



2016

The Council's Superintendent Model Evaluation



7 Elk Street, 3rd Floor
Albany, NY 12207
www.nyscoss.org



Introduction

The Council's Model Superintendent Evaluation helps boards and superintendents to develop thoughtful, constructive evaluations that advance district goals and keep the leadership team healthy.

The board's evaluation of the superintendent is one of its most important functions. It's also mandated by law (8 NYCRR 100.2(o)(2) requires an evaluation on an annual basis). The evaluation is the instrument through which the board provides feedback to the superintendent, how (s)he is performing, whether its goals for the district are being achieved and what needs to be done if they are not. Past evaluations are something the superintendent may rely on both internally and externally as evidence of excellent performance should board goals or compositions change dramatically.

This model evaluation format has been designed to reflect the current practice in education to use a rubric style evaluation to determine levels of performance for the superintendent. Each section contains particular indicators with specific criteria to rate the performance level. The levels are scored on a scale of **highly effective, effective, developing, and ineffective**.

A strong evaluation process will:

- Enhance the performance of the superintendent
- Focus the district on goals and priorities
- Lead to transparent measures of performance and reasonable targets to meet
- Clarify areas where the board-superintendent relationship can be improved

Implementation

The Council's Model Superintendent Evaluation aims to serve as a basis to focus conversations with boards of education to perform their evaluation role effectively and in a way that can be directly linked to district goals and student performance.

The Model was built on a common set of leadership expectations that typically appear in superintendent evaluations and ties them to the professional standards and indicators. The evaluation is also a tool for the superintendent to create and maintain a solid leadership team with the board members. A well designed evaluation process is an important factor in building and sustaining a board-superintendent relationship. The evaluation process gives the board governance team and the superintendent an opportunity to reach detailed agreement on the leadership targets for the upcoming year.

The superintendent's goals should always be - as they are here - a major focus of the annual performance evaluation. The goals should be mutually agreed upon by the superintendent and the board of education and should be realistic for the superintendent and the staff to achieve. The Council suggests three to a maximum of five goals.

Evaluation Process

Important Considerations:

- Year long process
- Process is negotiated up front
- Self-reflection is critical
- Power is in the conversation
- Must be evidence based

Process Models

The board and superintendent will need to determine if the evaluation review is with the full board or between the board president and the superintendent. Conversation with Board could be facilitated by an outside facilitator so Board of Education (BOE) members can talk with each other, ask about evidence and probe each other's thinking. The specifics of the process and the evaluation document tool to be used need to be locally negotiated between the superintendent and school board.

Board Member Commitments

- Participate in the agreed upon process with honesty and integrity.
- Each board member should rate all performance indicators and goals based on evidence.
- Evidence should be aligned to the performance standards, the individual indicators, and the goals.
- Identify the Superintendent's strengths and areas for improvement and make recommendation for improving performance.
- Participate in the evaluation discussion, agree to goals for next year.

Superintendent Commitments

- Understand, agree to and participate in the articulated process.
- Gather data, documents and evidence to support performance in relation to the standards and progress toward achieving goals.
- Finalize goals and end-of-year evaluation with the Board.

See Appendix A for Sample Evaluation Models

“FOIL”ability

There are three basic parts to a superintendent’s evaluation:

1. A description of the job duties, or goals to be achieved by the superintendent,
2. A subjective analysis, or opinion as to how well the superintendent met the standards and goals, and
3. A final rating of **highly effective, effective, developing, and ineffective**

Each section of the evaluation is subject to different levels of disclosure under the Freedom of Information Law (FOIL).

Section	FOIL-able?	Rationale
1. A description of the job duties, or goals to be achieved by the superintendent	YES	Disclosure of goals has been deemed to be a permissible rather than an unwarranted invasion of a superintendent’s personal privacy, because goals are relevant to the performance of the official duties which relate to the position of the superintendent, and not to the individual.
2. A subjective analysis, or opinion as to how well the superintendent has met the standards and goals	NO	The second component, which involves a reviewer’s subjective opinion can be withheld, as an unwarranted invasion of personal privacy, and on the grounds that a subjective comment constitutes an opinion concerning performance.
3. A final rating of highly effective, effective, developing, ineffective	YES	The final summative rating of the superintendent can also be disclosed because it constitutes a final agency determination which makes the final rating available pursuant to a FOIL request. Remember, if a superintendent’s salary increase, or merit pay is based on performance, the evaluation is subject to FOIL.

Therefore, individual scores from individual board members are not “final agency determinations” and are therefore not subject to FOIL. By contrast, any summative number or summative comments approved by the entire board would constitute a final agency determination, they are subject to FOIL.

A. Relationship with the Board

	Ineffective	Developing	Effective	Highly Effective	Rating
Information	Does not provide the information the board needs to perform its responsibilities.	Keeps only some members informed, making it difficult for the board to perform its responsibilities.	Keeps the board informed with appropriate information as needed so it may perform its responsibilities.	Keeps all board members informed with appropriate, regular communication so it may perform its responsibilities.	
Materials and background	Meeting materials aren't available. Members arrive at meetings without any prior information regarding agenda.	Meeting materials are incomplete, and don't include supporting information.	Materials are provided. Some supporting information is included.	Meeting materials are provided with supporting information in order to make informed decisions.	
Board questions	Board questions are rarely answered.	Board questions are answered, but not all members are apprised of relevant questions/answers.	Board questions are addressed with occasional follow-up to members.	Board questions are answered thoroughly with communication to all members to ensure understanding.	
Policy involvement	Makes decisions without regard to adopted policy.	Is minimally involved in the development, recommendation and administration of district policies.	Is actively involved in the development, recommendation and administration of district policies.	Is proactive in the determination of district needs and policy priorities.	
Board development	Doesn't promote board development.	When asked, provides members with information about board development.	Provides members with information regarding board development opportunities when they arise.	Actively and continuously encourages board development by seeking and communicating opportunities.	
Category Rating					

B. Community Relations

	Ineffective	Developing	Effective	Highly Effective	Rating
District image	Is negative about the district.	Doesn't actively promote the district.	Projects a positive image of the district <i>as expected</i> .	Projects and promotes a positive image of the district.	
Communication with community	Isn't readily available.	Provides appropriate information only when asked.	Actively seeks two-way communication with the community as appropriate.	Actively seeks communication, as appropriate, and works to provide alternative means of contact with the community.	
Media relations	Communicates with the media only when requested.	Isn't proactive, but is cooperative with the media.	Promotes the district in the media.	Initiates and actively engages the media.	
Approachability	Is neither visible nor approachable by members of the community.	Is visible, at a distance.	Is visible and approachable by members of the community.	Is visible and approachable by members of the community. Attends a variety of events.	
Category Rating					

C. Staff Relationships

	Ineffective	Developing	Effective	Highly Effective	Rating
Internal communications	Doesn't have a specific system to inform staff of important matters.	Is inconsistent in keeping staff informed of important matters.	Keeps staff informed of most important matters.	Establishes a system of keeping staff continually informed of important matters.	
Personnel matters	There is no system to handle personnel matters in a consistent manner. Some situations may be handled with bias.	A system has been established, but it is not applied consistently.	A system is used to address personnel matters with consistency, fairness, discretion and impartiality.	Establishes a system that is proactive with personnel matters. Personnel policies are routinely discussed and promoted.	
Delegation of duties	Doesn't delegate duties. Maintains personal control over all district operations.	Delegates duties to staff, but retains final decision-making authority.	Delegates responsibility to staff within their abilities and then provides support to ensure their success.	Delegates responsibility to staff that will foster professional growth, leadership and decision-making skills.	
Recruitment	There is no formal recruitment process and/or hires are considered in an arbitrary manner.	A formal recruitment process is in place, but is not used consistently.	Follows a formal recruitment process for each hiring opportunity.	Follows a formal recruitment process for each hiring opportunity. Actively recruits the best staff available and encourages their application to the district.	
Visibility	Seldom visits buildings.	Is present at building programs and special activities.	Visits buildings/classroom as time permits.	Regular visits to buildings and classrooms are a priority item.	
Category Rating					

D. Business and Finance

	Ineffective	Developing	Effective	Highly Effective	Rating
Budget development and maintenance	Superintendent's budget knowledge is limited. The budget is developed and managed without taking into consideration current needs of the district.	Superintendent works to develop and manage the budget to meet the immediate fiscal issues. Decisions are primarily reactive to current needs of the district.	Budget actions are proactive and consider the most current information and data. A balance is sought to meet the needs of students and remain fiscally responsible to the community.	Budget actions are proactive and consider both current and long-range information and data. A balance is sought to meet the current and future needs of students and remain fiscally responsible to the community.	
Budget reports	Doesn't report financial information to the board except with the annual audit.	Reports the status of financial accounts as requested by the board.	Regularly reports to the board concerning the budget and financial status.	Constant flow of budgetary/ financial information provided with discussion of the ramifications of any changes.	
Facility management	A facilities management plan is not created. Maintenance is only performed when absolutely needed.	Facilities needs are discussed internally, but a plan is not created. Issues are addressed on an as-needed basis.	A facilities management plan is in place that includes the current status of the buildings and the need to improve any facilities in the future.	Facilities management plan in place, includes current status of buildings and the need to improve facilities in the future, with a projected plan to secure funding.	
Resource allocation	Resources are allocated without consideration of district needs.	Resources are allocated to meet immediate needs.	Resources are distributed based upon district goals and seek to meet immediate objectives.	Resources are distributed based upon district goals and seek to meet immediate and long-range objectives.	
Category Rating					

E. Instructional Leadership

	Ineffective	Developing	Effective	Highly Effective	Rating
Professional knowledge	Is unaware of current instructional programs.	Is somewhat knowledgeable of current instructional programs. Relies on others for info./data.	Demonstrates knowledge of current instructional programs, and is able to discuss them.	Demonstrates knowledge and comfort with current instructional programs. Seeks to communicate with others how the district is implementing best practices.	
Self-improvement	Does not participate in professional development opportunities.	Passively participates in some professional development opportunities.	Seeks to learn and improve upon personal and professional abilities. Attends professional conferences when appropriate.	Eagerly seeks to learn and improve upon personal and professional abilities. Is able to apply this new learning for the benefit of the district. Participates actively in professional groups and organizations.	
Focus on students	Focus is on the management of the district and maintaining day-to-day operations. Student achievement isn't the priority.	Student achievement is a concern, but does not always guide decisions made within the district.	Student achievement is important and guides decisions made within the district.	Places student achievement as the top priority and consistently communicates this to others. Bases decisions on improving student achievement. This priority is reflected in the budget.	
Goal development	Goals are not developed.	Goals are defined by implementing state curriculum and seeking to maximize student scores.	Facilitates the development of short-term goals for the district. Provides the necessary financial resources to meet those goals.	Believes in and facilitates the development of short/long term goals for the district. Aligns the available resources within the budget to accomplish these goals.	
Staff development	Staff development isn't provided. Staff members are responsible for their own improvement.	Staff development programs are offered based upon available opportunities.	Staff development programs are offered based upon available opportunities that are targeted toward increasing student achievement.	Staff development programs are targeted toward district-specific goals and are sustained to increase student achievement.	
Curriculum	Curriculum isn't a priority in the district.	Allows teachers to define their own curriculum. There is little or no coordination.	A curriculum is in place that seeks to meet the state standards.	There is an on-going review process to be sure the curriculum is aligned to the state standards and meets the needs of our students.	
Category Rating					

F. District Goals

The superintendent's work is grounded in the work of teachers, principals, administrators and other staff. Setting District goals that are then used to create a team plan for administrators, principals and teachers is critical to the success of the District.

Before linking District goals to a superintendent's evaluation, the superintendent and Board of Education will want to ensure the following SMART conditions are in place:

1. Establish clear specific annual targets at the building levels, to be sure that everyone is focused on the same goals. Strategic three-five year goals set the district's direction and provide measurable benchmarks for judging the district's staff's and administration's progress toward those goals.
2. Identify multiple measures that will allow the district and schools to measure progress in meeting the District's goals and targets.
3. Set achievable improvement targets as a way to measure progress toward the district's long term goals. Making the targets achievable will provide motivation and encourage continuous adaptation to student needs. A good starting point might be one student performance improvement target that cuts across the district and addresses a major improvement need for student outcomes, such as literacy.
4. Establish base lines for marking progress toward District goals. Baselines give the district and individual schools a clear, relevant and realistic starting point for measuring progress. They can point to critical improvement needs for the general student population and/or sub groups who need special attention.
5. Finally, start small and build. Building a performance review (evaluation) system that accounts for timely results each year will take time. There are many facets of performance review, and districts are wise to proceed with care and a commitment to grow into better ways to assess the work of teachers, administrators, and even the board.

By linking the superintendent's measures to those established for district goals, the Board of Education and superintendent stay focused on the district's priorities.

The following specific goals have been developed and agreed upon indicators of District results:

Goal 1 - Oversee the Administrative Team					
	Ineffective	Developing	Effective	Highly Effective	Rating
	Shows no progress toward meeting the goal	Shows progress but did not meet the goal	Meets the established goal	Exceeds the established goal	

Goal 2 - Executive Function of the Organization					
	Ineffective	Developing	Effective	Highly Effective	Rating
	Shows no progress toward meeting the goal	Shows progress but did not meet the goal	Meets the established goal	Exceeds the established goal	

Goal 3 - Manage Resources					
	Ineffective	Developing	Effective	Highly Effective	Rating
	Shows no progress toward meeting the goal	Shows progress but did not meet the goal	Meets the established goal	Exceeds the established goal	

Goal 4 - Oversee Obligations of the District					
	Ineffective	Developing	Effective	Highly Effective	Rating
	Shows no progress toward meeting the goal	Shows progress but did not meet the goal	Meets the established goal	Exceeds the established goal	
Category Rating					

Goal 5 - Spokesperson for the District					
	Ineffective	Developing	Effective	Highly Effective	Rating
	Shows no progress toward meeting the goal	Shows progress but did not meet the goal	Meets the established goal	Exceeds the established goal	

Category Rating	
-----------------	--

Goal 6 - Communicate to the Board of Education					
	Ineffective	Developing	Effective	Highly Effective	Rating
	Shows no progress toward meeting the goal	Shows progress but did not meet the goal	Meets the established goal	Exceeds the established goal	
Category Rating					

Determining the Overall Evaluation Rating

Superintendent's name:	Stephen Parker Zielinski
------------------------	--------------------------

School year:	2017 - 2018
--------------	-------------

RATINGS ON INDIVIDUAL DOMAINS:

A. Relationship with Board	Ineffective	Developing	Effective	Highly Effective
B. Community Relations	Ineffective	Developing	Effective	Highly Effective
C. Staff Relationships	Ineffective	Developing	Effective	Highly Effective
D. Business & Finance	Ineffective	Developing	Effective	Highly Effective
E. Instructional Leadership	Ineffective	Developing	Effective	Highly Effective
F. District Results	Ineffective	Developing	Effective	Highly Effective

OVERALL RATING:	Ineffective	Developing	Effective	Highly Effective
------------------------	-------------	------------	-----------	------------------

Comments by Board of Education:

Comments by the Superintendent:

Superintendent's Signature: _____

Date: _____

Board President's Signature: _____

Date: _____

(The administrator's signature indicates that he or she has seen and discussed the evaluation; it does not necessarily denote agreement with the evaluation.)

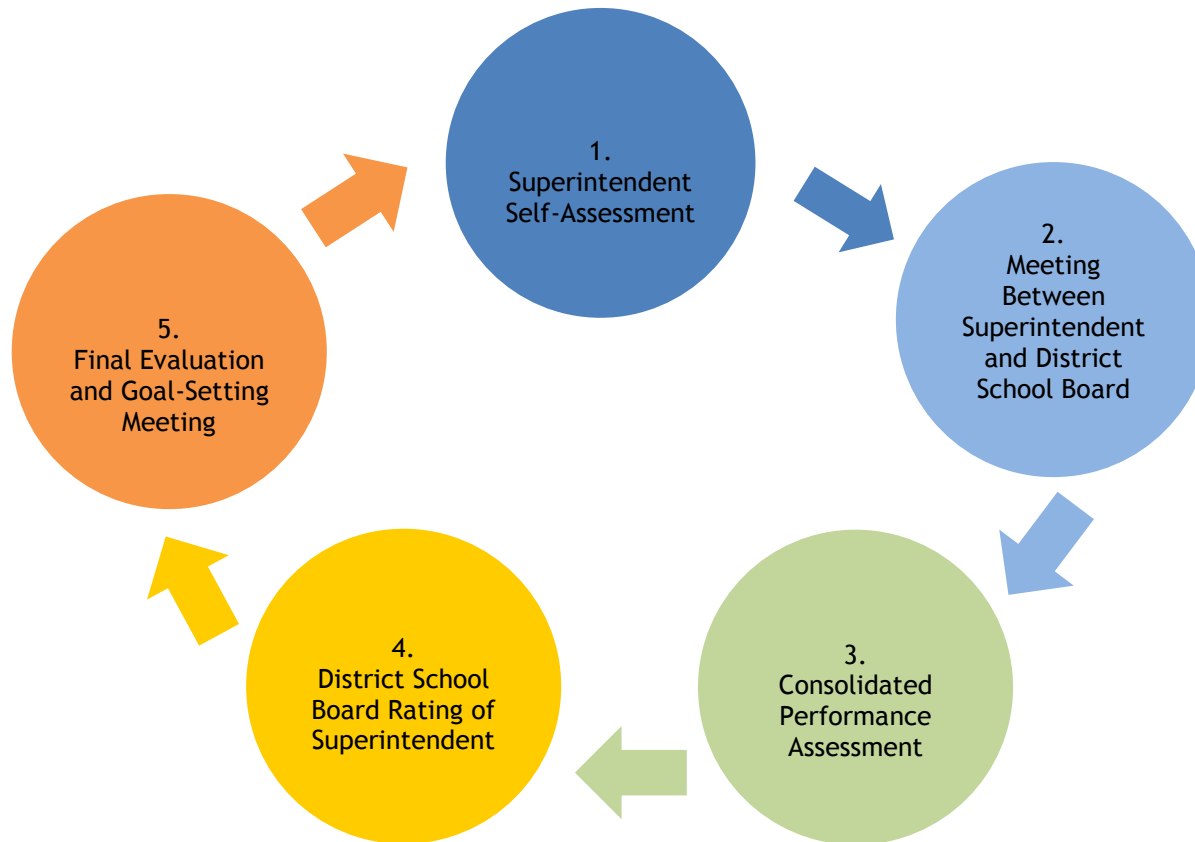
Appendix A

Possible options for Superintendent Evaluation

Possible Option #1:

- Each board member completes an individual evaluation of the superintendent, the forms should be returned to the board president (or designated board member) to synthesize the results and present the evaluation to the superintendent.
- Each board member's rating sheets will be made available to the superintendent for review.
- The final summative evaluation should reflect the Board's assessment as a whole.

Possible Option #2: (North Carolina - "Cyclical Process")



Possible Option #3: (Based on Missouri's Superintendent Evaluation)

**Suggested Timeline for the Superintendent Evaluation
Superintendent Emphasis**

In establishing a schedule for evaluating the Superintendent's performance, the School Board should first take into account the dates by which certain decisions need to be made. School boards should conduct the Superintendent evaluation annually. Conducting an annual evaluation means the identification, measurement, and documentation of performance standards needs to be continuous and ongoing. A sample schedule is provided below with emphasis on the role of the superintendent.

MONTH	RESPONSIBLE PARTY	ACTION
June	Returning Superintendent	Self-identify and submit for review plans to pursue school improvement plan and Superintendent PDP.
July	New Superintendent	Begin intensive review of district school improvement plan and personal goals.
August	New Superintendent	Self-identify and submit for review plans to pursue school improvement plan and personal goals.
Oct/Nov	Returning & New Superintendent School Board	Review is made of school improvement plan goals and the Superintendent's professional development goals. Superintendents should address objectives that are complete, delayed or incomplete. School Board should meet with Superintendent to discuss progress.
Jan/Feb	School Board	School Board should complete the summative evaluation and make their employment recommendation(s) for the Superintendent.

Possible Option #4:

Superintendent Evaluation Process

July/August

Board and superintendent review evaluation process, performance, and standards.

Board and superintendent agree upon goals

September-December

Superintendent provides regular updates to the Board regarding progress toward goals

January

Superintendent and Board hold a retreat to review goal progress.

Superintendent will provide evidence related to the goals (portfolio)

February/March

Superintendent does a self-assessment

May/June

BOE meet to review goals/evidence

Review self-assessment of superintendent

BOE president writes evaluation

Reflect on the year

Set date for August retreat

Appendix B

Sample Performance goals:

- A facilities consolidation study will be conducted by the Superintendent. Findings of the study will be reported to the BOE no later than...
- Given the critical attribute of leadership visibility for the Superintendent, the Superintendent will schedule a greater number of regular building visits, classroom learning walks and meeting with building principals for the ___school year.
- XX% of students will meet or exceed their building's annual performance target.
- XX% of teachers will meet their annual performance target.
- XX% of students will demonstrate improvement, this year, in literacy based on local measures.
- The number of students who will pass the local college entrance test will increase by X% this year.
- All schools will show improvement in the number of teachers whose students meet or exceed their annual targets.
- The number of volunteer hours in our school will increase by X% this year.
- The Superintendent will create and implement a communication plan that will integrate multiple forms of media.
- Increase the quality of your digital presence.
- The Superintendent will evaluate the building and grounds to assess needed repairs and maintenance in order to complete a building condition survey by [date].
- A comprehensive evaluation of [i.e. special education] and will provide a report to the Board of Education which includes findings and recommendations by [date].

The Council would like to thank the committee members who put in a significant amount of time and effort to produce this Model Superintendent's Evaluation:

Jacinda H. Conboy
New York State Council of School Superintendents

Sharon L. Contreras
Syracuse City SD

Chad C. Groff
Canaseraga CSD

Robert J. Reidy
New York State Council of School Superintendents

Maria C. Rice
New Paltz CSD

Dawn A. Santiago-Marullo
Victor CSD

Randall W. Squier
Coxsackie-Athens CSD

Kathryn Wegman
Marion CSD

