

A recommended process jointly developed and adopted by CAFE and CAPSS.

Administration

Evaluation of the Superintendent

Preface

The Connecticut Association of Boards of Education (CABE) and the Connecticut Association of Public School Superintendents (CAPSS) recognize the critical importance of a strong partnership between every Board of Education and its Superintendent of Schools. This recommended evaluation process collaboratively developed by CABE and CAPSS is an attempt to properly communicate our strong belief that the Board of Education and Superintendent must view themselves and function as the school district's Leadership Team. To that end, we strongly believe that the Leadership Team must share and enthusiastically advocate the same goals and a vision of learning that sets high performance expectations for the entire school community. It is important to note that the foundational components of the recommended evaluation process are the CABE/CAPSS School Governance Position Statement adopted in March 2004 and the CABE Superintendent Evaluation instrument. The Board of Education Chairperson, working with the Superintendent and the rest of the Board of Education, is responsible for carrying out the evaluation of the Leadership Team.

While the Board of Education and Superintendent have different roles and responsibilities, their work must complement each other. Ultimately, all serve to advance the goals and objectives of their community for public education and, most importantly, student learning. As the Board of Education's Chief Executive Officer, Connecticut Education Law (C.G.S. 10-157(a)) requires the Superintendent of Schools' job performance be evaluated annually. Whether written or oral, the annual evaluation of the school district's Chief Executive Officer is one of the most important responsibilities of every Board of Education. CABE and CAPSS have recommended an evaluation process for the Superintendent of Schools that is collaborative, goal oriented and offers numerous opportunities for focused and targeted feedback from the Board of Education to the Superintendent of Schools regarding his/her job performance. We firmly believe that this collaborative and candid approach to evaluation will improve Board of Education and Superintendent communications and relationships, minimize evaluation surprises and most importantly, enhance the overall success of the school district.

While student achievement in academic areas as measured by test scores is important, other areas of student achievement are equally important. All of the leadership performance areas and specific areas of responsibility outlined in this document should be considered. Moreover, for purposes of the superintendent's performance evaluation, indicators related to student academic achievement are necessary, but not sufficient to make final determinations about the Superintendent's job performance.

Administration

Evaluation of the Superintendent (continued)

To increase the effectiveness of the school district's leadership team and the overall performance of the Board of Education and its individual members, CABA and CAPSS believe that it is vitally important that every Board of Education conducts a self-assessment each school year. An annual self-assessment enables the Board of Education to thoughtfully and constructively evaluate its performance as the community's legislative body that develops, evaluates and oversees education policy. CABA and CAPSS strongly recommend Board of Education self-assessment as a necessary and worthwhile activity toward advancing the vision and goals of the school district.

The following is a recommended process and timeline for the annual evaluation of the Superintendent of Schools. It is important to note that the recommended timeline is based upon a traditional evaluation year model (July-June) and can be easily modified in those school districts that employ a non-traditional evaluation year approach. The recommended Leadership Team meetings can and should be conducted in Executive Session because they pertain to Board of Education Self-Evaluation and Personnel.

Legal Considerations: Executive Session and Freedom of Information Act (FOIA)

The Connecticut Freedom of Information law allows for the discussion in executive session of "personnel matters," which includes "the appointment, employment, performance, evaluation, health or dismissal of a public official or employee, provided that such individual may require that discussion be held at an open meeting" (Connecticut General Statute Section 1-200(6)). Under this provision the superintendent's evaluation, as well as the performance of one or more Board of Education members, are appropriate topics for executive session. District goals, procedures, policies and data are NOT appropriate subjects for executive session under the FOI law. All votes must be taken in public – only discussion can occur in executive session.

Note: Based on court decisions in Connecticut, written evaluation documents are likely to be deemed public records subject to disclosure. Such written evaluation documents subject to public disclosure would include any draft evaluation that is circulated among Board of Education members.

Sample motion: "I move that the Board of Education go into executive session for discussion of a personnel matter – the evaluation of the Superintendent."

Administration

Evaluation of the Superintendent (continued)

Beginning of New Evaluation Year Meeting – July/September

Topic 1: The district Leadership Team (Board of Education and Superintendent) meets to discuss goals and objectives. Any discussion of district goals must be held in public. This structured conversation is intended to serve as a goal/priority setting session for the district's Leadership Team for the upcoming school year.

Topic 2: This Executive Session also provides the Board of Education with an opportunity to candidly discuss with the Superintendent his/her performance evaluation, e.g., personal and professional goals and opportunities, Superintendent's evaluation criteria and evaluation process, and other relevant topics.

Mid Year Evaluation Meeting – November / December

Topic 1: It is recommended that the Leadership Team meets again in Executive Session to informally discuss their progress on goals and objectives established in July/August. This session also provides the Leadership Team with an opportunity to identify and strategize about new and/or unexpected challenges not previously identified in the prior Leadership Team goal setting meeting. This level of team collaboration allows all parties to be contributing members of a fluid, responsive and strategic team.

Topic 2: During this same discussion, it is recommended that the Board of Education provide targeted informal feedback to the Superintendent about his/her effectiveness vis-à-vis the previously established goals and objectives. The purpose of this informal feedback session is to assess the Superintendent's midyear performance and provide him/her with an opportunity to properly respond to any Board of Education concerns and avoid unnecessary performance evaluation "surprises" at year's end. Ideally, these informal discussions take place regularly throughout the school year.

End of the Year Evaluation Meeting – April/May

Topic 1: The Superintendent and Board of Education should convene in Executive Session to participate in an assessment activity which focuses upon the performance of the individual members of the Leadership Team, including whether and how goals and priority objectives have been successfully accomplished and/or addressed. Included in this discussion should be any mitigating circumstances / unexpected challenges that have arisen since the Mid Year Evaluation Meeting that may have compromised the accomplishment of goals and objectives and thus affected the performance of the members of the Leadership Team.

Administration

Evaluation of the Superintendent (continued)

End of the Year Evaluation Meeting – April/May (continued)

Topic 2: This recommended meeting should also serve as an opportunity for the Superintendent to share a confidential “Year in Review” self assessment with the Board of Education. This self assessment may be supplemented by submitting documentation as a formal narrative, portfolio or some other mutually agreed upon format that was established during the Beginning of the Year Meeting, with the understanding that any such written documentation would not be confidential. This document serves as evidentiary documentation regarding the Superintendent’s job performance and should aid the Board of Education in completing a comprehensive and fair evaluation of the Superintendent.

Board of Education Evaluation of the Superintendent – May/June

The Board of Education conducts the evaluation of the Superintendent of Schools according to Board of Education Policy in Executive Session unless the Superintendent exercises his/her statutory right to require that such discussion be held in open session. It is recommended that there be no prior sharing of written performance evaluation commentary (hard copy or electronic) among Board of Education members prior to the Executive Session. The result of the Board of Education’s Executive Session discussion regarding the Superintendent’s performance should be a draft performance evaluation of the Superintendent of Schools.

Meeting with the Superintendent Regarding Draft Evaluation – June

A meeting in Executive Session should be scheduled by the Board of Education between the Superintendent and the Board of Education, according to Board of Education Policy. The purpose of this follow-up meeting is to share and discuss the Board of Education’s draft evaluation with the Superintendent. This session serves as a final opportunity for candid discussion between the Board of Education and the Superintendent prior to the completion of the formal performance evaluation.

Formal Evaluation of the Superintendent – June

The formal performance evaluation is completed and presented to the Superintendent of Schools by a representative(s) of the Board of Education according to Board of Education Policy. It is important to note that the Board of Education’s performance evaluation of the Superintendent of Schools is a public document and subject to FOIA. A copy of the Superintendent’s performance evaluation must also be placed in the Superintendent’s official personnel file.

Regulation approved:

Recommended Evaluation Process and Timeline Flowchart

<p style="text-align: center;">Beginning of New Evaluation Year Meeting July / September (Meeting to be conducted in executive session)</p> <p>Topic 1: Leadership Team Goal / Priority Setting. Topic 2: Superintendent’s Professional Goals and Objectives.</p>
<p style="text-align: center;">Mid-Year Evaluation Meeting November / December (Meeting to be conducted in executive session)</p> <p>Topic 1: Informal Leadership Team discussion regarding progress on goals and objectives. Topic 2: Targeted informal feedback provided to Superintendent regarding his/her performance.</p>
<p style="text-align: center;">End of Year Evaluation Meeting April / May (Meeting to be conducted in executive session)</p> <p>Topic 1: Self-Assessment of individual members of the Leadership Team including discussion about goal attainment and handling of unanticipated challenges. Topic 2: Superintendent presents “year in review” self-assessment to Board of Education regarding his/her performance.</p>
<p style="text-align: center;">Board of Education Evaluation of the Superintendent May / June (Meeting to be conducted in executive session)</p> <p>Board of Education evaluates the Superintendent’s job performance. A draft evaluation is developed during this meeting in districts where a written evaluation of the Superintendent is provided.</p>
<p style="text-align: center;">Meeting with Superintendent Regarding Draft Evaluation June (Meeting to be conducted in executive session)</p> <p>Meeting between the Board of Education as per Board of Education policy and the Superintendent to share and discuss the draft evaluation.</p>
<p style="text-align: center;">Formal Evaluation of the Superintendent June</p> <p>Formal evaluation is completed and presented to the Superintendent of Schools by a representative(s) of the Board of Education as per policy. <i>Note: Superintendent’s Evaluation is a public document subject to FOIA.</i></p>

Superintendent's Leadership Performance Areas and Specific Areas of Responsibility

I. Educational Leadership

Definition: Educational leadership is grounded in relationships: working with the Board of Education, community and staff to define a comprehensive vision for the schools; identifying the values and ethics under which the schools function; creating a culture and climate that nurtures and capitalizes on talents and skills; setting high performance expectations for students and staff; and continuing to sustain and improve quality research-based programs to enhance teaching and learning.

Areas of Responsibility:

- Serves as the Board of Education's educational leader and chief executive.
- Works with the Board of Education, staff and community to facilitate the development and implementation of a vision of learning that sets high performance expectations for all students and staff.
- Promotes a positive school culture by providing an effective instructional program and designing comprehensive professional development plans for staff; belongs to, actively supports and participates in professional organizations (e.g., CAPSS, AASA, CABE, NSBA) and encourages his/her Board of Education to do so.
- Uses best practices (research-based knowledge) related to learning, teaching, student development, organizational development and data management to optimize learning for all students.

II. Organizational Management

Definition: Organizational management concerns the effective facilitation of the day-to-day operations of the school district and its programs and pertains to the following: planning and organizing; hiring, evaluating and supervising staff; implementing policy; preparing and overseeing the budget; ensuring the health and safety of students and staff; and regularly reporting to the Board of Education.

Areas of Responsibility:

- Oversees the organization and management of the district's day-to-day operations.
- Prepares, advocates for and implements an annual budget that addresses district goals and meets the needs of all students; reports regularly to the Board of Education on the status of the budget and any other fiscal concerns or issues.
- Consistent with Board of Education policy, recruits, hires and retains personnel for the school district who show potential to best meet the needs of all students. Provides a system of support, supervision and consistent evaluation to ensure that certified and classified staff that remain are effective.

- Implements policies adopted by the Board of Education and recommends changes, if appropriate; develops, implements and informs the Board of Education of administrative procedures necessary to implement Board of Education policy.

III. Community and Board of Education Relations

Definition: Community and Board of Education relations are critical to the success of the Superintendent and the school system. The Superintendent works with the Board of Education and the community to: establish a vision, goals and objectives for the district; communicate regularly and clearly with the community; provide data and information to the Board of Education to assist with the evaluation of the district operations and programs; and represent the district to the community. The Superintendent, in cooperation and consultation with the Board of Education, is responsible for maintaining positive working relationships with local, regional and state organizations and agencies.

Areas of Responsibility:

- Provides professional advice and keeps the Board of Education informed and updated on educational issues and needs and operations of the school system by providing appropriate recommendations and supporting data.
- Responds to communications from staff and community, as appropriate, and ensures the adherence and appropriate response through the chain of command and keeps Board of Education members informed about significant operational issues in a timely manner.
- Serves as a key member of the leadership team and works effectively with local, state and federal levels of government.
- Works in a professional manner with the Board of Education, community members and the media.

IV. Personal and Professional Qualities and Relationships

Definition: Personal and professional qualities and relationships are critical to the effectiveness of leaders and managers. Superintendents must continue to refine and develop their skills and contemporary knowledge; lead ethically and make decisions based on sound professional practice; interact in a manner that best represents the interests of the school district; and maintain a healthy balance between professional obligations and personal life.

Areas of Responsibility:

- Maintains high standards of ethics, honesty and integrity in all professional matters.
- Demonstrates the ability to interact effectively with individuals and groups both within and outside the school district to accomplish the goals of the district.
- Maintains poise and exhibits diplomacy in the full range of his/her professional activities.
- Is a strong advocate for public education and demonstrates the courage to support his/her convictions.

Recommended Success Strategies for Leadership Team Evaluation

Leadership Team Self-Assessment

- 1.) **Self-Assessment** – It is strongly recommended by CABE and CAPSS that the Leadership Team conduct a self-assessment during each school year. An annual self-assessment provides the Leadership Team with an opportunity to thoughtfully and constructively evaluate its performance. This annual assessment will enable the Leadership Team to privately celebrate its successes, candidly discuss growth opportunities and establish focused goals for continuous improvement as a team. As a member of the Leadership Team, it is highly recommended that the Superintendent of Schools be a participant in the discussion.
- 2.) **Facilitation of Self-Assessment** – Boards of Education may wish to contact CABE to access external facilitation services and/or utilize an external facilitator to guide the self-assessment discussion. In districts where an annual Board of Education self-assessment is standard operating procedure, an external facilitator may not be necessary.
- 3.) **Questions to Guide the Board of Education Self-Assessment Discussion** – Please refer to the CABE Leadership Team Self-Assessment Worksheet (Addendum 1) on page 9. This discussion should include the Superintendent of Schools and be conducted in executive session.

Superintendent's Performance Evaluation

- 1.) **Year In Review** – The Superintendent's Year in Review should serve as a summary of the body of work presented within the Superintendent's Performance Portfolio. It is recommended that the Year in Review document prepared by the Superintendent be organized according to the four leadership areas: Educational Leadership/Organizational Management/Community and BOE Relations/Personal and Professional Qualities and Relationships. This document should also include any mitigating circumstances that may have compromised goal attainment in any of the four leadership areas.

Superintendent's Performance Evaluation (continued)

- 2.) **Superintendent's Portfolio of Work** – The performance portfolio is designed to be a compilation of the work product aligned with the Superintendent's annual performance goals previously established by the Board of Education. It is recommended that the portfolio be organized according to the four identified leadership areas and contain evidentiary documentation associated with each of the agreed upon performance goals. The portfolio should be submitted in a well organized and tabbed binder, an expandable tabbed folder or some other format previously agreed upon by the Superintendent and Board of Education.

- 3.) **Questions to Guide the Superintendent's Performance Discussion** – Please refer to the Superintendent's Performance Evaluation Worksheets (Form #3).

Leadership Team Self-Assessment Worksheet



This assessment will be used to assist your board to better function as a team by generating discussion at its self-assessment meeting. Please answer each question as honestly as possible. Remember, you are trying to ascertain how well the board functions as a team. Keep that in mind as you respond to these questions.

District: _____

		Always	Often	Rarely	Never	Not Sure
1	The board adopts a district vision and/or mission for district improvement.					
2	The board adopts annual goals and priorities for district improvement.					
3	Improving student learning is the primary focus in our decision-making.					
4	We use data and reports to assess progress and identify areas needing improvement.					
5	The board uses the policy manual to define its vision and expectations of the school district.					
6	We conduct business only at properly called meetings.					
7	Our board has effective meetings					
8	Board members are prepared for meetings.					
9	The board conducts comprehensive orientation activities to familiarize new board members with their role on the team.					
10	The board ensures parents, businesses, and the public are informed on educational activities and encouraged to participate when appropriate.					
11	I attend board-related professional development workshops annually.					
12	We conduct district business in accordance with established ethical standards.					
13	Board members communicate with one another in a respectful manner.					
14	Board members are open and honest with each other.					
15	All members of the board maintain confidentiality regarding sensitive communications.					
16	All members honor board decisions even when the vote is not unanimous.					
17	The board does not let politics interfere with district business.					
18	Our board deals with conflicts openly and honestly.					
19	Information is shared equally with each member of the board/superintendent team.					
20	The superintendent exhibits confidence and trust in each member of the board.					
21	Each board member exhibits confidence and trust in the superintendent.					
22	The board demonstrates support and respect for the superintendent's role as the chief executive officer of the district.					
23	Our board clearly states its position on controversial matters to the superintendent.					
24	The superintendent's position on controversial matters is clearly stated to the board.					
25	Our board evaluates the superintendent performance based on clearly defined performance goals and expectations.					
26	Directions to the superintendent come from the board as whole; not individual board members.					

Leadership Team Consensus Summary

Please add any additional comments here (comments will be shared with participants):

Vision:

Board Operations:

Board Ethics:

Board/Superintendent Relations:

General Comments:

Superintendent's Performance Evaluation Worksheets

Note: These worksheets are intended to guide the Board of Education's discussion regarding the Superintendent's job performance. The meeting and discussion should be conducted in executive session.

I. Educational Leadership

Essential Question: Does the Superintendent of Schools consistently meet or exceed the mutually established performance goals in the area of Educational Leadership?

Supplemental Questions:

Does the Superintendent serve as the Board of Education's educational leader and chief executive?

Does the Superintendent work with the Board of Education, staff and community to facilitate the development and implementation of a vision of learning that sets high performance expectations for all students and staff?

Does the Superintendent promote a positive school culture by providing an effective instructional program and designing comprehensive professional development plans for staff; belong to, actively support and participate in professional organizations (e.g., CAPSS, AASA, CAFE, NSBA) and encourage his/her Board of Education to do so?

Does the Superintendent use best practices (research-based knowledge) related to learning, teaching, student development, organizational development and data management to optimize learning for all students?

Board of Education Consensus Summary:

References

American Association of School Administrators – Professional Standards for the Superintendency, 1993.

CABE / CAPSS School Governance Position Statement, March 2004.

National Policy Board for Educational Administrators - Standards for Advanced Programs in Educational Leadership, January 2002.

CABE Superintendent Evaluation, Long Version.

CABE Superintendent Evaluation, Short Version.

Johnson, Susan, *Leading to Change: The Challenge of the New Superintendency*, 1996.

Center for Research and Educational Accountability and Teacher Evaluation – A Portfolio for Evaluation of School Superintendents, May 1995.

Connecticut State Department of Education, *Connecticut Standards for School Leaders*, 1999.