PERFORMANCE PLANNING AND REVIEW

For Superintendents Evaluation

KENTUCKY SCHOOL BOARDS ASSOCIATION

KSBA

"A brighter future through better public schools"

KSBA Superintendent Evaluation Handbook

KSBA Superintendent Evaluation Workbook

Dear school board member:

Congratulations! Opening this workbook shows you're taking a most important job very seriously – evaluating your superintendent.

The information, research, tips and worksheets you'll find here represent a wealth of experience compiled by our Leadership Services experts that not only makes your job *easier*, but also ensures your schools have the qualified, progressive leadership they *deserve*.

This guide will also help you establish and clarify the roles and responsibilities within the superintendent-board team.

KSBA's Superintendent Evaluation program and workbook give you the tools to create and maintain a solid leadership team that focuses on student achievement. Because the public demands increased accountability for student achievement and community involvement, this job is more important than ever. KSBA's approach to evaluation is designed to enhance student achievement.

We are here whenever you need assistance.

Bill Scott

KSBA Executive Director

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KSBA Superintendent Evaluation

Selecting and evaluating the superintendent is one of the school board's most important jobs. A high-quality superintendent evaluation process helps develop good board/superintendent relationships, provides clarity of roles, creates common understanding of the leadership being provided and provides a mechanism for public accountability and is basis for the development of the individual growth plan for the superintendent.

The evaluation process involves four core board-governing roles:

- Vision: Goal setting.
- Structure: Developing a clear written evaluation plan and timeline.
- Accountability: Measuring the superintendent's performance.
- Advocacy: Communication of goals and progress among the board, superintendent and community.

Performance evaluations are most effective when they are designed and used for communicating future expectations, not simply for reviewing past performance. As many superintendents know, if you don't know what the board expects, it is difficult, if not impossible, to meet those expectations. On the other hand, if the board fails to monitor progress towards its goals, it will not know when they have been successfully completed.

Most boards find themselves asking questions such as these:

- What should we evaluate?
- How can we do it objectively and fairly?
- When should the superintendent's evaluation take place?

KSBA has developed an evaluation process and two-part evaluation tool that can help answer these questions and serve as the foundation upon which school boards can build their own evaluation process and documents.

What should we evaluate?

The superintendency is a professional position equivalent to the chief executive officer in the private sector. As such, the superintendent is charged with leading and administering the organization according to the policies adopted by the school board. The purpose of evaluating the superintendent is not to micromanage the organization, but to provide oversight and public assurance that the policies are being effectively implemented. Another critical purpose is to provide input and feedback to the superintendent to help him or her continually improve.

The evaluation process is also used to make critical decisions about contract extensions, non-extensions, or terminations. The evaluation process keeps school boards informed about district activities and progress being made toward goals. The superintendent can use the feedback to engage in personal professional development. A quality superintendent evaluation process is a win/win for the board, the superintendent and the community. So where do we begin?

The Two-Part Tool

KSBA has developed a two-part evaluation tool.   Part 1 is based on eight Performance Standards established jointly by the American Association of School Administrators and the National School Boards Association and formatted by the Oregon School Boards Association. An additional standard related to student achievement was developed by KSBA with input from the Kentucky Department of Education. Part 2 evaluates progress towards the goals established by the board and superintendent at the beginning of the evaluation cycle. Parts 1 and 2 are designed to be filled out by individual board members; a summary of their responses complied by a designated board member is given to the superintendent. In addition, the individual responses for each board member may be given to the superintendent to further clarify the summary. The consensus report prepared by the board will be used for discussion with the superintendent. The superintendent may also fill out these parts as a self-evaluation and a basis for discussion with the board.

Part 1: Performance Standards

The eight professional standards established by the American Association of School Administrators (AASA) with NSBA and the student achievement standard developed by KSBA describe the fundamental job requirements that superintendents must address. These standards serve as the foundation of the performance standards section of the KSBA Superintendent Evaluation Form.

For each professional standard, AASA has identified performance indicators that can help you discern whether the standard has been attained. KSBA has included many of the AASA indicators, in addition to others, in the evaluation form so that boards will have some basis from which to make judgments about the superintendent's performance. These performance indicators focus primarily on personal characteristics and management style of the superintendent.

A tenth standard regarding labor relations is available upon request.

Part 2: Superintendent's Goals

Each year, the board and superintendent team should meet to develop a clear set of goals for the organization for the coming year. The board's role is to help set these end results that clarify the board's expectations of "what" the board expects to be achieved. These goals set collaboratively by the board and the superintendent should support the district consolidated improvement plan, and/or the superintendent's growth plan and or corrective action plan. The superintendent then prepares an action plan defining the means to be used to achieve the goals. These goals, and the action plans, serve as a basis for Part 2 of the evaluation process.

Superintendent Self-Evaluation

The superintendent self-evaluation may be presented to the board by the superintendent before the board members fill out their individual worksheets. The superintendent may choose to fill out parts 1 and 2 and use as a self-assessment to be presented to the board as a part of the evaluation process.

Each of the parts (1 and 2) is independent from the other and may be used separately or in combination.

Compiling Results

The board meets in executive session to discuss the results and agree on a consensus evaluation that will be presented in the meeting with the superintendent. The individual responses in parts 1 and 2 are worksheets only but are given to the superintendent for further clarification of the consensus evaluation. Compiling results is best done by discussion among all board members sitting together in executive session. It is important that the members recognize the importance of coming to a consensus and speaking with one voice in the evaluation. The superintendent works for the board as a whole, not for individual board members. The board must make every effort to speak with a single voice in setting expectations and assessing success.

How can we do it objectively and fairly?

It is the responsibility of the school board to evaluate the performance of the superintendent. No process or form is completely objective. There will always be some subjectivity and judgment on the board's part. Remember that board members are elected to make those judgments. The KSBA Superintendent Evaluation Form for Performance Standards (Part 1) and Goals (Part 2) are designed to reduce subjectivity and increase objectivity. Fair application of the evaluation process is best determined through collaboration and agreement by the board and superintendent about what, how and when the superintendent evaluation will be conducted.

Documentation

The KSBA Superintendent Evaluation Form is more than a checklist. It requires the objective consideration of evidence or documentation of the degree to which each standard has been met. This can be provided orally, as written lists, or as specific documents. Some boards and superintendents may select a portfolio approach. Part 1 of the form includes a list of performance indicators for each standard. Board members should not rate indicators but, rather, consider indicators in determining the overall rating for that performance standard.

Performance Ratings

A wide variety of scoring scales can be used with this evaluation form. The scale that appears on the form is the common numerical scale that corresponds to letter grades.

Written Comments

Written comments always help clarify the evaluation. This provides the board with the opportunity to deliver specific constructive criticism and/or accolades and provides the superintendent with useful information for continuous performance improvement. Again, the board should speak with one voice in making written comments on the final summary evaluation form.

Public Meeting Law

A governing body, such as a school board, must comply with law regarding open meetings when evaluating the job performance of the superintendent.

A school board must follow the guidelines established in KRS 61.810, and any binding opinion, when determining if an executive session is appropriate and what topics are allowed to be discussed. When in doubt always consult with the local board attorney for guidance.

KSBA recommends, as best practice, that a narrative summary of the performance evaluation be completed by the board chair and made available to the public when the evaluation is complete.

Evaluation Conferences

Face-to-face conversations between the board and superintendent are essential to an effective process. Meetings should occur to establish the superintendent's goals, the evaluation document and process to be used, the documentation of the superintendent's performance and a summative evaluation conference. It is recommended that the superintendent fill out a self-evaluation of parts 1 and 2. When the board meets to discuss the results of its evaluation, it should hear the superintendent's report of his or her self-evaluation.

When should the superintendent's evaluation take place?

Pre-Evaluation

Prior to the beginning of the new school year, goals and expectations for the superintendent should be mutually established with the board. These goals are often established during a planning retreat or work session during the spring. If possible, set goals before the budget process begins. The previous spring is ideal because it allows the incorporation of district goals into budget planning, staffing, and professional development for the coming year. Agreement on the form, process and timeline should also be in place.

Contract Extension Review

Superintendents must be notified about extension or non-extension of their current contract. Other timelines may also exist within the superintendent's contract itself. In order to make these decisions, a performance review should take place prior to these deadlines so that the board can make informed judgments about continuation of employment.

Review Results

The result of the review should be steps for professional development and a growth plan for the superintendent and a plan for informing the community about the results of the evaluation and status of the district's goals.

At Conclusion of the Evaluation

Before the beginning of the next school year, the board and administration should meet to begin the next cycle of goal setting and evaluation. This timeline allows the superintendent time to plan for the ensuing year. The goals should be publicized to keep the district informed.

Communication with the Community

The superintendent evaluation process provides the board an opportunity to share the school district's progress with the community. A summary of the board's conclusions should be prepared by the board from the worksheet data after the evaluation.

Superintendent Evaluation Timeline

Suggested Timeline	*District Timeline*	*Action*
Jan. – Feb.	_____	1. Superintendent and board clarify vision and mission and update long-range plans for the district.
Jan. – Mar.	_____	2. Board and superintendent review superintendent job description and the evaluation process, forms and timeline to be used next year.
Jan. - April	_____	3. Superintendent and board set goals for the next school year.
July - May.	_____	4. Superintendent should make regular reports regarding progress on district goals to the board.
Mar. - April	_____	5. Board members complete Parts 1 and 2 of the superintendent evaluation form.
March	_____	6. Superintendent may complete a self-assessment of the evaluation forms parts 1 and 2.
April	_____	7. Board members meet to discuss their evaluations and develop the board's official written evaluation document(s) that will be shared with the superintendent.
April	_____	8. Board and superintendent meet to discuss and clarify the results of the evaluation documents. Changes to the evaluation may be made as a result of the discussions. Evaluation meetings may be held in executive session.
April	_____	9. A copy of the final written evaluation form is placed in the superintendent's personnel folder.
April	_____	10. The results of the evaluation and progress on district goals are shared with the community.

Superintendent Evaluation Forms
Part 1: Performance Standards

Part 1. Performance Standards

Instructions

1. Attached are the forms to be completed by each board member rating each of the performance standards. A separate page is provided for each performance standard. Each board member should rate all of the performance standards.

2. Each performance standard has performance indicators listed below it. These performance indicators suggest objective measures to consider; do not rate each performance indicator separately. Only rate the overall performance standard.

3. Your comments in support of your rating will be helpful during the board discussion for preparation of a summary evaluation form.

4. Each board member's forms should be returned to the board chair or designated board member for compilation.

5. The designated board member or chair will compile the results on a preliminary summary evaluation form. The board will meet to discuss the results and prepare a final summary evaluation form representing the consensus of the board.

6. Because it is important that the board speak with one voice in evaluating the superintendent, the final summary report from the full board will be presented to the superintendent. Additionally the evaluations by individual board members may be presented to the superintendent.

Standard 1: LEADERSHIP AND DISTRICT CULTURE

This standard stresses the superintendent's performance in leadership through empowering others, visioning, helping shape school culture and climate, and understanding multicultural and ethnic differences.

Performance Indicators:

(Do not rate individual indicators. These are listed only to help you think about the standard.)

1.1 Facilitates a community process to develop and implement a shared vision that focuses on improving student achievement.

1.2 Promotes academic rigor that focuses on learning and excellence for schools.

1.3 Creates and supports a community of learners that empowers others to reach high levels of performance to achieve the school's vision.

1.4 Models learning for staff and students.

1.5 Promotes understanding and celebrating school/community cultures.

1.6 Promotes and expects a school based climate of tolerance, acceptance and civility.

1.7 Develops, implements, promotes and monitors continuous improvement processes.

The superintendent's performance for this standard:

0 UNACCEPTABLE

1 NEEDS IMPROVEMENT

2 GOOD

3 EXCELLENT

4 OUTSTANDING

Comments:

Standard 2: POLICY AND GOVERNANCE

Working with the board to formulate internal and external district policy, defining mutual expectations of performance with the board and demonstrating good school governance to staff, students and the community at large.

Performance Indicators:

(Do not rate individual indicators. These are listed only to help you think about the standard.)

2.1 Understands and articulates the system of public school governance and differentiates between policy-making and administrative roles.

2.2 Establishes procedures for superintendent/board interpersonal and working relationships.

2.3 Understands and interprets the role of federal, state and regional governments, policies, and politics and their relationships to local districts and schools.

2.4 Uses legal counsel in governance and procedures to avoid civil and criminal liabilities.

The superintendent's performance for this standard:

0   UNACCEPTABLE

1   NEEDS IMPROVEMENT

2   GOOD

3   EXCELLENT

4   OUTSTANDING

Comments:

Standard 3: COMMUNICATIONS AND COMMUNITY RELATIONS

This standard emphasizes the skills necessary to establish effective two-way communications not only with students, staff and parents, but the community as a whole including beneficial relationships with the media. It also stresses responding to community feedback and building community support for the district.

Performance Indicators:

(Do not rate individual indicators. These are listed only to help you think about the standard.)

3.1 Develops formal and informal techniques to gain external perceptions of district.

3.2 Demonstrates effective communication skills (written, verbal and non-verbal contexts, formal and informal settings, large and small group and one-on-one environments).

3.3 Promotes involvement of all stakeholders to fully participate in the process of schooling.

3.4 Establishes effective school/community relations, school/business partnerships and public service.

3.5 Understands the role of media in shaping and forming opinions as well as how to work with the media.

The superintendent's performance for this standard:

0 UNACCEPTABLE

1 NEEDS IMPROVEMENT

2 GOOD

3 EXCELLENT

4 OUTSTANDING

Comments:

Standard 4: ORGANIZATIONAL MANAGEMENT

This standard requires the superintendent to gather and analyze data for decision making and for making recommendations to the board. It stresses the skills necessary to meet internal and external customer expectations and to effectively allocate resources.

Performance Indicators:

(Do not rate individual indicators. These are listed only to help you think about the standard.)

4.1 Demonstrates budget management including financial forecasting, planning, cash- flow management, account auditing and monitoring.

4.2 Develops and monitors long-range plans for school and district technology and information systems, making informed decisions about computer hardware and software, and staff development and training needs.

4.3 Demonstrates knowledge of school facilities and develops a process that builds
 internal and public support for facility needs, including bond issues.

4.4 Establishes procedures and practices for dealing with emergencies such as weather, threats to the school, student violence and trauma.

4.5 Implements appropriate safety and security practices in schools.

*4.6 Meets reporting deadlines as required by statute, regulatory agency, local policy or board action.

The superintendent's performance for this standard:

0 UNACCEPTABLE

1 NEEDS IMPROVEMENT

2 GOOD

3 EXCELLENT

4 OUTSTANDING

Comments:

*Recommended by Educational support groups.

Standard 5: CURRICULUM PLANNING DEVELOPMENT

> This standard addresses the superintendent's skills in staying up-to-date in curriculum, teaching, learning and testing theories. It requires the superintendent to make sound recommendations for learning technologies.

Performance Indicators:

(Do not rate individual indicators. These are listed only to help you in thinking about the standard.)

5.1 Develops core curriculum design and delivery system based on content and assessment standards and best practices.

5.2 Establishes curriculum planning to anticipate occupational trends and school-to-career needs.

5.3 Uses child development and learning theories and the process to create developmentally appropriate curriculum and instruction.

5.4 Includes the use of computers, the Internet, networking, distance learning and other technologies in educational programming.

5.5 Assesses student progress using a variety of appropriate techniques.

5.6 Involves faculty and stakeholders in enhancement and renewal of curriculum to ensure alignment of curriculum, instruction and assessment.

The superintendent's performance for this standard:

0   UNACCEPTABLE

1   NEEDS IMPROVEMENT

2   GOOD

3   EXCELLENT

4   OUTSTANDING

Comments:

Standard 6: INSTRUCTIONAL LEADERSHIP

Standard #5 addresses what is to be taught; this standard emphasizes *how* it should be taught. It emphasizes the skills required to ensure that the most effective teaching techniques are in place and that all instructional resources are used to maximize student achievement. This standard also requires applying research and best practices with respect to diversity sensitivities.

Performance Indicators:

(Do not rate individual indicators. These are listed only to help you think about the standard.)

6.1 Collaboratively develops, implements and monitors change process to improve student and adult learning.

6.2 Formulates plan to assess appropriate teaching methods, classroom management and strategies for all learners.

6.3 Analyzes available instructional resources including applications of technology and assigns them in cost effective and equitable manner to enhance student outcomes.

6.4 Establishes instructional strategies that include cultural diversity and differences in learning styles.

6.5 Applies effective methods of providing, monitoring, evaluating and reporting student achievement and uses good research and assessments to improve the learning process.

6.6 Encourages various staffing patterns, student grouping plans, class scheduling plans, school organizational structures, and facilities design processes to support various teaching strategies and desired student outcomes.

The superintendent's performance for this standard:

0   UNACCEPTABLE

1   NEEDS IMPROVEMENT

2   GOOD

3   EXCELLENT

4   OUTSTANDING

Comments:

Standard 7: *HUMAN RESOURCES MANAGEMENT*

This performance standard requires skills in developing and implementing a staff performance-evaluation system. It also requires skills in applying ethical, contractual and legal requirements for personnel selection, development, retention, promotion and dismissal.

Performance Indicators:

(Do not rate individual indicators. These are listed only to help you think about the standard.)

7.1 Demonstrates use of system and staff evaluation data for personnel policies, decision-making, promotion of career growth and professional development.

7.2 Identifies and applies appropriate policies, criteria, and processes for the recruitment, selection, induction, compensation and separation of personnel with attention to issues of equity and diversity.

*7.3 Mentors and coaches administrators throughout the district.

The superintendent's performance for this standard:

0   UNACCEPTABLE

1   NEEDS IMPROVEMENT

2   GOOD

3   EXCELLENT

4   OUTSTANDING

Comments:

Recommended by Educational support groups.

Standard 8: *VALUES AND ETHICS OF LEADERSHIP*

This standard requires the understanding and modeling of appropriate value systems, ethics and moral leadership. It also requires superintendents to exhibit multicultural and ethnic understanding and to coordinate with social agencies and human services to help students grow and develop as caring, informed citizens.

Performance Indicators:

(Do not rate individual indicators. These are listed only to help you think about the standard.)

*8.1 Models and demonstrates multicultural and ethnic practices and is responsive to needs of diverse populations.

8.2 Describes role of schooling in a democratic society.

8.3 Manifests a professional code of ethics and demonstrates personal integrity.

8.4 Models accepted moral and ethical standards in all interactions.

8.5 Explores and develops ways to find common ground in dealing with difficult and divisive issues.

8.6 Promotes the establishment of moral and ethical practices in every classroom, every school, and throughout the district.

The superintendent's performance for this standard:

      0 UNACCEPTABLE

      1 NEEDS IMPROVEMENT

      2 GOOD

      3 EXCELLENT

      4 OUTSTANDING

Comments:

Recommended by Educational support groups.

Standard 9 – STUDENT ACHIEVEMENT & LEARNING

This standard recognizes that improving student achievement is a critical component of the superintendent position. It requires that the superintendent take responsibility for district oversight of student learning.

9.1 Facilitates the development, articulation, implementation, and stewardship of learning.

9.2 Advocates, nurtures and sustains school culture and instructional programming conducive to student learning.

9.2 Ensures management of the organization, operations, and resources for a safe, efficient, and effective learning environment.

9.4 Collects and analyzes assessment data and maintains up-to-date records of student progress, using technologies as appropriate.

9.5 Understands data analysis, how it applies to school and district student achievement goals and demonstrates how to use this data to prioritize decisions and drive change that will improve student learning.

9.6 Understands and demonstrates how to use assessment data to determine and address curricular gaps.

9.7 Demonstrates the need to identify and remove barriers to student learning

9.8 Secures and utilizes a variety of appropriate school and community resources to support learning.

9.9 Understands and demonstrates that school improvement goals are connected to student learning goals.

9.10 Understands and demonstrates that professional development needs to be aligned to the analysis of test data.

9.11 Communicates student achievement expectations to staff and stakeholders.

9.12 Assesses and analyzes the effectiveness of instruction and makes appropriate changes or recommendations to instruction based upon feedback, reflection, and assessment results.

9.13 Assesses programs and curricula; proposes appropriate recommendations and needed adjustments.

The superintendent's performance for this standard:

0	UNACCEPTABLE
1	NEEDS IMPROVEMENT
2	GOOD
3	EXCELLENT
4	OUTSTANDING

Comments:

*Recommended by Educational support groups

Part 2: Goals

Part of the superintendent's job is to guide the school district toward successful completion of district goals as developed by the board and superintendent and to report progress toward goal attainment on a regular, prescribed periodic basis. Goals may also be developed as part of the superintendent's personal growth plan.

Instructions

1. Attached are forms to be completed by each board member rating the superintendent's performance in meeting the goals agreed to by the superintendent and the board at the beginning of the year. Each goal statement needs to be inserted into a separate form before the forms are distributed.
2. Each board member should rate the performance level for each goal.
3. Comments supporting the rating will be helpful during the board discussion for preparation of a summary evaluation form.
4. Board members should bring their forms to the executive session to use as their notes for discussion.
5. The board will meet in executive session to discuss the results and prepare a summary evaluation form representing the consensus of the board.
6. Because it is important that the board speak with one voice in evaluating the superintendent, the final summary report from the full board will be presented to the superintendent. Additionally the evaluations by individual board members may be presented to the superintendent.

Goal Statement :

The superintendent's performance rating:
(circle one rating only for each goal)

        0   UNACCEPTABLE

        1   NEEDS IMPROVEMENT

        2   GOOD

        3   EXCELLENT

        4   OUTSTANDING

Comments:

Sample Summary of Superintendent's Annual Evaluation by the _____ School Board

The board of education of the school district has completed the annual evaluation of Superintendent Sample for 200_. The past year has been a positive one (or a challenging one) for education in our school district. All five school board members have served on the board for at least one full year and have been able to observe and be a part of the successes achieved this year.

The evaluation focused on: 1) eight professional standards 2) the goals for the district agreed on by the board and superintendent last year and 3) personal goals developed from the superintendent's growth plan.

In the areas of the eight professional standards, we have determined that Superintendent Sample's performance was excellent in the areas of leadership and district culture, communications and community relations, and organizational management. In the areas of policy governance, curriculum planning and development and labor relations the board felt his performance was outstanding. Instructional leadership, human resources management and values and ethics of leadership all received a rating of good.

The board determined that Superintendent Sample has done an outstanding job of attaining the goal set by the board and superintendent in August of last year to update and align the elementary language arts and reading curriculum. His success at achieving the goal of improving staff morale and retaining professional staff was rated good. The achievement of success in meeting the third goal, to raise high school math competency and performance on tests, was also rated good.

We will be working with Superintendent Sample over the next several weeks to develop goals for our district and look forward to working together to make our school district successful.

Goal-Setting Worksheet

Goal Statement:

Action Steps	Timeline	Estimated Resources	Who is responsible?
1.			
2.			
3			
4.			
5.			

Evaluation Plan: Communication Plan: