A STUDY OF EVALUATION METHODS FOR SUBSTITUTE TEACHER APPRAISAL

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Introduction to the Problem:

Increasing grants of emergency and sick leave, along with the increasing recognition of the need for time for furthering professional growth for the regular classroom teacher, have resulted in a trend toward a growing need for substitute teachers. In a survey conducted by Bear and Carpenter¹ it was determined that the statistically "average pupil" was taught by someone other than his regular teacher six days during the 1960-61 school year. Over 9,000,000 teacher days were taught during that school year by 200,000 substitutes.

The same survey indicated that an overwhelming majority of substitutes, regular teachers, and principals were not satisfied with the quality of teaching done by the substitute teachers.

As long as teacher absences continue to increase, the substitute teacher will remain an important segment of the education system and should participate in and contribute to the teaching-learning situation as fully as possible. A starting point toward the improvement of the teaching quality of substitute teachers would be the improvement of evaluation methods being applied to substitutes.

Statement of the Problem:

The purpose of this study was to determine if evaluation methods for regular classroom teachers could be used as a basis for evaluation

¹David E. Bear and Regan Carpenter, "Substitute Teaching Programs", American School Board Journal, Vol 143, Nov. 61, pp. 16-17.
of substitute teachers. This study examines the relationship between the performance of substitute teachers and evaluation methods being applied to regular teachers. As a conclusion to the study, one instrument for observation of classroom teachers was selected and applied in 25 classroom observations of substitute teachers.

Operational Definition of Terms:

A regular classroom teacher will be considered a classroom teacher who is under contract with a school district and has major responsibility for the teaching-learning situation of a classroom of pupils.

For purposes of this paper, a substitute teacher will be considered a fully-certified teacher who is on call to the school district on a day-to-day basis to fill in for a regular teacher who must be absent from her classroom duties for a period of time from a half-day to 90 days during the school year.

Evaluation will be considered the determination of weaknesses and strengths of a teacher (or a substitute teacher) and the resulting interpretation of these strengths and weaknesses as they apply to the improvement of instruction.

Review of Literature:

There is very little research available about substitute teachers. The few articles and reports that were available for study concerned
the problems that a substitute encounters during her assignments or the expectations the regular classroom teacher and principal have of a substitute.

Washington sums up the current attitude toward expectations of the substitute teacher in the following way: "Principals and supervisors have been accused of expecting, primarily, a "warm body" to fill in and keep order or to "baby-sit" with the children whenever the full-time teacher is absent .... Typically, principals and supervisors are concerned with how well the substitute teacher maintains classroom control, follows school regulations and procedures, and completes the necessary attendance forms and other office reports."²

Mr. Washington suggests that a shift in policy is needed to establish the substitute as a contributing member of the full-time staff. Improvement of instruction should be the goal, with the effort directed toward promoting pupil growth, promoting learning and leadership, and promoting optimum conditions for teaching and learning.

Suggestions for improvement of the teaching quality of substitutes were made frequently in other articles, but nowhere were there examples or guidelines for evaluation methods to be applied to substitute teachers.

In most research regarding the regular classroom teacher's evaluation, the goal of the evaluation process was to stimulate improvement of teacher performance. Interpretation and assessment of this improved teacher performance varies greatly, as indicated by the many variations of evaluation systems in use throughout the country.

An article by Popham deals with three categories into which most evaluation systems fall: ratings, observations, or standardized tests. The author concludes that each of these methods has drawbacks and that new techniques for evaluation should be devised.

Six characteristics of an appraisal system were mentioned by Dean Speicher in a presentation to the American Association of School Administrators in 1972. They are: early diagnosis, dialogue between immediate superior and subordinate, timely and sufficient help, emphasis on performance, honest appraisal (self-appraisal), and adequate documentation. These characteristics, or variations of them, appear in many other reports about evaluation.

Three suggested approaches to evaluation are explained in the above-mentioned paper:

1) Characteristic or traits approach: Effectiveness determined by assessment of personal attributes which are considered to be prerequisite or desirable to instructional performance or achievement of educational objectives.

2) End-product approach: Assumes teaching effectiveness can be determined either quantitatively or qualitatively by measuring the outcome of a product.

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3) Evaluation by indicators of teaching effectiveness: Assumes that instructional effectiveness can be determined by various teaching acts (that pupil learning is a result of what the teacher does).

Guides for appraisal feedback are discussed in the paper, with suggested do's and don't's in appraisal interviewing. Observation is discussed, and there is a list of typical behavior characteristics which may be used as a guide by the observer visiting a classroom.

Stemnock reported on a study for the Educational Research Service on current evaluation systems in use by all school systems of 25,000 or more pupils.\(^5\) The questionnaire, which was returned by 110 school systems, contained items about the purposes of evaluation, frequency of evaluation, procedures used, personnel who did the evaluation, and appeal procedures. The results of the questionnaire indicated that most schools use classroom observation as the main method of appraising teachers. A checklist of prescribed performance standards was used by 89% of the schools for teacher rating, and 11% used mutually agreed-upon performance goals. These goals were set prior to the evaluation and were used as a guide in rating the teacher in terms of the extent to which the goals were achieved.

Sample evaluation forms were included in the resulting report from this study. The characteristics appearing on these forms most often included: (1) personal qualities such as appearance, temperament, dependability, tactfulness, attitude, cooperation, health, attendance;

(2) professional qualities such as judgment, enthusiasm, loyalty to the school system, professional ethics, rapport with students, parents, staff; and (3) teaching performance/classroom management such as mastery of the subject matter, teaching techniques, command of English language, classroom organization and appearance.

Some of the sample forms consist of check-off lists with ratings of superior, excellent, good, acceptable, unsatisfactory or similar categories. Others are set up for the observer to make a statement about each characteristic on the rating sheet.

Malone describes a five-step instrument for visitation and follow-up conference which he calls OEGT: Observable Evidences of Good Teaching. The areas covered in the instrument are: interpersonal relations, physical environment, goal-centered instruction, lesson procedures, and evaluation of the lesson. Each area has specific subheadings which the observer should look for while visiting the classroom.

One suggested approach to teacher-evaluation stresses that the use of no-threat, cooperative self-evaluation can help create stronger confidence and a feeling of security for the teacher. Fox and Jones describe the method where the teacher and administrator together list goals and methods, equipment, facilities and special assistance necessary for the teacher to achieve these goals. The first step in this method is to define certain teaching tasks. There is an evaluation

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conference at the end of the year when achieved and unachieved goals are discussed openly and recommendations are mutually agreed upon for the goal-setting for the next year.

**Interpretation of the Literature:**

All of the authors writing about teacher evaluation indicated that evaluation is important and necessary. Most authors mentioned the importance of teacher involvement in either carrying out the evaluation process or designing an evaluation system or both. There appears to be universal agreement that evaluation can be a valuable tool for improving instruction and that the goal of improving instruction is of utmost importance in our educational systems. But there is no agreement on the criterion of teacher effectiveness.

Rating is, by definition, almost impossible. By definition, it is essential that it be based on a definite scale or collection of items usually accepted as legitimate measures for such purposes. Yet there are to date no commonly accepted measures of good teaching.

The data-gathering devices to determine the effectiveness of a teacher vary from one school district to another, with no one individual instrument of general use throughout the nation. DeVaughn noted that observation, analysis of weaknesses and strengths, conferences and prescriptions of remediation by joint agreement are difficult processes and that avoiding the problem is less painful than trying to solve it.

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Conclusion Based on Literature:

The most common evaluation method for regular teachers is classroom observation. Substitute teachers move from building to building, and it is almost impossible for the principal to observe all substitutes in his building during the school year. School districts that have a supervisor assigned to the substitute teacher program are usually quite large, so it would be a difficult task for the supervisor to observe every substitute several times during the school year.

Most evaluations for regular teachers include short-term planning and long-term goals for the classroom. Obviously, a substitute who replaces the regular teacher for just a day or two cannot be evaluated within these guidelines.

It appears that even though there are numerous types of evaluation methods and instruments for the regular classroom teacher and the goals for regular teachers and substitutes are aimed mainly toward improvement of teacher performance, the same evaluation instrument cannot be used for substitutes as that applied to regular teachers unless the instrument is modified. The performance of a substitute teacher should be appraised on the basis of her special duties as a "temporary replacement" for the regular teacher.

Hypothesis: A trained observer should be able to collect valid data for appraisal while visiting the classroom of a substitute teacher, if the instrument being used is adjusted to reflect the "temporary" teaching situation of the substitute.
Selecting the Observation Instrument:

The method used to evaluate substitute teachers should be based on direct observation within the classroom. An advantage of appraising employee performance on a face-to-face basis is that the observer is forced to be "honest", using only the factual data collected with which to appraise. The data should let the employee "know how he's doing", and present a basis from which to develop changes in his performance. Better understanding of his observable behavior will hopefully result in better performance.

If a positive program is to be developed by the employee, the appraisal should foster initiative, encourage imagination, and develop a sense of responsibility toward self-improvement. The observation should provide answers to the questions, "How did I do?" and "Where do I go from here?"

In attempting to try out the above hypothesis, the researcher chose the IOTA method of observation and made adjustments to this instrument as its applicability to substitute teachers became more clear.

IOTA, an "Instrument for the Observation of Teaching Activities", provides a means of gathering observable data in fourteen categories (or scales) of classroom behaviors. The philosophy is that through the recording of the observable behavior of a teacher in relation to an acceptable definition of teaching competence, the person being observed will have feedback with which to improve his or her effectiveness in the classroom.  

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9 Shawnee Mission Public Schools, Everything You Always Wanted to Know about IOTA ... but Were Afraid to Ask, Shawnee Mission, Kansas, June, 1974.
Standards for observing these areas of teaching competence include:

1) Behaviors must be directly observable.
2) Each scale must be consistent.
3) Be constructive and positive; avoid negative statements.
4) Be concise, accurate and to the point.
5) Avoid the use of "usually", sometimes", and "always".

The National IOTA Council considers this instrument successful only when it is used by trained observers. It has developed a 36-hour training workshop which begins with film training and ends with actual classroom observations. The researcher attended two separate training sessions during 1974 in preparation for this study.

The observation procedure involves:

1) Prior knowledge by the observee of the observation
2) A pre-conference just before the observation
3) A classroom observation
4) A post-conference following the observation
5) An implementation conference as soon as possible.

The recommended procedure for observation is that the observer write down all visual and auditory behavior that is observable between teacher and students during the period. The observer is only interested in what is, not in what he thinks it should be. All observations are written down in the appropriate category (scale) of an observation sheet and the observer then leaves the classroom. The observer then compares each scale with the scale descriptions in the IOTA handbook and selects

(10)
the best description of the behavior observed for each scale. The selection is to be based only on the facts written down on the observation sheet.


An example of a scale description (Classroom Control) is included as Appendix A for this paper. The scale is quoted from the Handbook for IOTA prepared by and for the teachers of the Shawnee Mission Public School District.

It should be noted that the definitions within each separate scale do not fall in a particular order, such as most desirable to least desirable behavior. These definitions have been purposely scrambled to force the observer to consider all data and select the one most appropriate to each of the 14 scales. The purpose of the observation is not to rate a teacher "excellent" or "poor" but to give feedback to the observee for her own self-evaluation and improvement of instruction.
Description of the Study:

For purposes of this study only substitute teachers who were in their first year of employment with our school district were observed. The researcher had personally interviewed each substitute prior to her employment, and each substitute had been to an orientation meeting and had spent a full day observing an experienced substitute teacher in the school district before receiving her first assignment.

Twenty-five observations were recorded during a period of four months. All persons observed for this study had substituted at least three times before being schedules for an observation. The date for the observation was selected by the observer, but each observee was asked to select the class period on that date which she preferred to have observed.

During each pre-conference the substitute was advised that the purpose of this observation was self-evaluation and that the notes taken in the classroom would not be placed in her personnel file. She was advised that we would discuss the observation at the post-conference and that all notes taken in the classroom would become her property immediately after the conference.

The following information was recorded by the observer at the time of the pre-conference:

1) How many days substituted for the district at time of observation?
2) Has she been assigned to this building previously?
3) Has she taught these particular students previously?
4) What kind of activity will be observed? What objectives?

5) Did substitute or regular teacher prepare lesson plans?

The time for a post-conference was then scheduled for a later time that same day, at her convenience.

The twenty-five persons observed for this study had spent a total of 206.5 days substituting for Shawnee Mission Schools prior to their observations, an average of 8.3 days each. Thirteen substitutes had been in the building prior to their observation, and nine had taught these particular students previously. There did not appear to be any difference in the responses toward the observation between those substitutes who had been with their students before and those who were meeting the class for the first time.

The activities being observed varied from basic math, spelling, language arts, etc., to a session in the library, an art project, and a music class. There was interaction between teacher and students in all cases, so there was no problem collecting data for the observation scales.

Only one substitute observed had prepared her own lesson plans for that day.

During the first few observations most of the observer's post-conference time was spent explaining the purpose of the observation and the meaning of each observation scale. Very few responses regarding the substitute's attitude about the results of the observation were recorded. Many substitutes seemed concerned more about the
problems that had arisen with the class and wanted to discuss such things as how to handle certain discipline problems or what to do when the teacher's lesson plans were incomplete.

Apparently the purpose of the observation was not being made clear during these first attempts, as the concern seemed to be, "How did the observer think I did?", rather than, "What can I learn from the observation to use for self-improvement?".

To remedy this misunderstanding, a brief summary was written in the margin of each scale category, after completing the observation and before meeting with the substitute for the post-conference. This seemed to clarify the objectives, as all subsequent post-conferences were centered around the behaviors observed and possible changes the substitutes wished to implement in their teaching for the future.

Other problems encountered during the post-conferences were such things as having students in the room during the post-conference or rushing through the discussion because of the tight schedule of the substitute. The following suggestions should be helpful for future observations:

1) The observation should be uninterrupted – at least 30 minutes.

2) Be sure the notes being taken by the observer are kept private -- arrange a spot some distance from the eyes of students for the observer to sit.

3) Summarize all notes in private, before meeting the person who was observed for the post-conference.

4) Allow 20 to 30 minutes for the post-conference.
5) Discussion of the observation with the substitute should be private -- no students or faculty listening.

6) Stress self-evaluation as the purpose, both in the pre- and post-conference.

7) Try to lead the discussion toward teacher-initiated questions -- let her discover for herself what was observed.

8) Reinforce the teacher's strong areas and point out her competencies -- she can see her weaknesses.

As a follow-up to each post-conference, the observer should evaluate the entire discussion. The following questions should be helpful in this evaluation:

1) Was it a cordial meeting? How could it have been more so?

2) What were the reactions of the substitute?

3) What did I learn that will help in future observations?

4) Did I plan rather than for the substitute?

5) Did I waste time?

6) Did I praise in some way?

7) Did the substitute leave with a friendly, optimistic attitude?

8) Did we emerge with specific ways to help the substitute?

Most substitutes observed indicated their appreciation for an opportunity to receive information about their teaching behavior. More than half of them mentioned that this method was the most objective approach they had encountered. Many were enthusiastic about the
opportunity to keep the observation notes for their own information and indicated their intent to compare their notes with their desired teaching goals.

After several substitutes had requested a guideline to use in reviewing their teaching behaviors, the researcher obtained a handout for each person being observed. Each scale is described in this handout and examples are given for each category. Every substitute who received this guideline commented that she appreciated having this as a guide for self-improvement. A copy of the guideline is attached as Appendix B for this report.

During the fourth month of this study several persons who had been observed mentioned their enthusiasm about the method being used. On two separate occasions at meetings of new substitutes those who had been observed told others of their enthusiasm and their hope that others could have an opportunity to be observed. This reaction was quite different from earlier experiences, as most substitutes observed during the first few weeks mentioned how nervous they were and how concerned they felt about "doing a good job" during the observation.

It must be concluded that this approach was non-threatening to those involved and that the persons observed must have experienced something positive.

Recommendations Based on Study:

The major conclusion of this study is that it is possible to record data for substitute teachers concerning their teaching behaviors.
The response of those persons observed indicated a definite interest in receiving objective data regarding their interactions with students.

The instrument used during this study included several categories which would be more relevant for classroom teachers than substitutes. For instance, the scale on the instrument relating to "Learning Centers" was never referred to, and very seldom was the category dealing with "Subject Matter Preparation" used.

For purposes of the study the instrument used was satisfactory; but if substitute teachers are to be appraised on the basis of a classroom observation, an instrument would need to be developed which applied specifically to substitutes. Ideally, the instrument would be developed by substitutes, teachers, and principals in order that maximum agreement and understanding among all faculty and substitutes could be attained.

The previously mentioned presentation by Speicher\textsuperscript{10} included a suggested plan for developing an appraisal system. The points in this plan include:

1) Review research
2) Involve teachers, administrators, principals, etc.
3) Define goals which define desired program outcome
4) Identify the model for teacher effectiveness for your plan
5) Identify the indicators of teacher effectiveness
6) Determine who will be evaluated and who will do the evaluating
7) Determine how data will be collected to implement the plan and design or acquire instruments for this purpose

\textsuperscript{10} Speicher, \textit{Performance-Based Teacher Appraisal Program}, pp 2.
8) Design evaluation steps and time schedule
9) Develop a decision-making system
10) Design a formal evaluation system to get feedback on the evaluation plan.

The researcher would agree with these points and recommend that the substitute teachers who are to be evaluated work with teachers, principals and administrators of the school system to develop an evaluation system specifically for substitute teachers. Mr. Speicher's suggestions for such a plan appear realistic and would be a good reference point from which to begin such a project.
CLASSROOM CONTROL SCALE

Definition: Classroom control is the conduct within the classroom

The Teacher:
A. Provides an atmosphere in which industrious self-regulation is generally maintained
B. Imposes authority rigorously which is frequently circumvented or ignored
C. Imposes standards of conduct that are generally maintained
D. Intervenes frequently to maintain control
E. Encourages self-directed standards of conduct that are maintained with occasional lapses

Description:
The manner in which the teacher establishes and maintains classroom atmosphere is reflected by the degree of student self-regulation. The level of self-regulation will vary with the student's age, maturity, background, environment, and level of development. These will also affect the degree of teacher intervention or direction.

Examples of Data:

Students:
1. Working cooperatively in groups
2. Working with a minimum of friction
3. Working independently or on special projects

Teacher:
1. Sensitivity to student needs
2. Intervention, either spoken or unspoken
3. Adaptation to unusual situations
APPENDIX B

GUIDELINES FOR CLASSROOM BEHAVIORS

Variety in Activities: A variety in activities is providing multiple experiences during that period.

Examples: 1) Lecturing
2) Demonstrating
3) Leading discussions
4) Explaining
5) Directing

Use of Materials: Any object used to aid learning.

Examples: 1) Basic materials: textbooks, chalkboard, work sheets, pencils
2) Supportive materials: audio-visual, resource material, reference materials, community resources

Classroom Control: The conduct within the classroom.

Examples: 1) Students: working cooperatively, with a minimum of friction, independently or on special projects
2) Teacher: sensitivity to student needs, intervention, either spoken or unspoken, adaptation to unusual situations

Learning Difficulties: Any physical, psychological, mental, or social obstacle which hinders learning. May range from a simple misunderstanding to a severe learning disability or physical handicap.

Examples: 1) Answering & explaining student questions
2) Assisting a student having difficulty
3) Grouping students on the basis of needs
4) Providing for physically handicapped students
5) Prescribing and testing based on learning style
6) Differentiating assignments depending on needs and problems

(20)
Individualization of Instruction: Can be on a one-to-one basis or can be accomplished by grouping. Individualized instruction is the way the teacher interacts with individuals within the large group.

Examples: 1) Utilizing diagnostic procedures  
2) Differentiating materials  
3) Grouping  
4) Moving to and from individuals  
5) Using one-to-one sessions  
6) Responding to student needs  
7) Lecturing

Development & Implementation of Classroom Goals: Refers to the extent of learner involvement in the process of determining his educational goals and the methods by which he attains them.

Examples: 1) Skillful questioning to determine background information  
2) Eliciting student suggestions in establishing goals  
3) Using materials brought in by the students  
4) Encouraging pupil participation in identification and choices of resources and activities.

Opportunity for Participation: The degree to which individuals and groups interact in discussion and other activities.

Examples: 1) Classroom discussion -- teacher/student and student/student  
2) Experiments  
3) Boardwork  
4) Role play, audience participation  
5) Individual projects  
6) Individual and group response  
7) Committee work  
8) Oral or silent reading  
9) Manipulative materials
Teacher Reaction to Student Response: The teacher provides an atmosphere which is conducive to differing points of view.

Examples: 1) Open class discussion 2) Student-volunteered contributions 3) Encourage various points of view 4) Discuss and weigh differing opinions 5) The teacher or student restating or rephrasing student statements and using them as a basis for further discussion.

Creative Expression: Represents the products of each individual's imagination.

Examples: 1) Role playing 2) Open discussion 3) Dramatic interpretation 4) Student's choice of original words, sentences, stories, poems, compositions, etc. 5) Pictorial projects 6) Humorous responses to teacher or peers 7) Student's suggestions for classroom procedures, arrangements, groupings, etc. 8) Student's choice of methods to accomplish assigned tasks.

Development of Student Initiative: The desire and effort a student puts forth to accomplish a task.

Examples: 1) Students: volunteering for and/or carrying out routine duties, asking and answering questions, participating in class discussions, working together and/or in pairs.

2) Teacher: encouraging student choice in planning of projects, promoting independent work habits, providing leadership opportunities, providing small group activities, encouraging spontaneous contributions by students, providing for independent projects.
Social Climate: The personal interaction within the class unit.

Examples: 1) Provides opportunities for students to share and take turns, respect rights of others, and become self-directed
2) Displays and sets examples of consideration and helpfulness
3) Promotes and praises positive interactions
4) Helps students resolve differences
5) Discourages negative behavior

Subject Matter Preparation: Means the teacher has readily available lesson plans, and an exhibited knowledge of the material being taught, well-designed learning activities and uses suitable methodology.

Examples: 1) Thought-provoking questions, answers, discussion
2) Classroom organization
3) Classroom activities
4) Teacher and students oriented to classroom activities
5) Selection of materials

Current Application of Subject Matter: The utilization of the teacher's skill in relating the subject matter to its common use.

Examples: 1) Reference to the student's environment
2) Utilization of simulation games and projects
3) Participation in group activities where leadership skills are developed
4) Exploration of careers
SELECTED BIBLIOGRAPHY


Shawnee Mission Public Schools, Everything You Always Wanted to Know About IOTA .... but Were Afraid to Ask, Shawnee Mission, Kansas, June, 1974.


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AN ABSTRACT OF A MASTER'S REPORT

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The need for substitute teachers has grown increasingly during recent years, and this trend will probably continue as more districts grant leave for inservice training and increased sick leave benefits. Therefore, the need exists to examine possible ways to improve the quality of teaching being done by substitute teachers.

The purpose of this study was to determine if evaluation methods for regular classroom teachers could be used as a basis for evaluation of substitute teachers. This study examines the relationship between the performance of substitute teachers and evaluation methods being applied to regular teachers. As a conclusion to the study, one instrument for observation of classroom teachers was selected and applied in 25 classroom observations of substitute teachers.

A review of available literature indicates that little has been written about substitutes, other than an occasional article mentioning the need for improvement of the teaching quality of substitutes. An evaluation method developed specifically for substitutes is apparently non-existent.

Literature about classroom teacher evaluation suggests that though the common goal is that of improving instruction, there are numerous methods of evaluating. The most common method of teacher evaluation is classroom observation.
The observation instrument chosen for this study centers around the philosophy that through the recording of observable behavior of a teacher in relation to an acceptable definition of teaching competence, the person being observed will have feedback with which to improve his or her effectiveness in the classroom.

The observation technique included a pre-conference, a 30-minute classroom observation, summarization by the observer, and a post-conference with the substitute to review the notes taken during the observation. Substitutes were given the summary and all notes taken by the observer. Most substitutes indicated their appreciation for an opportunity to receive information about their teaching behavior, and many told the observer that this method was the most objective approach they had encountered.

After several substitutes had requested a guideline to use in reviewing their teaching behaviors, a "Classroom Behavior Guideline" was prepared to be given to each substitute during the post-conference.

The researcher concluded from this study that it is possible to record relevant data for substitute teachers concerning their teaching behaviors. The response of those persons observed indicated a definite interest in receiving objective data regarding their interactions with students.