

The following has been jointly approved by the CABE Board of Directors (3/30/16) and the CAPSS Board of Directors (4/1/16). It is a revision of the previous document. This was developed as a result of a joint effort of CABE and CAPSS with assistance provided by LEAD Connecticut and the Connecticut State Department of Education. It provides the basis for a regulation on this important issue of school governance and the board-superintendent relationship.

Administration

Board-Superintendent Relationship

School Governance Position Statement - Spring 2016

“The school leadership team – school board and superintendent – is critical to the success of public education. Great things can happen when the elected and executive leadership of a school system are in agreement about goals and expectations. That requires candor and collaboration, and a shared commitment to the mission of ensuring that all children have access to a great education.”

Thomas Gentzel, Executive Director, National School Board Association, and Daniel Domenech, Executive Director, American Association of School Administrators, 2014

Preface:

Connecticut's educational leaders recognize the power and potential to improve teaching, learning and student achievement in our public schools through cooperative, purposeful and professional working relationships between Superintendents and Boards of Education. The functions of our publicly elected Boards and hired Superintendents are subject to shifting demographic, cultural, and regulatory pressures. Meanwhile, in this continually evolving context, robust working relationships between school Boards and Superintendents, based on proven practices, consistently prove to be key drivers of high-achieving school districts.

This document is CABE and CAPSS view on the nature of and expectations for working relationships between Boards of Education and Superintendents. We intend it as a statewide reference for both groups to work toward strengthening strategic partnerships that empower student achievement. Our attempt is to capture best practices in this area, understanding that many of the issues addressed must be determined at the local level. We recognize that Superintendent/Board relationships vary, reflecting the diversity of our cities and towns.

We hope that this reference will continue to facilitate ongoing statewide discussions among and between Boards of Education and Superintendents for the districts that serve our students.

For success, the Board of Education and the Superintendent of Schools in any school district must share the same goals and vision for providing students with quality education. While Board and Superintendent roles are different, they should complement each other. For the greatest success, Board members and the Superintendent must work collaboratively as a governance team, with each clear on their roles and areas of responsibility, respecting the others' roles and responsibilities and collaborating effectively on shared responsibilities.

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Board-Superintendent Relationship

School Governance Position Statement - Spring 2016 (continued)

Our stance aligns with the AASA-NSBA foundational position: In general, “the Board is a legislative body that develops, evaluates and oversees education policies. The Superintendent is the professional educator chosen by the Board to implement policies and to provide professional leadership (and vision) for a district’s schools.”

School districts with high-quality governance teams and high student achievement are characterized by excellent working relationships between the Superintendent and Boards of Education. **The focus of the relationship must always be collaboration on behalf of children.**

Governance Statement: Uses for This Document

This Governance Statement is intended to be used as a tool for discussion between boards and superintendents. It takes into account the thoughts of board members, former and current superintendents and others versed in leadership. It is not designed as a one-size-fits-all recipe. Rather, it is based on what the authors see as the best road to take to build that strong relationship.

We recommend that all boards and their superintendents discuss their expectations for each other as soon as any of the members of the Leadership Team (the Board of Education and the Superintendent) change. Thus, with changes due to board elections, appointment of a new board member, the hiring of a new superintendent or whenever the board and superintendent believe it is in the interests of their relationship to have a discussion of expectations, the Team should take part in a retreat. The Governance Statement can serve as a good starting place for those discussions.

These discussions should occur in a retreat format, usually with a trusted facilitator. While certainly the companion Board Self-Assessment contained in the Team Assessment document should be used to pinpoint the views of both board members and the superintendent, the Governance Statement itself, with its list of board responsibilities, superintendent responsibilities and those they share, should be well-known to new and experienced board members and superintendents.

Every district has different board members, a different superintendent, different demographics, and other unique characteristics that will help inform such a retreat. That is to be expected and is actually a strength of Leadership Teams: local control is based on an understanding that different localities have different needs and wants.

Because of that, we encourage your Leadership Team to discuss the responsibilities and determine how best you can work together to ensure they are carried out in a thoughtful, positive way, all aimed at strengthening your student achievement. At times when difficult, contentious issues come before the Board, it can be helpful to return to the Governance Statement and have another discussion of expectations.

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Board-Superintendent Relationship

School Governance Position Statement - Spring 2016 (continued)

Joint Board/Superintendent Responsibilities

The primary responsibility of a Board and Superintendent is to foster a district culture that makes student achievement its primary focus. These are specific joint responsibilities that will accomplish this goal.

- To work together with the community to develop a vision for the school district with a primary focus on student achievement.
- To develop goals that align with the vision for the district and foster continuous improvement.
- To institute a process for long-range and strategic planning that aligns with the vision for the district.
- To communicate and interpret the school district's mission to the public and listen, and incorporate appropriate community perspectives into Board action.
- To provide community leadership on educational issues by creating strong linkages with appropriate organizations, agencies and other groups to provide support for healthy development and high achievement for all children.
- To participate in professional development specifically regarding their roles and responsibilities and on relevant content areas.
- To support Board actions and decisions.
- To collectively execute their legal responsibilities.
- To set aside time, at least semi-annually, to discuss school Board/Superintendent relations.
- To belong to, actively support, and participate in their professional organizations, and encourage each other to do so.
- To ensure that professional development opportunities, consistent with district goals, are available to all Board members and school district employees.
- To ensure district adherence to federal and state laws and Board policies.
- To advocate, at the national and state levels, for students and the school district and promote the benefits of public education.
- To collaborate with other school Boards, Superintendents, agencies, and other bodies to inform state and federal policy makers of local concerns and issues relative to education.
- To work collaboratively with agencies, and other bodies, as appropriate, on an ongoing basis.

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Board-Superintendent Relationship

School Governance Position Statement - Spring 2016 (continued)

Board of Education’s Responsibilities	Superintendent of Schools’ Responsibilities
<ul style="list-style-type: none"> To hire, support, evaluate and work effectively with the Superintendent of Schools. 	<ul style="list-style-type: none"> To work effectively with the Board, serving as the school Board’s chief executive officer and educational leader for the Board, district, and community.
<ul style="list-style-type: none"> To establish and regularly review all policies, ensuring they are lawful and designed to improve the quality of the school district. 	<ul style="list-style-type: none"> To implement policies approved by the Board and recommend changes, if appropriate, and to develop, implement and inform the Board of administrative procedures necessary to implement Board policy.
<ul style="list-style-type: none"> In consultation with the Superintendent, to conduct an annual formal evaluation of the Superintendent of Schools that: 1) reflects the significant complexities and wide variety of responsibilities inherent to the role; 2) identifies areas of success and targeted professional development; and 3) focuses on student achievement in the proper context. 	<ul style="list-style-type: none"> To participate, as appropriate, in his/her annual evaluation, by providing data and other information that will inform the evaluation.
<ul style="list-style-type: none"> To inform the Superintendent, through the established chain of command, of potential barriers to the realization of the board’s vision for the school system. 	<ul style="list-style-type: none"> To proactively identify and address potential barriers to the realization of the board’s vision for the school system.
<ul style="list-style-type: none"> To refer communications such as questions complaints and personnel inquiries to the Superintendent, as appropriate, and to encourage adherence to the established chain of command. 	<ul style="list-style-type: none"> To respond to communications, as appropriate, and ensure the adherence and appropriate response through the chain of command, and to keep Board members informed about district issues in a timely manner.
<ul style="list-style-type: none"> To seek the Superintendent’s recommendation before taking action. 	<ul style="list-style-type: none"> To provide the Board with well-informed recommendations.
<ul style="list-style-type: none"> To make decisions based on data. 	<ul style="list-style-type: none"> To facilitate effective, data-driven decision making.

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Board-Superintendent Relationship

School Governance Position Statement - Spring 2016 (continued)

Board of Education's Responsibilities	Superintendent of Schools' Responsibilities
<ul style="list-style-type: none"> To adopt, advocate for and oversee the school budget, which is responsive to district goals and meets the needs of all students. 	<ul style="list-style-type: none"> To prepare, advocate for and implement the annual budget that addresses district goals and meets the needs of all students; and report regularly to the Board on the status of the budget and any concerns or other issues about which the Board should be informed.
<ul style="list-style-type: none"> To delegate to the Superintendent responsibility for all administrative functions, except those specifically reserved to the Board through Board policy. 	<ul style="list-style-type: none"> To oversee the organization and management of the district's day-to-day operations.
<ul style="list-style-type: none"> To conduct an annual self-evaluation of its own leadership, governance and teamwork and take appropriate action pursuant to that evaluation. 	<ul style="list-style-type: none"> To participate, as appropriate, in the annual self-evaluation of the Board, and assist with follow-up.
<ul style="list-style-type: none"> To provide leadership development opportunities for the Superintendent. 	<ul style="list-style-type: none"> To engage in leadership development opportunities provided by the Board.
<ul style="list-style-type: none"> To have the Board leadership work with the Superintendent to develop meeting agendas that include student achievement. 	<ul style="list-style-type: none"> To work closely with the Board leadership to develop meeting agendas that include student achievement.
<ul style="list-style-type: none"> To determine and include in district policy, hiring procedures that clearly define Board and Superintendent responsibilities, and to participate in termination procedures and decisions as prescribed by Connecticut General Statutes. 	<ul style="list-style-type: none"> To, as pursuant to Board policy, hire personnel for the school district and ensure that each employee is properly supervised and evaluated; and to make recommendations for termination of employment.
<ul style="list-style-type: none"> To establish, in accordance with state statute, a professional staff evaluation process that is based on effective performance. 	<ul style="list-style-type: none"> To implement the Board-established professional staff evaluation process that is based on effective performance, in accordance with state statute.
<ul style="list-style-type: none"> To ensure there is a supportive, smoothly-operating Board/Superintendent leadership team, which results in an effective and efficient school district. 	<ul style="list-style-type: none"> To serve as a key, effective member of the Board/Superintendent leadership team and to lead the district staff to meet the district's goal.

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Board-Superintendent Relationship

School Governance Position Statement - Spring 2016 (continued)

Board of Education's Responsibilities	Superintendent of Schools' Responsibilities
<ul style="list-style-type: none"> To share relevant information for the betterment of the district with the Board/Superintendent leadership team. 	<ul style="list-style-type: none"> To communicate research information, performance results and educational needs to the Board for possible Board action.
<ul style="list-style-type: none"> To hold Superintendent accountable for alignment of district activities with district vision. 	<ul style="list-style-type: none"> To ensure that actions of the entire district align to the district vision.
<ul style="list-style-type: none"> Belongs to, actively supports, and participates in professional organizations (e.g., CABE, NSBA and encourages the Superintendent of Schools to actively support and participate in their professional organizations. (CAPSS, AASA) 	<ul style="list-style-type: none"> Belongs to, actively supports, and participates in professional organizations (e.g., CAPSS, AASA and encourages the Board of Education to actively support and participate in their professional organizations (CABE, NSBA)

For more information on the specific duties of the Superintendent, it is recommended that the Board and Superintendent examine the Connecticut Superintendent Leadership Competency Framework, developed by LEAD Connecticut. It is intended to focus specifically on effective superintendent leadership and is included at the end of this document.

The Relationship between the Board Chair and the Superintendent

By the nature of the position, the Board Chair plays a key role in ensuring the effective functioning of the governance team. The Chair serves as the liaison between the Board and the Superintendent. The Board Chair will often have a very different relationship with the Superintendent of Schools than others on the Board. Because of this relationship, it is crucial that Board Chairs be chosen carefully. Ability to serve as representative of the Board and, as appropriate, partner with the Superintendent, should be critical considerations in selecting the Board Chair.

The Chair should also recognize that his or her role is dependent upon the support of the Board, and that action generally requires the vote of the Board.

Usually the Chair and Superintendent collaborate on developing the meeting agenda and other operational issues facing the Board. (Sometimes Board officers do this with the Superintendent.) The Superintendent will depend on the Chair for guidance, and the Chair should look to the Superintendent for the same, not only in setting the agenda, but also in carrying out other joint Board/Superintendent responsibilities. Both the Board Chair and the Superintendent should develop and maintain a close, positive working relationship.

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Board-Superintendent Relationship

School Governance Position Statement - Spring 2016 (continued)

The Superintendent is a non-voting member of the district leadership team, and should be accorded the proper respect. The Board and the Superintendent work together to ensure that they make all decisions consistent with the ethical standards they've established.

The Chair has the unique role of communication with all Board members and provides appropriate information on any issues that arise in the district. The Superintendent also has a role in seeing that the Chair gets any help or information they need to make sure this communication takes place.

The Chair has a responsibility to ensure that the Superintendent can do his/her job without undue outside interference. The Chair must also ensure that individual Board members understand their roles and responsibilities, not only in terms of the Board/Superintendent relationship, but also as the Board relates to the students, community, staff, government agencies, and others affected by the Board. Understanding that Board members are individuals, with different opinions and agendas, the Board Chair still has the responsibility, to the extent possible, for keeping everyone "on the same page." In particular, the Chair must make every effort to ensure that once district policy has been properly established, the Board speaks "in one voice" as the Superintendent implements that policy. This will, in the long run, pay dividends in terms of credibility of the Board and will lead to more efficient and effective Board action.

For more information on the work of the Board Chair, please see the CAFE publication, "Who's In Charge? A Guide for Board of Education Chairs".

Conclusion

While this position paper attempts to outline the various roles and responsibilities of Boards of Education and School Superintendents, its primary purpose is to emphasize the importance and necessity of a close working relationship between the two, based on trust, an understanding of each other's unique roles and abilities, and a shared vision for the school district's success. Not only is such a relationship a necessary prerequisite for this success, but also, the lack of a trusting, collaborative relationship between a Board of Education and its Superintendent is a blueprint for failure.

The focus for Boards and Superintendents must always be: How can we work together to ensure educational excellence for our children?

Administration

Board-Superintendent Relationship

School Governance Position Statement - Spring 2016 (continued)

References

- Dervarics, Chuck and O'Brien, Eileen, "Eight Characteristics of Effective School Boards: full report," Center for Public Education, January 28, 2011
- Connecticut Association of Boards of Education, "Who's in Charge? A Guide for Board of Education Chairs."
- Hanover Research, "Review of Effective Superintendent Leadership and Development Practices," May, 2013
- CAFE, Who's In Charge, discussion of the role of the Board Chair, 2011.

Regulation approved:

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Superintendent's Leadership Performance Areas and Specific Areas of Responsibility

Successful Superintendents of Schools are visionary CEOs who lead dynamic enterprises in a shifting climate of policy, politics, society, economics, and law. Balancing and managing national reform and accountability initiatives against local circumstances, they create the conditions that drive their school district's leadership, quality of instruction, and student achievement. Research has shown that the nation's most successful Superintendents possess highly developed leadership, vision, and strategic thinking skills, and that these skills, combined, influence student achievement.

Together, CABE and CAPSS have created the following framework to help guide Superintendent evaluation and development. CABE/CAPSS regularly revises this document to reflect continuing developments that shape Superintendents' areas of responsibility.

I. Educational Leadership

Grounded in relationships, the Superintendent enlists and guides school district stakeholders toward the district's educational goals, demonstrating an intense focus on continuous district improvement.

Working with the Board of Education, community, and staff, the Superintendent:

- develops and implements a vision that inspires action and commitment;
- develops and implements a district leadership plan that guides decision making;
- aligns resources to drive a district-wide strategy for improving the performance of all students;
- establishes systems that build staff capacity and hold staff accountable for results;
- establishes and sustains a culture of continuous improvement and accountability;
- purposely aligns systems and structures that support the strategic operating plan;
- identifies the values and ethics under which the schools function.

Serving as the Board of Education's educational leader and chief executive, the Superintendent:

- 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 in which there is an effective instructional program and a comprehensive professional development plan for staff;
- belongs to, actively supports, and participates in professional organizations (e.g., CAPSS, AASA) and encourages the Board of Education to actively support and participate in their professional organizations (CABE, NSBA);
- uses knowledge of research-based best practices related to learning, teaching, student development, organizational development, and data management to optimize learning for all students.

Superintendent's Leadership Performance Areas and Specific Areas of Responsibility
(continued)

II. Organizational Management

Effective facilitation of the day-to-day operations of the school district and its programs requires leadership in organizational management. This includes establishing systems and appropriate delegation of tasks for:

- consistent with Board of Education policy, recruiting, hiring, and retaining personnel for the school district who show potential to best meet the needs of all students;
- providing a system of support, supervision, and consistent evaluation to ensure effectiveness of certified and classified staff;
- preparing, advocating for, and implementing an annual budget that addresses district goals and meets the needs of all students;
- implementing policies adopted by the Board of Education and recommending appropriate changes; and informing the Board of administrative procedures necessary to implement Board policies;
- ensuring the health and safety of students and staff;
- reporting regularly to the Board of Education on all relevant matters.

III. Community and Board of Education Relations

Community and Board of Education relations are critical to the success of the Superintendent and the school system.

Community relations: The Superintendent works in partnership 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 assist with the evaluation of the district operations and programs;
- represent the district to the community;
- maintain positive working relationships with key local, regional, and state organizations and agencies.

Board relations:

Working in a professional manner, the Superintendent:

- provides professional advice and keeps the Board of Education informed and updated on educational issues and the school system's needs and operations, by providing appropriate recommendations and supporting data.
- responds to communications from staff and community, as appropriate; 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.

Superintendent's Leadership Performance Areas and Specific Areas of Responsibility
(continued)

IV. Staff Relations

No chief executive officer, including a superintendent of schools, can lead a successful organization without establishing healthy and productive relationships with the organization's staff members. To establish such relationships, a superintendent must ensure that systems are in place that:

- provide for a safe and orderly work environment for all staff;
- delegate authority appropriately to all staff members;
- give all staff members sufficient authority and support to meet their responsibilities;
- provide all staff members with effective, relevant, and ongoing professional development aligned with their responsibilities and opportunities for advancement;
- provide all staff members the information they need to meet their responsibilities;
- provide for substantial consideration of input from staff members on all important policy and procedural decisions that involve them;
- provide for regular and systemic communication to all staff members with respect to all major organizational goals, objectives, and management issues.

V. Personal and Professional Qualities and Relationships

Personal and professional qualities and relationships are critical to the effectiveness of leaders and managers. The Superintendent, with poise and diplomacy, must:

- maintain high standards of ethics, honesty, and integrity in all professional matters;
- continue to refine and develop their skills and contemporary knowledge;
- make decisions based on sound professional practice;
- interact effectively with individuals and groups both within and outside the school district to accomplish the goals of the district;
- strongly advocate for public education and support their convictions;
- maintain a healthy balance between professional obligations and personal life.

VI. Growth in Student Achievement

Every school district's core mission is to prepare all students for the future by ensuring their growth in achievement. The Superintendent does not deliver instruction directly to students but must set expectations and take specific actions that establish a culture conducive to growth in student achievement.

The Superintendent must establish systems for:

- involving stakeholders throughout the system to establish instructional and achievement goals;

Superintendent's Leadership Performance Areas and Specific Areas of Responsibility
(continued)

- collecting data on a regular basis regarding student achievement in all programmatic areas;
- analyzing data to identify areas of instruction requiring focus and emphasis;
- developing and implementing plans to ensure growth in student achievement and for revising those plans regularly, in accordance with relevant student achievement data;
- holding staff accountable for implementing plans to enhance student achievement and for the intended growth in student achievement;
- determining whether achievement growth strategies are successful and methods to conduct relevant assessments;
- setting, in concert with the Board of Education, assessable school system goals for yearly performance in student achievement and methods for conducting the relevant assessments;
- setting, in concert with the Board of Education, reasonable and assessable goals for their performance -- within the context of available resources and Board support -- for the Superintendent's proposals.

Reference: Connecticut Superintendent Leadership Competency Framework developed by LEAD Connecticut

Sample policy to consider.

Administration

Board-Superintendent Relations

The Board believes that the legislation of policies is the most important function of a School Board and that the execution of the policies should be the function of the Superintendent.

Delegation by the Board of its executive powers to the Superintendent provides freedom for the Superintendent to manage the schools within the Board's policies and frees the Board to devote its time to policy-making and appraisal functions.

The Board shall hold the Superintendent responsible for the administration of its policies, the execution of Board decisions, the operation of the internal machinery designed to serve the school program, and for keeping the Board informed about school operations and problems.

Policy adopted:

Another version to consider.

Administration

Board-Superintendent Relationship

The Superintendent shall be the chief executive officer of the Board of Education and shall be responsible for the professional leadership and skill necessary to translate the will of the Board into administrative action.

The Superintendent shall be responsible for all aspects of school operation and for such duties and powers pertaining thereto as the Board may direct or delegate. The Superintendent may delegate responsibility and the authority necessary to discharge it to other officials and so develop such procedures and regulations as he/she considers necessary to ensure efficient operation of the schools.

The Board assumes that the Superintendent is professionally able and possesses outstanding qualities of leadership, vision, and administrative skill, and that the Superintendent will implement all policies of the Board in good faith.

The Superintendent can assume that the Board will respect the Superintendent's professional competence and extend to him/her full responsibility for implementation of Board policy decisions. It is incumbent on the Superintendent to recognize policy implications of administrative problems which arise. In order that the Superintendent may provide effective leadership, the Board will delegate to the Superintendent those powers which it considers advisable to do so. The Superintendent can expect the Board to support the Superintendent's decisions and administration of the school system.

Policy adopted:

A sample regulation.

Administration

Board - Superintendent Relations

The legislation of policies is the most important function of the School Board, and the direction of the execution of the policies should then be the function of the Superintendent. The Superintendent should then be held responsible by the Board for results.

Board Responsibilities		Superintendent Responsibilities	
1.	Select the Superintendent and support him in the discharge of his duties.	1.	The Superintendent shall be considered the chief executive instrumentality of the Board of Education. All individuals employed by the district are responsible directly or indirectly to the Superintendent of Schools.
2.	Adopt policies for the operation of the schools.	2.	Make plans to carry out all policies and establish rules and regulations as appropriate.
3.	Propose annual budget for adoption by the qualified electors of the district.	3.	Prepare and submit to the Board for consideration a proposed annual budget.
4.	Receive financial reports and authorize expenditures contracted after the adoption of the annual budget.	4.	The Superintendent shall have power within the levels of the major appropriations approved by the Board to approve and direct all purchases and expenditures not set forth in the proposed annual budget.
5.	Delegate to the Superintendent the responsibility for the development of procedures to recruit and recommend to the Board of Education administrative and teaching candidates.	5.	Report to the Board at the regular monthly meeting all appointments, resignations, and transfers as appropriate. No appointment to any position shall be publicized without prior authorization of the Board.

Administration

Board - Superintendent Relations (continued)

Board Responsibilities		Superintendent Responsibilities	
6.	Determine salary schedules and other personnel policies.	6.	Formulate and recommend personnel policies. Be responsible for assignment of all personnel.
7.	Require and discuss reports of the Superintendent concerning the progress of the schools in terms of achievement of students, teachers and supervisors.	7.	Formulate and administer means of evaluating staff members and report findings to the Board. Formulate and administer a program of supervision for the schools. Duties and responsibilities may be delegated, but the Superintendent has final responsibility for actions of subordinates.
8.	Require and consider reports from the Treasurer, Business committee or the Superintendent of business transacted or pending of the financial status of the system.	8.	Prepare monthly reports upon status of the budget. Prepare annual report on the operation of the school system and such other reports requested by the Board.
9.	Consult with the Superintendent, affording a group judgment, on recommendations for extensions or readjustments of the scope of educational activities.	9.	Provide professional leadership for the educational program of the schools. Keep the Board continuously informed on the progress and condition of the schools.
10.	Consider recommendations for additional capital outlays and adopt plans for such improvements and determine the means for financing them.	10.	Develop plans for maintenance, improvements, or expansion of buildings and site facilities needed to provide properly for an adequate educational program.
11.	Represent the needs of the schools before the taxpayers of the district and the legislature.	11.	Plan means of keeping the community informed about school matters. Serve as a representative of the schools before the public.
12.	Exercise the functions stated for it in the school district's grievance procedure.	12.	Make decisions in line with Board policy. Appeals from such decisions may be heard and decided by the Board.

Regulation approved: