionnaire.

Your assigned identification number: _____

Are you a faculty member, associate dean, or academic VP: _____

Employed at which college: _____

Teaching discipline or supervision area: _____

Number of years in your current position: _____

At NHMCCD: _____

If you are a faculty member, will you be evaluated this spring? _____

When were you last evaluated? _____

Please respond to the following questions using the 1-5 scale below.

1. Very Poor 2. Poor 3. OK 4. Good 5. Very Good

_____ 1. Describes my trust level with my supervisor

_____ 2. Describes my trust level with my college faculty

_____ 3. Describes my satisfaction with the current evaluation process

_____ 4. Describes my opinion of the new evaluation model

Please respond candidly to the following questions located on the back of this questionnaire.

5. What do you believe is the biggest challenge in making faculty performance evaluations meaningful *to faculty*?

6. What do you believe is the biggest challenge in making faculty performance evaluations meaningful *to faculty supervisors*?

7. What do you believe is the greatest training need (knowledge, skill, competency) for faculty supervisors to *assess* faculty performance?

8. What do you believe is the greatest training need (knowledge, skill, competency) for faculty supervisors to *help improve* faculty performance?

9. Do you think the new faculty assessment model is missing any essential components? If yes, what is it (are they)?

APPENDIX D
AFFINITY RELATIONSHIP TABLE

Affinity Name
1.
2.
3.
4.
5.
6.
7.
8.

Possible Relationships
$A \rightarrow B$
$A \leftarrow B$
$A \diamond B$ (No Relationship)

Focus Group Affinity Relationship Table	
Affinity Pair Relationship	Examples of the relationship as experience by the participant, either in natural language or in the form of an IF/THEN statement of relationship.
1 2	
1 3	
1 4	
1 5	
1 6	
1 7	
1 8	
2 3	
2 4	
2 5	
2 6	

2	7	
2	8	
3	4	
3	5	
3	6	
3	7	
3	8	
4	5	
4	6	
4	7	
4	8	
5	6	
5	7	
5	8	
6	7	
6	8	
7	8	

APPENDIX E
FACULTY COMBINED INTERVIEW THEORETICAL CODE FREQUENCY
TABLE

Affinity Name 1. Consistency 2. Efficiency 3. Emotions 4. Evaluator Competence 5. Evaluator/Instructor Relationship 6. Faculty Benefit? 7. Purpose 8. Student Benefit	Possible Relationships $A \rightarrow B$ $A \leftarrow B$ $A \diamond B$ (No Relationship) $A ? B$ (Possible Relationship)
---	--

Examine each individual Interview Theoretical Code Table and tally the frequency of each relationship in the table below

Examine each affinity pair to determine the direction of the relationship. An overwhelming majority (Pareto Principle rule of thumb is 80%) of frequency determines the direction of the relationship.

Examine codes for conflicts (e.g., $1 \rightarrow 4$ and $4 \leftarrow 1$) where the frequencies are close in number. Flag the affinity pair as “?” for consideration as a recursion.

Combined Interview Theoretical Code Frequency Table						
Affinity Pair Relationship	Frequency	Theoretical Code		Affinity Pair Relationship	Frequency	Theoretical Code
$1 \rightarrow 2$	7	$1 \rightarrow 2$		$3 \rightarrow 5$	2	$3 \leftarrow 5$
$1 \leftarrow 2$	1			$3 \leftarrow 5$	14	
$1 \rightarrow 3$	15	$1 \rightarrow 3$		$3 \rightarrow 6$	5	$3 \leftarrow 6$
$1 \leftarrow 3$	0			$3 \leftarrow 6$	9	
$1 \rightarrow 4$	9	?		$3 \rightarrow 7$	1	$3 \leftarrow 7$
$1 \leftarrow 4$	8			$3 \leftarrow 7$	11	
$1 \rightarrow 5$	7	$1 \rightarrow 5$		$3 \rightarrow 8$	7	$3 \rightarrow 8$
$1 \leftarrow 5$	4			$3 \leftarrow 8$	4	
$1 \rightarrow 6$	13	$1 \rightarrow 6$		$4 \rightarrow 5$	13	$4 \rightarrow 5$
$1 \leftarrow 6$	0			$4 \leftarrow 5$	2	
$1 \rightarrow 7$	8	$1 \rightarrow 7$		$4 \rightarrow 6$	14	$4 \rightarrow 6$
$1 \leftarrow 7$	5			$4 \leftarrow 6$	1	
$1 \rightarrow 8$	9	$1 \rightarrow 8$		$4 \rightarrow 7$	9	$4 \rightarrow 7$
$1 \leftarrow 8$	1			$4 \leftarrow 7$	3	
$2 \rightarrow 3$	9	$2 \rightarrow 3$		$4 \rightarrow 8$	12	$4 \rightarrow 8$
$2 \leftarrow 3$	1			$4 \leftarrow 8$	0	

$2 \rightarrow 4$	4	$2 \leftarrow 4$		$5 \rightarrow 6$	12	$5 \rightarrow 6$
$2 \leftarrow 4$	11			$5 \leftarrow 6$	0	
$2 \rightarrow 5$	4	?		$5 \rightarrow 7$	7	$5 \rightarrow 7$
$2 \leftarrow 5$	4			$5 \leftarrow 7$	4	
$2 \rightarrow 6$	12	$2 \rightarrow 6$		$5 \rightarrow 8$	6	$5 \rightarrow 8$
$2 \leftarrow 6$	0			$5 \leftarrow 8$	1	
$2 \rightarrow 7$	7	$2 \rightarrow 7$		$6 \rightarrow 7$	2	$6 \leftarrow 7$
$2 \leftarrow 7$	4			$6 \leftarrow 7$	13	
$2 \rightarrow 8$	9	$2 \rightarrow 8$		$6 \rightarrow 8$	11	$6 \rightarrow 8$
$2 \leftarrow 8$	1			$6 \leftarrow 8$	1	
$3 \rightarrow 4$	1	$3 \leftarrow 4$		$7 \rightarrow 8$	15	$7 \rightarrow 8$
$3 \leftarrow 4$	12			$7 \leftarrow 8$	1	

APPENDIX F
FACULTY SUPERVISOR COMBINED INTERVIEW THEORETICAL CODE
FREQUENCY TABLE

<p>Affinity Name</p> <ol style="list-style-type: none"> 1. Communications 2. Meaningfulness/Purpose 3. Relationships 4. Mechanics 5. Affirmation 6. Strategies for Improvement 7. Emotions 8. Student Benefit 	<p>Possible Relationships</p> <p style="text-align: center;">A → B A ← B A ⇔ B (No Relationship) A ? B (Possible Relationship)</p>
---	---

Examine each individual Interview Theoretical Code Table and tally the frequency of each relationship in the table below

Examine each affinity pair to determine the direction of the relationship. An overwhelming majority (Pareto Principle rule of thumb is 80%) of frequency determines the direction of the relationship.

Examine codes for conflicts (e.g., 1 → 4 and 4 ← 1) where the frequencies are close in number. Flag the affinity pair as “?” for consideration as a recursion.

Combined Interview Theoretical Code Frequency Table						
Affinity Pair Relationship	Frequency	Theoretical Code		Affinity Pair Relationship	Frequency	Theoretical Code
1 → 2	8	1 ← 2		3 → 5	4	3 ← 5
1 ← 2	12			3 ← 5	12	
1 → 3	15	1 → 3		3 → 6	7	3 ← 6
1 ← 3	1			3 ← 6	14	
1 → 4	11	1 → 4		3 → 7	7	3 ← 7
1 ← 4	5			3 ← 7	12	
1 → 5	3	1 ← 5		3 → 8	10	?
1 ← 5	6			3 ← 8	8	
1 → 6	11	?		4 → 5	15	4 → 5
1 ← 6	11			4 ← 5	3	
1 → 7	12	1 → 7		4 → 6	10	?
1 ← 7	8			4 ← 6	9	
1 → 8	15	1 → 8		4 → 7	15	4 → 7
1 ← 8	2			4 ← 7	7	
2 → 3	20	2 → 3		4 → 8	15	4 → 8
2 ← 3	1			4 ← 8	4	

$2 \rightarrow 4$	16	$2 \rightarrow 4$		$5 \rightarrow 6$	2	$5 \leftarrow 6$
$2 \leftarrow 4$	1			$5 \leftarrow 6$	7	
$2 \rightarrow 5$	12	$2 \rightarrow 5$		$5 \rightarrow 7$	8	?
$2 \leftarrow 5$	4			$5 \leftarrow 7$	7	
$2 \rightarrow 6$	16	$2 \rightarrow 6$		$5 \rightarrow 8$	6	$5 \rightarrow 8$
$2 \leftarrow 6$	4			$5 \leftarrow 8$	2	
$2 \rightarrow 7$	19	$2 \rightarrow 7$		$6 \rightarrow 7$	16	$6 \rightarrow 7$
$2 \leftarrow 7$	0			$6 \leftarrow 7$	4	
$2 \rightarrow 8$	18	$2 \rightarrow 8$		$6 \rightarrow 8$	15	$6 \rightarrow 8$
$2 \leftarrow 8$	0			$6 \leftarrow 8$	0	
$3 \rightarrow 4$	4	$3 \leftarrow 4$		$7 \rightarrow 8$	21	$7 \rightarrow 8$
$3 \leftarrow 4$	17			$7 \leftarrow 8$	2	

**APPENDIX G
FACULTY GROUP TABULAR IRD**

Affinity Name
1. Consistency
2. Efficiency
3. Emotions
4. Evaluator Competence
5. Evaluator/Instructor Relationship
6. Faculty Benefit?
7. Purpose
8. Student Benefit

Count the number of up arrows (↑) or *Outs*

Count the number of left arrows (←) on *Ins*

Subtract the number of *Ins* from the *Outs* to determine the (Δ) *Deltas*

$$\Delta = \text{Out} - \text{In}$$

Tabular IRD – Sorted in Descending Order of Δ												
	1	2	3	4	5	6	7	8		OUT	IN	Δ
1		↑	↑	↑	↑	↑	↑	↑		7	-	7
2	←		↑	←	?	↑	↑	↑		4	2	2
3	←	←		←	←	←	←	↑		1	6	-5
4	←	↑	↑		↑	↑	↑	↑		6	1	5
5	←	?	↑	←		↑	↑	↑		4	2	2
6	←	←	↑	←	←		←	↑		2	5	-3
7	←	←	↑	←	←	↑		↑		3	4	-1
8	←	←	←	←	←	←	←			0	7	-7

Faculty Tentative SID Assignments	
1	Consistency
2	Evaluator Competence
3	Efficiency
4	Evaluator/Instructor Relationship
5	Purpose
6	Faculty Benefit
7	Emotions
8	Student Benefit

Primary Driver
Secondary Driver
Circular/Pivot
Secondary Outcome
Primary Outcome

**APPENDIX H
FACULTY SUPERVISOR GROUP TABULAR IRD**

Affinity Name
1. Affirmation
2. Communication
3. Emotions
4. Meaningfulness/Purpose
5. Mechanics
6. Relationship Building
7. Strategies for Improvement
8. Student Benefit

Count the number of up arrows (↑) or *Outs*

Count the number of left arrows (←) on *Ins*

Subtract the number of *Ins* from the *Outs* to determine the (Δ) *Deltas*

$\Delta = \text{Out} - \text{In}$

Tabular IRD – Sorted in Descending Order of Δ												
	1	2	3	4	5	6	7	8		OUT	IN	Δ
1		←	↑	↑	←	←	↑	↑		4	3	1
2	↑		↑	↑	↑	↑	↑	↑		7	-	7
3	←	←		←	←	←	←	↑		1	6	-5
4	←	←	↑		↑	↑	↑	↑		5	2	3
5	↑	←	↑	←		←	↑	↑		4	3	1
6	↑	←	↑	←	↑		↑	↑		5	2	3
7	←	←	↑	←	←	←		↑		2	5	-3
8	←	←	←	←	←	←	←			0	7	-7

Faculty Supervisor Tentative SID Assignments	
1	Communication
2	Meaningfulness/Purpose
3	Relationships
4	Mechanics
5	Affirmation
6	Strategies for Improvement
7	Emotions
8	Student Benefit

Primary Driver
Secondary Driver
Circular/Pivot
Secondary Outcome
Primary Outcome

APPENDIX I
AFFINITIES AND DESCRIPTORS FROM NOVEMBER 26, 2001 RETREAT
FACULTY FOCUS GROUP AFFINITY TOPICS IDEAS/THOUGHTS

1. Consistency

- What are exemplary accomplishments?
- Tell me what the institution needs from me
- Not consistent
- Inconsistent
- Consistency
- Non-judgmental
- How much weight does student opinion have?
- Student feedback depends on instructions given
- Some questions on student feedback are not good
- Why are student evaluations ignored
- Focused
- Discussion of evaluation with AD should be meaningful
- Depends on trust level
- Trust
- Personality conflicts
- Uneven workloads among faculty – how to assess?
- Define what is exceeds?
- Inconsistent
- Calibration

2. Efficiency

- Beware the Taliban (Rules! Rules!)
- Never a good time to do it – always busy
- Time consuming
- Very little follow through
- Lack of prior goal setting
- Wasting time
- Timelines

- No procedure or criteria for self-improvement (how many items, time frame)
- Exercise in paperwork
- RARE (in occurrence)
- Vague of politically correct phrasing
- Too many chiefs, not enough Indians
- Paper happy
- No pre-conference
- A pain in the schedule of busy people
- Waste of time?
- Too much paperwork
- Neglects what's important to instructors
- More paperwork

3. Emotions

- A conversation
- Defense/Offense
- Pre competition jitters
- Teacher openness to atmosphere
- Sweaty palms
- Defensive
- Shallow rapid breathing
- Nervous
- Nervous
- Intimidating
- Intimidating
- Criticism
- Chatty
- Relaxed
- Potentially helpful
- Hopeful
- Improve
- Insightful

- Positive attitude
- Queazy stomach – nervous
- Positiveness

4. Evaluator Competence

- Content of lesson
- Has she talked to my colleagues? Students? I wish she would.
- Does she really know my performance?
- What is her perception based on?
- Don't know content
- Lack of confidence with evaluator
- Is this based on one persons belief system
- Evaluator at ease and open to different approaches to delivery
- Does she know everything I've done? If so, how???
- Open mind to topic and students
- Evaluation on-going (not just 1 time)
- Previous interaction with supervisor
- Non-judgmental
- Academic
- Need to be accurate with information
- Supervisory experience?
- Wanting the AD to understand lecture
- Synthesis of subject matter
- Disagreement with evaluation
- My work is evaluated by someone who can't do the job.
- Knowledge of subject

5. Evaluator/Instructor Relationship

- Good job – thanks for telling me how to do my job
- Friendly
- Friendly
- Unbiased?
- Open-mindedness

- Am I being too defensive?
- Salesmanship
- Making sure to play the game well
- Biased
- Collegial
- Friendly
- Reality
- Open environment
- Need to be perfect
- This is torture – just let me tell you what I need
- I want my evaluation to be a tool to help me improve
- I want my boss to see me teach, in order for me to teach better
- Should end with both colleagues feeling good: ideal situation
- Too abstract, need more concrete suggestions
- The real goal is not the improvement of instruction
- A required formality
- Some tension – power differential

6. Faculty Benefit?

- Self actualization produces motivation for existence
- Do I really need someone else tell me what's wrong with me?
- If I knew better, would I do better?
- Is this helpful?
- Good profs do their own meaningful evaluation – bad profs don't care.
USELESS
- Devaluation
- Not helpful
- If I'm not doing my job to your satisfaction say so
- Are they angry – Do I need to suck up Who really counts here?
- Don't know criteria for evaluation (completion of workload, classroom observation, etc.)
- How long have they felt that way about me?
- Will this really improve my objectivity

- Is this accurate?
- Nuisance
- No consequences for bad instruction

7. Purpose

- Prove worth
- The “What if” concept
- Needed
- Potential for encouragement and mentoring
- Good idea
- ? Why – let’s make this worth it
- Chance to “strut my stuff”
- Positive reinforcement
- Job consequences
- Opportunity for growth
- Necessary
- Make it a positive experience for growth
- Potential for growth – not good or bad
- Accountability for performance – a good thing!
- Does evaluation make a difference?
- Evaluation is a growth experience

8. Student Benefit

- Interaction with students
- What is the objective? Are students learning – can I prove it?
- Empathy with student learning difficulties
- Interest in material and students
- Generate student interest in learning
- Student respect of each other
- Hoping students are interactive
- Respect for “each” student
- Wanting students to understand!!
- Student are the customers! Love

- Student interaction
- Interest in student well being
- Encouragement of students

Above ideas/thoughts were generated by 19-21 faculty.

FACULTY SUPERVISOR FOCUS GROUP AFFINITY IDEAS/THOUGHTS

1. Affirmation

- Positive
- I want something positive to come of this!
- I enjoy faculty
- Like being in the classroom
- Affirming celebration of strengths
- Celebration of success
- Recognition
- Peaceful-calm fun
- Chance to praise
- Hopes and dreams
- Let's reflect on your strengths
- New techniques
- New ideas
- Information
- Do your plans match my initiatives!
- Planning
- Planning
- Review goals and objectives
- Goals – relate faculty to college

2. Communication

- As an AD have to work at the best way to word discussing faculty weaknesses – good points are easy!

- Focus on listening – not just talking
- Techniques to put a faculty at ease prior to assessment
- Never comfortable to discuss performance problems
- Trust: how to build it? Use it? Maintain it in good/bad situations
- Trust
- Knowledge “Are you perceived as having knowledge of area”
- Wish the faculty didn’t feel so threatened
- Make it meaningful without triggering the “threatened” response.
- Clear communication (with any luck at all)
- Choose the right words
- Honesty/tact
- Interpersonal. Communications
- Empathy
- ...sympathy for the one being evaluated
- Concern for the other’s probably uneasiness
- Watch body language
- Put faculty at ease
- Fun (standing, larger, and smiling stick figure) Hell (smaller, sitting, and frowning stick figure)
- Faculty centered

3. Emotions (Part of Pain in the Butt Category)

- Stressful
- Drawing of research rodent depicting faculty in new process
- Fear
- Uneasiness
- Fear
- Defensive
- Endurance
- Stress

4. Meaningfulness/ Purpose

- One time assessment effective?

- What ultimately becomes of this evaluation?
- Is this helpful
- No reward so why do it
- Where's the \$ (reward)
- Snapshot it time
- Some parts drummed up
- Is it necessary?
- Frequency - Are "we" working in the same arena
- Analysis never gives the whole picture
- 2 or 3 parted?
- Complicated
- More paperwork
- Both mechanical and personal
- Necessary evil

5. Mechanics (Part of Pain in the Butt Category)

- Too many forms
- Many parts arbitrary
- Time consuming
- Time consuming
- Time intensive but necessary
- Time intensive

6. Relationship Building

- On-going
- Continuous
- Reflection
- Reflection
- One-on-one
- Goes better if prior communication has been good
- Opportunity to interact
- Inclusive
- Sharing

- Department-wide collaboration
- Collaboration
- Feedback
- Collegiality
- Interactive
- Interactive
- Cooperation

7. Strategies for Improvement

- To address new supervisor compare evaluation with others – defensive
- How can I help modify a behavior
- Coaching
- Teaching
- Learning
- Improvement
- Help the faculty to grow professionally
- Learning experience for me
- Teaching and learning inseparable
- Assessment & feedback
- Always wanted more guidance on how to improve
- How can I help the faculty achieve their goal
- What faculty most value in their own discipline
- Problem solving
- What! – We'll work together (stick figures)

8. Student Benefit

- Are the students engaged
- What do you want your students to remember about your class?
- Focus on what is best for the students – all students
- Student response
- Assessment: are students learning?

23–26 faculty supervisors generated the above information on November 26, 2001.

APPENDIX J
EVALUATION OF PORTFOLIO TRAINING SESSION
February 12, 2002

Please respond candidly to the following questions using the 1-5 scale below.

1. Very Poor 2. Poor 3. OK 4. Good 5. Very Good

- _____ 1. How would you rate today's overall training session?
- _____ 2. How would you rate the presenter's effectiveness in covering information on how to *develop* a teaching portfolio?
- _____ 3. How would you rate the presenter's effectiveness in covering information on how to assess teaching effectiveness by the use of a teaching portfolio?
- _____ 4. What are the chances that you will incorporate information learned today into developing your own portfolio?
- _____ 5. What are the chances that you will incorporate information learned today into evaluating faculty portfolios? (Please put NA if you are a faculty member.)
- _____ 6. How would you rate the presentation materials?
- _____ 7. How would you rate the presentation length?
- _____ 8. How would you rate the setting (room, facilities)?
- _____ 9. How would you rate the food?

10. Please briefly note why you found this training session useful or not useful.

11. Please indicate other training session topics you would find valuable. Would you want these offered before April 1st?

Are you a faculty member, associate dean, or other: _____

How long? _____

Employed at which college: _____

Teaching discipline or supervision area: _____

If you are a faculty member, will you be evaluated this spring? Y / N

Did you attend the Nov. 26 training session? Y / N If yes, your ID number was . _____

This evaluation information will be used by Katherine Persson as part of her doctoral dissertation under the Community College Leadership Program at The University of Texas at Austin. Information will also be used to help plan for future sessions and to provide feedback to the presenter and hosts. Thank you for your participation in and evaluation of this session.

APPENDIX K
RESULTS FROM EVALUATION OF PORTFOLIO TRAINING
February 12, 2002

There were 25 evaluation surveys submitted. Questions 1-9 rated on a scale of 1-5, with 1=Very Poor, 2=Poor, 3=OK, 4=Good, 5= Very Good.

- | | | | | | |
|--|-------|-------|-------|--------|--------|
| 1. How would you rate today's overall training session?
Average score: 4.36 | 1 – 0 | 2 – 0 | 3 – 1 | 4 – 14 | 5 – 10 |
| 2. How would you rate the presenter's effectiveness in covering information on how to <i>develop</i> a teaching portfolio?
Average score: 4.56 | 1 – 0 | 2 – 0 | 3 – 1 | 4 – 9 | 5 – 15 |
| 3. How would you rate the presenter's effectiveness in covering information on how to assess teaching effectiveness by the use of a teaching portfolio?
Average score: 4.2 | 1 – 0 | 2 – 2 | 3 – 3 | 4 – 8 | 5 – 12 |
| 4. What are the chances that you will incorporate information learned today into developing your own portfolio?
Average score: 4.28 | 1 – 0 | 2 – 0 | 3 – 3 | 4 – 12 | 5 – 10 |
| 5. What are the chances that you will incorporate information learned today into evaluating faculty portfolios? (Please put NA if you are a faculty member.)
Average score: 4.125 NA - 9 | 1 – 0 | 2 – 0 | 3 – 3 | 4 – 4 | 5 – 9 |
| 6. How would you rate the presentation materials?
Average score: 4.2 | 1 – 0 | 2 – 1 | 3 – 3 | 4 – 11 | 5 – 10 |
| 7. How would you rate the presentation length?
Average score: 4.08 | 1 – 0 | 2 – 2 | 3 – 2 | 4 – 13 | 5 – 8 |
| 8. How would you rate the setting (room, facilities)?
Average score: 4.08 | 1 – 1 | 2 – 0 | 3 – 3 | 4 – 13 | 5 – 8 |
| 9. How would you rate the food?
Average score: 3.92 | 1 – 0 | 2 – 0 | 3 – 7 | 4 – 13 | 5 – 5 |

10. Please briefly note why you found this training session useful or not useful.
- Information about a new issue
 - Discussion at lunch was especially helpful regarding who utilizes the process and how to implement, rating of portfolio items used for improvement
 - Great tool for eval and self-eval
 - I had no previous knowledge of the information presented today – so it was all very useful
 - Improved educational outcomes
 - Gave me a good foundation of the process
 - A better understanding of what type of information is need to complete a portfolio. How to use the portfolio improve one’s teaching skills.
 - I like the emphasis on self-awareness – keeping track of what you claim to do and whether you are truly accomplishing that.
 - The table of contents of the portfolio is good, the checklist of general items for evaluating portfolios is also good.
 - I am moving toward establishing a teaching portfolio
 - Good ideas – useful to me/my reflection
 - Have considered using this approved formula, will try to start, now
 - Currently, we use portfolio assessment in our training programs for students, and are excited to build our own faculty use!!!
 - To stay of cutting edge makes (illegible) useful.
 - Like the idea of portfolio as evaluation tool.
 - Solid, practical, good information that we can put to use – “doable”
 - I constantly revise my courses and have not kept a written documentation and I continually use ideas I pick-up through professional development. I like the idea of leaving a legacy.
 - Organized, thorough – provided food for thought.
 - Too basic; not enough application; would prefer more detail.
 - Good applications to personal and student growth. Will facilitate self-evaluation. Emphasis on teaching important.
11. Please indicate other training session topics you would find valuable. Would you want these offered before April 1st?
- Mentor training
 - Developing a list of items to include in a portfolio
 - Peer review
 - Composing student surveys
 - How a portfolio is used to improve teaching
 - Evaluation – peer techniques
 - Perhaps the mentor session
 - Yes, I enjoy VIP sessions – excellent

- ‘What’ to include in the portfolio
- Maybe follow-up work sessions?
- How to do an administrative portfolio
- 4 day workshop

Are you a faculty member, associate dean or other?

Faculty – 11 Associate Dean – 11 Other – 2 Did not indicate – 1

Employed at which college?

Cy-Fair – 1 Kingwood – 56 Montgomery – 0 North Harris – 14
Tomball – 3 Did not indicate – 1

Teaching discipline or supervision area:

<u>Associate Dean</u>	<u>Faculty</u>	<u>Other/None</u>
Comm/Math/Science	Psychology	Hlth Occupations
Hlth Occupations	Speech/drama	None – 2
Visual/Perf Arts	Cosmetology	
CIT	Applied Tech	
Liberal Arts	Kinesiology - 2	
Humanities	English	
Eng/Industrial Tech	Child Dev/Fam Studies	
Sci/Math/Hlth Sci	History	
SHS	Business	
New Prog/Prog Eval	Developmental Studies	

If you are a faculty member, will you be evaluated this spring?

Yes - 4 No - 7 Don't know – 1

Did you attend the November 26 training session?

Yes – 9 No – 11 No answer - 5

APPENDIX L
EVALUATION OF TRAINING FOR CONDUCTING FACULTY
EVALUATIONS

Held on March 19, 2002

Please respond candidly to the first five questions using the 1-5 scale below.

1. Very Poor 2. Poor 3. OK 4. Good 5. Very Good

- _____ 1. How would you rate the overall usefulness of the training session?
- _____ 2. How would you rate the usefulness of document (forms) review?
- _____ 3. How would you rate usefulness of *The Manager's Coaching Handbook* as a resource for conducting evaluations?
- _____ 4. How would you rate the usefulness of role-playing?
- _____ 5. What are the chances that you will incorporate information learned from this session into your performance review session with faculty this spring?
6. One of the goals of the training session was to *bring greater consistency* to the evaluation process. Do you believe that this training session accomplished this goal
- a. in terms of clarifying the new documents? _____
- b. in terms of clarifying the ratings / criteria for performance on the Faculty Assessment (could do better / rarely to does very well / usually)? _____
- c. If you answered "No" to both or either of the above questions, please describe how this goal may be accomplished.
- _____
- _____
7. Another session goal was to help evaluators with language and coaching techniques for conducting a performance review on someone the evaluator felt would be difficult. Do you believe that this training session accomplished this goal? _____
- Please explain. _____
- _____
8. As a supervisor of faculty, what other areas do you believe you need training in for conducting an effective evaluation of faculty performance? _____
- _____
- _____
9. Will this spring be your first time to evaluate full-time faculty? _____

This evaluation information will be used by Katherine Persson as part of her doctoral dissertation under the Community College Leadership Program at The University of Texas at Austin. Information may also be used to help plan for future sessions. Thank you for your participation in and evaluation of this session.

APPENDIX M

QUESTIONNAIRE RESULTS FROM NOVEMBER 26, 2001 RETREAT

Responses from Faculty Supervisors

What do you believe is the biggest challenge in making faculty performance evaluations meaningful to faculty?

- They need to feel that is theirs
- To reward excellent performance and guide future improvements in performance
- Time to do them effectively
- Not as often; not too many forms to fill out; evaluation must be value added to their job and/or salary from getting them to fill out forms on time is a challenge; doing the activity or it is not perceived as worthwhile
- There is no goal to achieve by getting a good evaluation. No incentive. Self-motivation is the only thing in play with this.
- Taking the stress out of the process
- Many faculty have been here too long without conference of evaluation pro or con
- Creating and reinforcing a culture which rewards and affirms core values in such a way that performance in accord with those values is strongly motivating; not so much money as a culture of service excellence.
- Convince faculty that evaluation process will be useful to them
- Walking the fine line between "unmotivating" faculty and guiding faculty to improve
- Ongoing communication is crucial to build trust and openness between faculty and dean
- Being able to transform mental (abstract) thoughts into concrete/meaningful data for the faculty

- Eliminating threat and giving faculty input in process
- Actually using the process to improve their performance. I have never had a supervisor use this to be totally honest about my weaknesses and give me strategies for improvement
- Define numerical terms. What does 5 mean? 4? 3? The definitions need to be known and accepted
- I find it difficult to balance the plusses - without focusing on one side primarily focusing on areas where attainable growth can be reached.
- They have to value the evaluator's expert training and communication skills
- Find out from them what they most value in themselves and their peers in teaching and in professional development - what this means to their disciplines

What do you believe is the biggest challenge in making faculty performance evaluations meaningful to faculty supervisors?

- That it means something to the faculty
- To reward excellent performance and guide future improvements in performance
- Too many people to evaluate and no peer review process. Also, since the evals do not affect compensation, most high performers already have good feedback - marginal performers often will not accept responsibility and evals are only perceived as negative
- It needs to be a tool that will reward good work and a tool to help improve others
- Making the process simple and easy enough so that supervisors can do more than just get the appropriate papers filed out
- Encouraging faculty to showcase their achievements, initiatives and weaknesses

- Instruments that really create a "big picture" view of a faculty member's contributions
- Making them easy to administer and useful to justify pay/bonus/professional development fund awards
- Multi-year contracts mea (sometime?) that faculty have little motivation to change
- Accumulating information at various periods in time and capturing this information to be used as an ongoing tool
- Making clear what is to be done.
- Knowing the evaluation process is taken seriously by faculty - that they appreciate the positive comments and take the areas to improve to heart
- I think they think its' meaningful, I do
- I believe it is skill. Natural competency can b e an issued but even without the competency the teaching skills are important
- Supervisor needs good involvement
- What are the outcomes and reward systems?
- How to make it simple?
- Ongoing evaluation - rather than one time snap shot
- Timeframe
- Give them credit for knowing what they're doing based on a postsecondary model

What do you believe is the greatest training need (knowledge, skill, competency) for faculty supervisors to assess faculty performance?

- Knowledge
- How to review behaviors, not personalities; how to encourage faculty performance; how to encourage corrective action

- Criteria for numerical ratings; how to evaluate the marginal performer to gain improvement; how to incorporate peer observations if we are not utilizing a peer review system.
- They need help in dealing with problems creativity and productively. Ways to handle problem performers and encourage better performers.
- Building empathy
- Personnel law
- Documentation tracking
- Training in (1) steps involved (2) evaluation of data
- define terms (especially those that quantify, "exemplary", etc.)
- None. In most cases excellent teaching is obvious to anyone observing it, especially someone with teaching experience
- people skills; affecting change; quantifying non-quantifiable skills; remaining objective and focused on the overall picture
- I think supervisors should try to evaluate using the same criteria
- (1) Knowledge of the area being evaluated
- (2) Knowledge and ability to perform evaluation of "others" faculty
- For me - being new - its just getting an overview of the entire process and getting all the steps in the right order - I.e., faculty sets goals before evaluation
- (1) Law - what can and cannot be said in a possible non-renewal evaluation
- (2) Buy in - all AD's will be honest and willing to discuss strategies for improvement or no one will
- Standards need to be discussed and understood. Then, they need to be applied
- Skill

- Training everyone involved in all evaluation process - top to bottom - Pres VEEP, AD, Fac, Stu
- Same as above
- If there's any valid research on what is correlated with student learning, they need that

What do you believe is the greatest training need (knowledge, skill, competency) for faculty supervisors to help improve faculty performance?

- Knowledge
- How to review behaviors, not personalities; how to encourage faculty performance; how to encourage corrective action
- Understanding of where students are coming from
- Criteria for consistent district-wide evaluation
- Guidelines for marginal performers and evaluation
- Ways to reward good performance
- How to evaluate content expertise if evaluator is not a content expert.
- Resources - more than just technology training is needed. Pedagogical training - having to spend on workshops and speakers and additional training
- Know's how to correct with threatening or offending
- Incentives
- Communications skills, "psychology" of success
- Need a focus on Active learning techniques strongly endorsed by Pres and VP and then training to implement it - by showing good examples
- People skills; affecting change
- Ideas about things to recommend for improvement and communication skills to send the message appropriately
- (1) Knowing resources for training of faculty in various weak areas
- (2) Have to all agree to be honest

- Have faculty have a mindset that everyone can do something better. Have them feel less threatened.
- You can't train for content Now. Provide evaluation in every category
- Simple Process
- See previous answer

Responses from Faculty

What do you believe is the biggest challenge in making faculty performance evaluations meaningful to faculty?

- Allow faculty to develop their own individual set of questions addressing areas they are wanting/need to know about - let faculty guide the process. We know better than administrators what we need to grow
- Fair assessment of widely - divergent duties, loads, activities, and responsibilities among faculty. Also no pay bonuses for excellent performance
- Maintaining consistency so that it is equitable
- That the faculty benefits from the evaluation
- Make sure that it actually does lead to development and improvement
- trust in process/objectives
- The faculty tend to see these measurements as vague, lots of words but no real evaluation, all hat, not cattle. The instrument is vague and can be used to many purposes
- Breaking the emotional barrier; lending credibility to the process
- Faculty evaluations must be fairly administered and promote the general improvement of a given teacher's performance. It should allow a teacher to learn what he/she is doing well as well as what needs improvement
- consequences
- Faculty often considers it a waste of time. Overcoming this is biggest challenge.

- Ensuring that evaluations are an effective tool for improving the teaching methods of faculty members. Student learning is what makes teaching meaningful - if evaluations aid that end, they are a worthwhile tool.
- Trust! Consistency across district
- Confidence that the evaluator knows enough about what your performance to adequately evaluate you. Greater use of student evaluations and perhaps peer evaluation or use of a portfolio might be helpful
- Faculty need to feel that it has a purpose. It also needs to be used by evaluators who are very open minded and know the field of the person they are evaluating.
- An evaluation that is on-going throughout the school year so that the evaluator can check for improvements - it would help with trust between the evaluator and the faculty member
- Actually proving that these evaluations have merit and would be used for the benefit of the faculty member.
- Define goals for each semester instead of per concept and/or skills - taught per course. Define what 2-4 means? Is it a personality contest? Are the faculty assessed only on performance? Why are student evaluations wasted.
- Providing accurate and fair assessment of effective teaching skills, methods and techniques

What do you believe is the biggest challenge in making faculty performance evaluations meaningful to faculty supervisors?

- It must give them a view of what's really going on - not just a snapshot. They must get information throughout the year by being involved in department
- Difficult for faculty to speak about their own areas of self improvement

- Making the process not unnecessary paperwork - minimizing unnecessary time
- The comments and suggestions are acted upon
- (1) Starting with goals and ideas of what an effective teacher is
- (2) Having faculty identify various methodologies and which is best for the faculty and student learning
- trust in process/objectives
- Many of the supervisors reflect the same opinion as faculty - much ado about very little. I have yet to hear a supervisor praise (or even approve) of this instrument.
- Addressing problem issues - "How to"
- Everyone knows the sandwich method
- The overall evaluation should allow the faculty supervisor to receive information from the faculty member which will cause the faculty member to strive for performance improvement and to continue the points they are doing well.
- trust - use to develop a trusting relationship to enhance quality of faculty
- They have to believe it will help instructors and ultimately students
- If evaluations are a meaningful tool for improving teaching methods, they will be meaningful for both faculty and supervisors; and all will recognize their value
- Less time consuming
- Confidence that they truly have enough information to appropriately evaluate faculty AND ability to do something with the evaluation such as promote, praise, train, terminate
- It is looked upon as a growth tool/plan

- Consistency in evaluating faculty performance - evaluations are very subjective and its hard to find an evaluation tool that not subjective in nature
- The evaluations concluded are fair to the individual and used for the improvement of a faculty member's teaching methods
- What are exemplary accomplishments? Too many to evaluate within time frame
- Practical, user friendly, efficient time-wise

What do you believe is the greatest training need (knowledge, skill, competency) for faculty supervisors to assess faculty performance?

- Competency - consistency
- How to assess different subject areas within the same division. For example, how does helping students at computer stations compare to teaching students to dance?
- knowledge of subject
- knowledge of equitable assessment techniques
- Knowledge, skill, competency - all of the above
- Management skills in managing people; identifying effective teaching skills
- How to write an improvement or development plan
- (1) goal discussion
- (2) listening/questioning skills
- (3) establishing trust with faculty (important)
- (4) fostering effective communications (important)
- People skills, assessment, knowledge of purpose in profession
- I believe that it is important that the faculty supervisor have "real understanding" of the faculty members discipline and know some of the potential for disciplinary improvements

- Model - skill - adapt business
- I don't care whether they know my subject area. The greatest training need is interpersonal and competency in relationships and in using the tool
- The ability to listen non-judgmentally to a faculty member's teaching style and methods and suggest ways to improve in a manner that is non-threatening
- Continuous discussion with teachers to get updates throughout year
- Ability to understand interpretation of different data - student evaluations (what they mean and what they don't mean), etc. Should gather lots of evaluatory information/ know how to sort it, analyze it, and interpret.
- They need to know how to communicate the process to faculty. The process should be on-going not just one day or class period.
- Knowledge of content area, teaching methods, student learning styles, to evaluate without preconceived ideas about the instructor (be unbiased)
- Knowledge of information and directing this knowledge to the students
- Experience with field in which faculty is assessed, I.e., subject area, classroom
- See answer to next item

What do you believe is the greatest training need (knowledge, skill, competency) for faculty supervisors to help improve faculty performance?

- Suggestions to go with criticism
- Knowledge of what faculty attributes improve student retention, success critical thinking skills
- Communication - building a good working relationship
- Knowledge of what they are teaching
- How to mentor faculty for improvement
- How to manage a continuous improvement process
- See previous answer

- They can't - change comes from within - motivate for change
- Agent - does everyone need to improve?
- The greatest need is for positive, pro-active feedback on major and minor faculty improvement needs.
- Ensure the supervisor observes faculty - and preferably is a teaching supervisor
- None of these is as important as empowering associate deans to do this
- There are many ways to teach well. Once again I say the ability to listen in a discriminating or discerning manner- but without imposing inappropriate judgments.
- On-going communication and motivation/learn to ask questions and listen to answers
- TRUST by faculty and sincere desire for growth. This growth should eventually come from within a faculty member
- Mentoring skills, conflict resolution (if an evaluator shies away from a conflict with an instructor with a bad evaluation, listening skills
- Constructive criticism, and explaining the use of different teaching methods... especially adding the use of improving technology.
- Knowledge of subject matter and newest teaching methods and /or philosophies
- It might be helpful to set up "role-play" models where evaluators see what constitutes a poor evaluation, a mediocre evaluation and/or an excellent evaluation with resulting negative/positive outcome

APPENDIX N
FINAL FOCUS GROUP INTERVIEW CONSENT AND QUESTIONS

Associate Dean Focus Group Session
June 10, 2002

This focus group session seeks information from participants involved in the development and implementation of a faculty supervisor-training program on the assessment of faculty performance. This information will be used by Katherine Persson as part of her doctoral dissertation under the Community College Leadership Program of the College of Education at the University of Texas at Austin. Individuals volunteering to participate in this session will be identified as a faculty supervisor, not by their name.

If all participants give written permission, this session will be tape-recorded. Transcription of the tape will be by a third party who will note participant's responses by number, not name.

During this session, participants will be asked to reflect/ give opinions on the following questions:

- given all of the changes that have happened since the last evaluations (a year ago), how are things the same and how are they different (as applied to assessing faculty performance)?
- what impact did these experiences (formal training sessions and other) have (on you, your faculty, the college)?
- what do you perceive to be the significant factors contributing to the success/failure in the development of a training program to assess faculty performance?
- what do you perceive to be the long-term outcomes of this experience?

Depending on the responses, participants may be asked additional questions for clarification.

I, (Name) _____, give my permission for Katherine Persson to use information obtained in this session for the purpose stated above.

I, (Name) _____, give my permission to have this session tape recorded for the purpose stated above.

Please note your attendance at the training sessions listed below.

Date	Event	Yes	No
November 26	District Focus Group Retreat		
February 12	Portfolio Development – Peter Seldin		
March 19	Training Session – New Model, <i>Manager’s Coaching Handbook</i> , & Role Playing		
March 27	Evaluation Documentation on ADA - Powell		
April 4	Explanations to Faculty on Process & Forms		
Other			

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VITA

Elizabeth Katherine Bajza Persson was born to Esther Ruth Warner Bajza and Charles C. Bajza on June 9, 1950 in Kingsville, Texas. Her mother had a master's degree in Geology and taught Earth Science in public school. Her father held a doctorate degree and was the chair of the Geology-Geography Department at Arts and Industries University in Kingsville. Katherine was the second of five children, preceded by an older brother Charles and followed by three younger sisters, Ruth, Susan, and Laura.

Katherine graduated from Henrietta M. King High School in 1968, received her Bachelor of Science in Biology in 1973 from Southwest Texas State University in San Marcos. She earned her Masters in Science in Biology in 1982 from Texas Woman's University in the Texas Medical Center, Houston. Her master's thesis was *The Combined Prenatal Effects of Nicotine and Alcohol on Development*.

In 1974 Katherine worked as a laboratory researcher in the department of Molecular Genetics at M.D. Anderson and in the early 1980s as a researcher in the Neuroscience Department at the Texas Research Institute of Mental Sciences in Houston. From 1978 to 1984 she taught adjunct for North Harris College. In 1984 she was employed by North Harris Montgomery Community College District to start the Biology Department at Kingwood College. From 1987-1991 she helped develop the first associate of applied science degree in Biotechnology in the state.

Katherine was a full time instructor and biology department coordinator until 1993 when she became a faculty supervisor. For over three years Katherine served as the Associate Dean of Science, Health Care, and Applied Technology. She was responsible for overseeing all of the sciences, kinesiology, and certificate and associate degree programs in biotechnology, cosmetology, respiratory care, and vocational nursing. Katherine next served as the Interim Vice President of Educational Programs from May to December 1996. She became the Vice President of Educational Programs in January 1997 and added student Development a year later. As of this writing, she is still serving in this role at Kingwood College.

Katherine's community service includes serving as an elected school board trustee for Splendora Independent School District since May 1990. She served as president of the Board for five years before starting her doctoral program. Since January 2000, Katherine has also served on the Community Chamber of Commerce Board of Directors. She is the 2002-2003 Chair. Other community service includes serving on the Leadership North Houston Board, starting a concerned citizens group, serving as a den mother for Boy Scouts, and helping judge science fairs and academic decathlons.

In March 2002 the Community College Leadership Program recognized Katherine in the *Community College Week* as one "Beyond the Glass Ceiling." She has been recognized by the Community College Leadership Program as a visiting

scholar and a distinguished scholar. She has presented sessions at NISOD and at the Texas Association of School Boards Annual State Conference.

Katherine is married to Andrew, a high school teacher, and they have three grown children, Earin, Brian, and Torin. They permanently reside at 24145 Creekwood Dr., Splendora, TX. 77372.

The author typed this dissertation.