

# *Guidelines for Uniform Performance Standards and Evaluation Criteria for Superintendents*



*Virginia Department of Education  
P. O. Box 2120  
Richmond, Virginia 23218-2120*

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### **Virginia Superintendent Evaluation Work Group**

**Rev. Jarvis E. Bailey**, School Board Member, Fredericksburg City Public Schools

**Mr. James Baldwin**, Executive Director, Virginia Association of Elementary School Principals

**Dr. Randy Barrack**, Executive Director, Virginia Association of Secondary School Principals

**Dr. BJ Brewer**, Superintendent, Amelia County Public Schools

**Dr. Sarah Campbell**, Superintendent, Alleghany County Public Schools

**Ms. Anne Carson**, President, Virginia Parent Teacher Association

**Dr. Walter R. Clemons**, Superintendent, Northampton County Public Schools

**Dr. Jack Dale**, Superintendent, Fairfax County Public Schools

**Mr. Vincent Darby**, Principal, Granby Elementary School, Norfolk Public Schools, Virginia Association of Elementary School Principals

**Dr. Lyle Evans**, Assistant Superintendent for Human Resources and Administrative Services, Chesterfield County Public Schools

**Ms. Kimberly B. Gray**, School Board Member, Richmond City Public Schools

**Dr. Angela Gwynne-Atwater**, Principal, Liberty Elementary School, Loudoun County Public Schools, Virginia Association of Elementary School Principals

**Ms. Kari M. Hall**, Teacher, Henrico County Public Schools, Virginia Education Association

**Dr. Mark Jones**, Superintendent, King William County Public Schools

**Ms. Gena Cook Keller**, Superintendent, Fluvanna County Public Schools

**Mr. William S. Kidd**, School Board Member, Wythe County Public Schools

**Mr. D. Patrick Lacy**, Virginia School Boards Association

**Dr. Mark Lineburg**, Superintendent, Bristol City Public Schools

**Dr. Keith Perrigan**, Principal, Patrick Henry High School, Washington County Public Schools,  
Virginia Association of Secondary School Principals

**Ms. Sharon E. Pope**, Principal, Harry F. Byrd Middle School, Virginia Association of  
Secondary School Principals

**Dr. Betsy Roberson**, Director, Office of Teaching and Learning, Virginia Education  
Association

**Mr. Wendell C. Roberts**, Staff Attorney, Virginia School Boards Association

**Dr. Patrick J. Russo**, Superintendent, Henrico County Public Schools

**Mr. Leonard Stewart, Jr.**, School Board Member, Lexington City Public Schools

**Dr. Thomas A. Whitley**, Principal, Lakeland High School, Virginia Association of  
Secondary School Principals

**Mrs. Diana D. Winston**, School Board Member, Henrico County Public Schools

### **Project Consultants**

**Dr. James H. Stronge**, Heritage Professor of Educational Policy, Planning, and Leadership,  
The College of William and Mary, Williamsburg, Virginia

*With assistance from:* **Dr. Virginia Caine Tonneson**, Post-Doctoral Research Associate,  
The College of William and Mary

### **Department of Education Staff**

**Dr. Patricia I. Wright**, Superintendent of Public Instruction, Virginia Department of Education

**Dr. Mark R. Allan**, Director of Licensure and School Leadership and Evaluation  
Project Coordinator, Virginia Department of Education

**Dr. Deborah Jonas**, Former Executive Director of Research and Strategic Planning, Virginia  
Department of Education

**Ms. Patty Pitts**, Assistant Superintendent for Teacher Education and Licensure, Virginia  
Department of Education

**Dr. Kathleen Smith**, Director of School Improvement, Virginia Department of Education

**Ms. Michelle Vucci**, Director of Policy, Virginia Department of Education

**Dr. Linda Wallinger**, Assistant Superintendent for Instruction, Virginia Department of Education

**Ms. Anne Wescott**, Assistant Superintendent for Policy and Communications, Virginia Department of Education

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# Part 1: Introduction

## Why Good Evaluation is Necessary<sup>1</sup>

More than 20 years ago, in a joint statement, the American Association of School Administrators (AASA) and the National School Boards Association (NSBA) agreed that “informal evaluations cannot provide the board with a complete picture of the superintendent’s effectiveness in carrying out her (his) complex job. Regular, formal evaluations offer boards the best means of assessing their chief school administrator’s total performance.”<sup>2</sup> Despite their agreement, the attention devoted to developing and implementing systematic performance-based evaluation systems for superintendents has been minimal in the intervening two decades.<sup>3</sup> Superintendent evaluation matters because division superintendency matters. Leithwood and Riehl summarized several research-based conclusions about successful leadership; one reads “leadership has significant effects on student learning, second only to the effects of quality of curriculum and teachers’ instruction.”<sup>4</sup> Both empirical findings and case study observations of leaders in high-performing schools indicate that leaders influence student learning directly by coalescing and supporting teacher efforts to achieve high expectations for student learning.<sup>5</sup>

Case studies of exceptional schools, especially those that succeed beyond expectations, provide detailed portraits of leadership. These studies indicate that school leaders influence learning primarily by galvanizing efforts around ambitious goals, and by establishing conditions that support teachers and that help students succeed.<sup>6</sup> Large-scale quantitative studies conclude that the effects of leadership on student achievement are small, accounting for only about three to five percent of the variation. However, they also indicate that leadership effects appear to be mostly indirect. That is, leaders influence student learning through promoting vision and goals, and through ensuring that resources and processes are in place to enable teachers to teach well.<sup>7</sup> Evaluation systems must be of high quality if we are to discern whether our superintendents are of high quality. The role of a superintendent requires a performance evaluation system that acknowledges the complexities of the job. Superintendents have a challenging task in meeting the educational needs of an educationally diverse student population, and good evaluation is necessary to provide the superintendents with the support, recognition, and guidance they need to sustain and improve their efforts.<sup>8</sup>

Because the superintendency is so fundamentally important to school improvement and student success, improving the evaluation of superintendent performance is particularly relevant as a means to recognize excellence in leadership and to advance superintendent effectiveness. A meaningful evaluation focuses on professional standards, and through this focus and timely feedback, enables teachers and leaders to recognize, appreciate, value, and develop excellent leadership. The benefits of a rigorous evaluation system are numerous and well-documented. Goldring and colleagues noted that when the process of evaluation is designed and implemented appropriately, it can be valuable for improvement of leadership quality and overall organizational performance in several ways, including:<sup>9</sup>

- as a benchmarking and assessing tool to document the effectiveness of superintendents for annual reviews and compensation;

- as a targeting tool to help superintendents focus on performance domains and behaviors that are associated with student learning;
- as a tool of continuous learning and development to provide both formative and summative feedback to superintendents, identify areas in need of improvement, and enable superintendents to make informed individualized decisions regarding professional development in order to bridge the gap between current practices and desired performance; and,
- as a collective accountability tool to set the organizational goals and objectives of the school leader and larger divisionwide improvement.

## **Limitations of Current Evaluation Systems**

Although superintendent effectiveness<sup>10</sup> is recognized as an important factor in improving student academic outcomes, school divisions rarely measure, document, or use superintendent effectiveness ratings to inform decision-making.<sup>11</sup> A comprehensive review of superintendent evaluation practices indicates that there is concern about a lack of objectivity in the methods used to evaluate superintendents. Traditionally superintendents are evaluated using written comments or an essay format. There is a need for technically sound, widely available evaluation instruments that may be adapted to the particular circumstances of the school division.<sup>12</sup> In addition, the overwhelming majority of superintendents are evaluated by the members of the board; however, evidence suggests that school board members may not be adequately prepared for evaluating superintendents.<sup>13</sup> Oftentimes, input from other stakeholder groups, such as peers, subordinates, constituents, teachers, and students is not solicited. Furthermore, few superintendents perceive their performance evaluation as contributing to the overall effectiveness of the superintendency and the school system.<sup>14</sup>

## **Importance of Recognizing Superintendent Effectiveness**

In the past school division superintendents may have been viewed as managers of complex bureaucracies rather than instructional leaders; however, the move toward instructional accountability of superintendents is not without merit or empirical evidence.<sup>15</sup> The position of the superintendent within a school division hierarchy suggests their ability to influence the focus and direction of the division organization. Successful innovations and school improvements often have central office support.<sup>16</sup> Hord asserted that the superintendents are in the most expedient position to support instructional improvement within the division.<sup>17</sup> Research indicates that superintendents use their bureaucratic positions in the formal organization to improve instruction through staff selection, principal supervision, instructional goal-setting and monitoring, financial planning, and consultative management practices.<sup>18</sup> Research findings indicate that superintendents of effective school divisions exhibit high levels of involvement in instructional matters and use managerial levers at their disposal to influence the behavior of principals and teachers who are more directly involved in improving classroom teaching and student learning.<sup>19</sup> It is important to recognize that effective superintendency influences student learning, either directly or indirectly. It is also important to understand the ways and means by which superintendents influence their school divisions' educational programs. Therefore, a



rigorous superintendent evaluation system should be in place to discriminate the performance of superintendents and provide informative feedback for improvement.

## Purposes of Evaluation

The primary purposes of a quality superintendent evaluation system are to:<sup>20</sup>

- Improve educational performance, both for the superintendent and, ultimately, the entire school division;
- Improve superintendent/board relations and communication;
- Clarify the roles of the superintendent;
- Inform the superintendent of the board's expectations;
- Improve planning;
- Aid in the professional development of the superintendent;
- Serve as a basis for personnel decisions;
- Serve as an accountability mechanism; and
- Fulfill legal requirements.

Candoli et al., and Hoyle et al., suggested that a quality superintendent evaluation system should:

- Meet requirements of personnel evaluation standards, that is, propriety standards, feasibility standards, utility standards, and accuracy standards.
- Build on the strengths of existing superintendent performance evaluation models and avoid their weaknesses.
- Embody and focus on superintendent's generic duties.
- Integrate established evaluation concepts, including the basic purpose of evaluation (assess merit or worth), the generic process of evaluation (delineating, obtaining, reporting, and applying information), the main classes of information to be collected (context, input, process, and product), and the main roles of evaluation (formative input for improvement and summative assessment for accountability).
- Provide for adaptation to the wide variety of school division settings.<sup>21</sup>

## Purposes of this Document

This document was developed specifically for use with school division superintendents. The Board of Education is required to establish performance standards and evaluation criteria for teachers, principals, and superintendents to serve as guidelines for school divisions to use in implementing educator evaluation systems. The *Code of Virginia* requires (1) that superintendent evaluations be consistent with the **performance objectives (standards)** set forth in the Board of Education's *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents* and (2) that school boards' procedures for evaluating superintendents address student academic progress.

Section 22.1-60.1 (Evaluation of the Superintendent) of the *Code of Virginia* states, in part, the following:

Each local school board shall evaluate the division superintendent annually consistent with the performance objectives set forth in *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents* as required by 22.1-253.13:5.

Section 22.1-253.13:5 (Standard 5. Quality of classroom instruction and educational leadership) of the *Code of Virginia* states, in part, the following:

B. Consistent with the finding that leadership is essential for the advancement of public education in the Commonwealth, teacher, administrator, and superintendent evaluations shall be consistent with the performance objectives included in the *Guidelines for Uniform Performance Standards and Evaluation Criteria for Teachers, Administrators, and Superintendents*. Teacher evaluations shall include regular observation and evidence that instruction is aligned with the school's curriculum. Evaluations shall include identification of areas of individual strengths and weaknesses and recommendations for appropriate professional activities....

The *Guidelines for Uniform Performance Standards and Evaluation Criteria for Superintendents* set forth seven performance standards for all Virginia superintendents. Pursuant to state law, superintendent evaluations must be consistent with the performance standards (objectives) included in this document.

The *Guidelines for Uniform Performance Standards and Evaluation Criteria for Superintendents* provide school divisions with a model evaluation system, including sample forms and templates that may be implemented “as is” or used to refine existing local superintendent evaluation systems. Properly implemented, the evaluation system provides school divisions with the information needed to support systems of differentiated compensations or performance-based pay.

The *Code of Virginia* requires that school boards’ procedures for evaluating superintendents address student academic progress; how this requirement is met is the responsibility of local school boards. The *Guidelines for Uniform Performance Standards and Evaluation Criteria for Superintendents* recommend that each superintendent receive a summative evaluation rating, and that the rating be determined by weighting the first six standards equally at 10 percent each, and that the seventh standard, Student Academic Progress, account for 40 percent of the summative evaluation.

## **Part 2: Uniform Performance Standards for Superintendents**

The uniform performance standards for superintendents are used to collect and present data to document performance that is based on well-defined job expectations. They provide a balance between structure and flexibility and define common purposes and expectations, thereby guiding effective leadership. The performance standards also provide flexibility, encouraging creativity and individual superintendent initiative. The goal is to support the continuous growth and development of each superintendent by monitoring, analyzing, and applying pertinent data compiled within a system of meaningful feedback.

### **Defining Superintendent Performance Standards**

Clearly defined professional responsibilities constitute the foundation of the superintendent performance standards. A fair and comprehensive evaluation system provides sufficient detail and accuracy so that both superintendents and school boards reasonably understand the job expectations. It should be noted that the superintendent works with the school board, division staff, and other stakeholders to accomplish the performance standards.

The expectations for professional performance are defined using a two-tiered approach of performance standards and performance indicators.

### **Performance Standards**

Performance standards define the criteria expected when superintendents perform their major duties. For all superintendents, there are seven performance standards as shown in Figure 2.1.

Figure 2.1: Performance Standards

|   |
|---|
| <p><b>1. Mission, Vision, and Goals</b><br/> <i>The superintendent works with the local school board to formulate and implement the school division’s mission, vision, and goals to promote student academic progress.</i></p>  |
| <p><b>2. Planning and Assessment</b><br/> <i>The superintendent strategically gathers, analyzes, and uses a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic progress.</i></p>                            |
| <p><b>3. Instructional Leadership</b><br/> <i>The superintendent fosters the success of all teachers, staff, and students by ensuring the development, communication, implementation, and evaluation of effective teaching and learning that leads to student academic progress and school improvement.</i></p> |
| <p><b>4. Organizational Leadership and Safety</b><br/> <i>The superintendent fosters the safety and success of all teachers, staff, and students by supporting, managing, and evaluating the division’s organization, operation, and use of resources.</i></p>  |
| <p><b>5. Communication and Community Relations</b><br/> <i>The superintendent fosters the success of all students through effective communication with stakeholders.</i></p>  |
| <p><b>6. Professionalism</b><br/> <i>The superintendent fosters the success of teachers, staff, and students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.</i></p>   |
| <p><b>7. Divisionwide Student Academic Progress</b><br/> <i>The superintendent’s leadership results in acceptable, measurable divisionwide student academic progress based on established standards.</i></p>  |

## Performance Indicators

Performance indicators provide examples of observable, tangible behavior that indicate the degree to which superintendents are meeting each standard. This helps superintendents and school boards clarify performance levels and job expectations. That is, the performance indicators provide the answer to what must be performed. Performance indicators are provided as examples of the types of performance that will occur if a standard is being fulfilled. However, the list of performance indicators is not exhaustive, and they are not intended to be prescriptive. It should be noted that indicators in one standard may be closely related to indicators in another standard. This is because the standards, themselves, are not mutually exclusive and may have overlapping aspects.

Superintendents and school boards should consult the sample performance indicators for clarification of what constitutes a specific performance standard. ***Performance ratings are made at the performance standard level, NOT at the performance indicator level. Additionally, it is important to document a superintendent’s performance on each standard with evidence generated from multiple performance indicators.*** Sample performance indicators for each of the performance standards follow.

**Performance Standard 1: Mission, Vision, and Goals**

*The superintendent works with the local school board to formulate and implement the school division's mission, vision, and goals to promote student academic progress.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 1.1 Works with the school board to develop and recommend policies that define organizational expectations, and effectively communicates these to all stakeholders.
- 1.2 Promotes a climate of mutual respect, trust, and professionalism with the school board and staff.
- 1.3 Keeps the school board informed on needs and issues confronting school division employees and students.
- 1.4 Supports and enforces all school board policies and informs all constituents of changes to the policies.
- 1.5 Functions as the primary instructional leader for the school division, seeking out and relying on support from staff as necessary when advising the school board.
- 1.6 Oversees the administration of the school division's day-to-day operations.
- 1.7 Works with all individuals, groups, agencies, committees, and organizations to provide and maintain schools that are safe and productive.
- 1.8 Delegates authority and responsibility to other employees as needs and opportunities arise.
- 1.9 Recommends policy additions or modifications to improve student learning and division effectiveness.

**Performance Standard 2: Planning and Assessment**

*The superintendent strategically gathers, analyzes, and uses a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic progress.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 2.1 Provides leadership in the development of a shared vision for educational improvement that inspires employees to work collaboratively.
- 2.2 Organizes the collaborative development and implementation of a division strategic plan based on analysis of data from a variety of sources.
- 2.3 Works collaboratively to develop long- and short-range goals and objectives consistent with the strategic plan and monitors progress in achieving the goals and objectives.
- 2.4 Seeks and utilizes human and material resources outside the division that may support and/or enhance the achievement of goals and objectives.
- 2.5 Uses research-based techniques to analyze and apply data gathered from division improvement measurements that include student assessment results and staff implementation practices.
- 2.6 Collaboratively identifies needs, determines priorities, and assesses program implementation using researched-based instructional practices that result in student learning.
- 2.7 Plans, implements, supports, and assesses instructional programs that enhance teaching and student achievement such that the school division and all schools meet all required federal and state standards.
- 2.8 Applies and communicates findings to all stakeholders to ensure continuous improvement.

**Performance Standard 3: Instructional Leadership**

*The superintendent fosters the success of all teachers, staff, and students by ensuring the development, communication, implementation, and evaluation of effective teaching and learning that leads to student academic progress and school improvement.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 3.1 Communicates a clear vision of excellence and continuous improvement consistent with the goals of the school division.
- 3.2 Directs staff to set specific and challenging, but attainable goals for higher performance that result in improved student learning.
- 3.3 Oversees the alignment, coordination, and delivery of assigned programs and curricular areas such that the school division and all schools meet all required federal, state, and local standards.
- 3.4 Assesses factors affecting student achievement and directs change for needed improvements.
- 3.5 Ensures that curricular design, instructional strategies, and learning environments integrate appropriate technologies to maximize student learning.
- 3.6 Explores, disseminates, and applies knowledge and information about new or improved instructional strategies or related issues.
- 3.7 Works with the school board, staff, and community representatives to identify needs and determine priorities regarding program delivery.
- 3.8 Provides direction and support in planning and implementing activities and programs consistent with continuous improvement efforts and attainment of instructional goals.
- 3.9 Provides staff development programs consistent with program evaluation results and school instructional improvement plans.

**Performance Standard 4: Organizational Leadership and Safety**

*The superintendent fosters the safety and success of all teachers, staff, and students by supporting, managing, and evaluating the division's organization, operation, and use of resources.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 4.1 Identifies, analyzes, and resolves problems using problem-solving techniques.
- 4.2 Facilitates the implementation of research-based theories and techniques of classroom management, student discipline, and school safety to ensure an orderly and positive environment conducive to teaching and learning.
- 4.3 Implements sound personnel procedures in recruiting, employing, and retaining highly qualified and most effective teachers, administrators, and other personnel based on identified needs.
- 4.4 Acquires, allocates, and manages division human, material, and financial resources in compliance with all laws to ensure the effective and equitable support of all of the division's students, schools, and programs.
- 4.5 Demonstrates organizational skills to achieve school, community, and division goals.
- 4.6 Provides staff development for all categories of personnel consistent with individual needs, program evaluation results, and instructional improvement plans.
- 4.7 Plans and implements a systematic performance evaluation system of all employees that provides timely and constructive feedback.
- 4.8 Provides support and resources for staff to improve job performance and recognizes and supports the achievement of highly effective personnel.
- 4.9 Collaborates with stakeholders to develop, assess, and improve procedures and policies that maximize the amount of available time for successful teaching, learning, and professional development.



**Performance Standard 5: Communication and Community Relations**

*The superintendent fosters the success of all students through effective communication with stakeholders.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 5.1 Models and promotes effective communication and interpersonal relations within the school division.
- 5.2 Establishes and maintains effective channels of communication with board members and between the schools and community.
- 5.3 Works collaboratively with all stakeholders to secure resources and to support the success of a diverse student population.
- 5.4 Creates an atmosphere of trust and mutual respect with all stakeholders.
- 5.5 Demonstrates the skills necessary to build community support for division goals and priorities.
- 5.6 Uses formal and informal techniques to gather external perceptions and input as a part of the decision-making process.
- 5.7 Brings together groups of different interests into a collaborative effort to respond appropriately to existing and potential problems.
- 5.8 Models and promotes multicultural awareness, gender sensitivity, and the appreciation of diversity in the community.

**Performance Standard 6: Professionalism**

*The superintendent fosters the success of teachers, staff, and students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 6.1 Models professional, moral, and ethical standards as well as personal integrity in all interactions.
- 6.2 Works in a collegial and collaborative manner with stakeholders to promote and support the mission and goals of the school division.
- 6.3 Respects and maintains confidentiality and assumes responsibility for personal actions and responds appropriately to actions of others.
- 6.4 Takes responsibility for and participates in a meaningful and continuous process of professional development that results in the enhancement of student learning.
- 6.5 Provides service to the profession, the division, and the community by participating on state and/or national committees, being active in professional and community-based service organizations, and serving as a mentor.
- 6.6 Takes a leadership role and encourages staff to do so as well, by presenting workshops at local, state, regional, or national conferences, authoring publications, or delivering coursework for institutions of higher education.
- 6.7 Maintains a high level of personal knowledge regarding new developments and techniques, and shares the information with appropriate staff.
- 6.8 Networks with colleagues to share knowledge about effective educational practices and to improve and enhance administrative knowledge, skills, and organizational success.
- 6.9 Actively seeks opportunities to stay abreast of the latest research on educational leadership by collaborating with experts in the field.

**Performance Standard 7: Divisionwide Student Academic Progress**

*The superintendent's leadership results in acceptable, measurable divisionwide student academic progress based on established standards.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 7.1 Develops, implements, monitors, and updates division action plans that result in increased student academic progress.
- 7.2 Uses appropriate data and applies research to make informed decisions related to student academic progress and division improvement.
- 7.3 Leads staff in conducting an ongoing, detailed analysis of student learning data to provide immediate and appropriate feedback.
- 7.4 Collaborates with division staff to monitor and improve multiple measures of student progress.
- 7.5 Utilizes internal division and external constituent meetings and professional development activities to focus on student progress outcomes.
- 7.6 Provides evidence that students in all subgroups are meeting acceptable and measurable student academic progress.
- 7.7 Demonstrates responsibility for division academic achievement through proactive interactions with parents, staff, and other community stakeholders.
- 7.8 Collaboratively develops, implements, and monitors long- and short-range division achievement goals that address varied student populations.
- 7.9 Sets division benchmarks and implements appropriate strategies and interventions to accomplish desired outcomes.

**Note:** Performance Standard 7: If a superintendent effectively fulfills all previous standards, it is likely that the results of his or her leadership – as documented in Standard 7: Student Academic Progress – would be positive. The Virginia superintendent evaluation system includes the documentation of student growth as indicated within Standard 7 and recommends that the evidence of progress be reviewed and considered throughout the year. Trend analysis should be used where applicable.

## Part 3: Documenting Superintendent Performance

In order to develop a complete picture of the superintendent's performance, board members should use multiple sources of information in assessing performance quality. These data sources might include formal and informal observations, client surveys, artifacts of performance, goal setting, and other relevant sources of performance information. As representatives of the community, board members often receive unsolicited opinions about the performance of the superintendent, most often from individuals who are not pleased or disagree with an action or decision of the superintendent. Although it is tempting to use selected data sources in assessing the superintendent's performance, *some sources may be more problematic than others; thus, these problematic, unsolicited, non-representative data should be very carefully and cautiously considered before applying the data to superintendent evaluation, if they are to be used at all.* For data sources to be acceptable, they must meet the tests of logic, validity, reliability, fairness, and legality.<sup>a</sup> Answering questions like the ones that follow will assist board members in determining whether various data sources meet these tests:

- Are the data caused by or the responsibility of the superintendent?
- Do the data reflect responsibilities included in the superintendent's job description?
- Are the data linked to student learning, welfare, or other needs?
- Are the data of primary importance in considering the quality of the superintendent's performance?
- Are better data available on the same issue?

Board members should work with the superintendent to reach consensus on the evidence-based data sources to be used.

The suggested sources of information described in Figure 3.1 were selected to provide comprehensive and accurate feedback on superintendent performance. Data sources may include, but are not limited to, the sources in Figure 3.1.

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<sup>a</sup> These recommendations are adapted from: Peterson, K.D. (1995). *Teacher evaluation: A comprehensive guide to new directions and practices*. Thousand Oaks, CA: Corwin Press.

Figure 3.1: *Suggested Documentation Sources for Superintendent Evaluation*

| <b>Data Source</b>     | <b>Definition</b>   |
|------------------------|---|
| Self-Evaluation        | Self-evaluation reveals superintendents’ perceptions of their job performance. Results of a self-evaluation should inform superintendents’ personal goals for professional development.   |
| Documentation Evidence | Items generated by superintendents provide evidence of meeting the seven performance standards.   |
| Client Survey          | Client surveys provide information to superintendents about perceptions of job performance. The actual survey responses are seen only by the superintendent who prepares a survey summary as part of the documentation evidence.            |
| Goal Setting           | Superintendents, in conjunction with the school board, set goals for professional growth and school improvement. These goals should reflect expected or required performance benchmarks drawn from local and state guidelines and policies. |

**Note:** All recommended data sources may not always be necessary in a superintendent evaluation system. Rather, options are provided from which local decisions can be made to design the evaluation system in a manner that best fits local needs.

### **Alignment of Performance Standards with Data Sources**

Whether a superintendent is meeting the performance standards may be evidenced through multiple data sources. Figure 3.2 shows the alignment of performance standard by data source.

Figure 3.2: *Aligning Multiple Data Sources with Performance Standards*

| <b>Performance Standard</b>               | <b>Self-Evaluation</b> | <b>Documentation Evidence</b> | <b>Client Survey*</b> | <b>Goal Setting</b> |
|---|------------------------|-------------------------------|-----------------------|---------------------|
| 1. Mission, Visions, and Goals            | /                      | X                             | /                     | X                   |
| 2. Planning and Assessment                | /                      | X                             | /                     | X                   |
| 3. Instructional Leadership               | /                      | X                             | /                     | X                   |
| 4. Organizational Leadership and Safety   | /                      | X                             | /                     | X                   |
| 5. Communication and Community Relations  | /                      | X                             | /                     | X                   |
| 6. Professionalism                        | /                      | X                             | /                     | X                   |
| 7. Divisionwide Student Academic Progress |                        | X                             |                       | X                   |

\* *Survey summaries are part of the documentation evidence.*

*X = Primary Data Source    / = Secondary Data Source*

**Note:** With only minor modification, selected data sources (e.g., self-evaluation, goal setting) readily could be applied to school board evaluation if the local school board is so inclined.

## **Self-Evaluation**

The superintendent's annual self-evaluation of progress toward meeting performance goals encourages reflection on his/her experiences. It also provides a structure to consider future goals and determine strategies for achieving goals. The self-evaluation process is also useful in promoting the superintendent's professional development. Data from self-evaluations may not be objective enough to use in evaluating the superintendent for summative purposes. However, self-evaluations at the middle and end of each year can reveal discrepancies in perceptions of performance between the superintendent and the board and may be very useful in generating dialogue to discuss discrepancies revealed. The superintendent may consider self-rating at the end of the year and sharing this with the school board. A sample *Superintendent Self-Evaluation Form* is provided on the following pages.

## SAMPLE Superintendent Self-Evaluation Form

*Directions: Superintendents should use this form annually to reflect on the effectiveness and adequacy of their practice based on each performance standard. Please refer to the performance indicators for examples of behaviors exemplifying each standard.*

**Superintendent:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**School Division:** \_\_\_\_\_ **School Year:** \_\_\_\_\_

### **1. Mission, Vision, and Goals**

*The superintendent works with the local school board to formulate and implement the school division's mission, vision, and goals to promote student academic progress.*

**Areas of strength:**

**Areas needing work/strategies for improving performance:**

### **2. Planning and Assessment**

*The superintendent strategically gathers, analyzes, and uses a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic progress.*

**Areas of strength:**

**Areas needing work/strategies for improving performance:**

### **3. Instructional Leadership**

*The superintendent fosters the success of all teachers, staff, and students by ensuring the development, communication, implementation, and evaluation of effective teaching and learning that leads to student academic progress and school improvement.*

**Areas of strength:**

**Areas needing work/strategies for improving performance:**

|   |
|---|
| <p><b>4. Organizational Leadership and Safety</b><br/><i>The superintendent fosters the safety and success of all teachers, staff, and students by supporting, managing, and evaluating the division's organization, operation, and use of resources.</i></p> <p><b>Areas of strength:</b></p> <p><b>Areas needing work/strategies for improving performance:</b></p> |
| <p><b>5. Communication and Community Relations</b><br/><i>The superintendent fosters the success of all students through effective communication with stakeholders.</i></p> <p><b>Areas of strength:</b></p> <p><b>Areas needing work/strategies for improving performance:</b></p>   |
| <p><b>6. Professionalism</b><br/><i>The superintendent fosters the success of teachers, staff, and students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.</i></p> <p><b>Areas of strength:</b></p> <p><b>Areas needing work/strategies for improving performance:</b></p>  |
| <p><b>7. Divisionwide Student Academic Progress</b><br/><i>The superintendent's leadership results in acceptable, measurable divisionwide student academic progress based on established standards.</i></p> <p><b>Areas of strength:</b></p> <p><b>Areas needing work/strategies for improving performance:</b></p>   |



## **Documentation Evidence**

Evidence of a superintendent's performance can serve as a valuable and insightful data source for documenting the work that superintendents actually do. Documentation provides school boards with information related to specific standards and provides superintendents with an opportunity for self-reflection, demonstration of quality work, and a basis for two-way communication with the board. Documentation can confirm a superintendent's effort to demonstrate exemplary performance, can show continuing work at a proficient level, or can demonstrate progress in response to a previously-identified deficiency. Documentation evidence is maintained by the superintendent and reviewed periodically by the school board.

A sample optional *Documentation Cover Sheet* is provided on the next page.

**SAMPLE Documentation Cover Sheet (optional)**

*Directions: The superintendent should list the items he or she plans to submit as documentation of meeting each performance standard to supplement evidence gathered through other means. This form is optional. Documentation may also need to be supplemented with conversation, discussion, and/or annotations to clarify the superintendent’s practice and process for the evaluator.*

**Superintendent:** \_\_\_\_\_

**School Division:** \_\_\_\_\_ **School Year:** \_\_\_\_\_

| Standard  | Documentation Included |
|---|------------------------|
| <p><b>1. Mission, Vision, and Goals</b><br/> <i>The superintendent works with the local school board to formulate and implement the school division’s mission, vision, and goals to promote student academic progress.</i></p>  |                        |
| <p><b>2. Planning and Assessment</b><br/> <i>The superintendent strategically gathers, analyzes, and uses a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic progress.</i></p>                            |                        |
| <p><b>3. Instructional Leadership</b><br/> <i>The superintendent fosters the success of all teachers, staff, and students by ensuring the development, communication, implementation, and evaluation of effective teaching and learning that leads to student academic progress and school improvement.</i></p> |                        |

| Standard   | Documentation Included |
|--|------------------------|
| <p><b>4. Organizational Leadership and Safety</b><br/> <i>The superintendent fosters the safety and success of all teachers, staff, and students by supporting, managing, and evaluating the division’s organization, operation, and use of resources.</i></p> |                        |
| <p><b>5. Communication and Community Relations</b><br/> <i>The superintendent fosters the success of all students through effective communication with stakeholders.</i></p>   |                        |
| <p><b>6. Professionalism</b><br/> <i>The superintendent fosters the success of teachers, staff, and students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.</i></p>  |                        |
| <p><b>7. Divisionwide Student Academic Progress</b><br/> <i>The superintendent’s leadership results in acceptable, measurable divisionwide student academic progress based on established standards.</i></p>   |                        |

## Client Survey

Some would suggest that all members of the community should have an opportunity to provide feedback data for the board to consider in evaluating the superintendent. One consideration in collecting data using a community survey is cost. However, the real challenge is to collect such data so that it meets the tests of logic, reliability, and fairness. Some members of the community will be able to provide information based on personal experience(s) with the schools. For example, those who have children in the schools, who are involved in community organizations that use school facilities, who work in public service agencies, or who are public officials who interface with the school division in various ways may be able to provide such feedback. Community surveys of such individuals have the potential to provide data that meet the tests if they are well conceived, properly administered, and interpreted. Surveys that produce results within reasonable margins of error often are very expensive. Unless they are executed properly, the validity of the results may be questionable. Therefore, surveys should be used sparingly and only for formative purposes. Any such results also should constitute only one component in the superintendent's evaluation system. An optional *Client Survey* is shown on the next page. A divisionwide survey could be used in lieu of a client survey. A *Survey Summary Form* that could be included as part of a superintendent's documentation evidence is included on the subsequent page.

*Note:* Thoughtful consideration should be given to how client surveys are to be used if, indeed, they are used as a relevant data source for superintendent evaluation. For example, surveys should never be administered in a selective, non-random manner; otherwise, the results will be skewed in an unreasonable and non-representative manner. Additionally, the rules for applying client surveys should be determined in advance of the start of the evaluation cycle. Two basic methods to consider for applying surveys are: 1) as an accountability-focused data source in which the surveys are carefully and fairly administered, scored, and analyzed; or 2) as a formative tool for the professional growth of the superintendent in which the surveys are administered properly, but scored and analyzed by the superintendent, with only a summary report shared with the school board or others.

**SAMPLE Client Survey (optional)**

The purpose of this survey is to allow you to give the superintendent ideas about the quality of his or her performance. The information will be used for improvement purposes.

*Directions: DO NOT PUT YOUR NAME ON THIS SURVEY. Listed below are several statements about the superintendent. Check your response to each statement in the appropriate column. If you wish to comment, please write your comments in the space after the items.*

\_\_\_\_ Superintendent's Name                      \_\_\_\_\_ School Division                      \_\_\_\_\_ School Year

Respondent: \_\_\_ Parent    \_\_\_ Community Member    \_\_\_ Public Official    \_\_\_ Other (explain)

| <b>The superintendent...</b>  | <b>Cannot Judge</b> | <b>Strongly Disagree</b> | <b>Disagree</b> | <b>Agree</b> | <b>Strongly Agree</b> |
|---|---------------------|--------------------------|-----------------|--------------|-----------------------|
| 1. Provides effective leadership  | 0                   | 1                        | 2               | 3            | 4                     |
| 2. Involves parents and the community in the identification and accomplishment of school division goals | 0                   | 1                        | 2               | 3            | 4                     |
| 3. Maintains visibility   | 0                   | 1                        | 2               | 3            | 4                     |
| 4. Demonstrates effective communication skills  | 0                   | 1                        | 2               | 3            | 4                     |
| 5. Develops and communicates a vision for the school division   | 0                   | 1                        | 2               | 3            | 4                     |
| 6. Participates in community activities   | 0                   | 1                        | 2               | 3            | 4                     |
| 7. Encourages the use of community resources and volunteer services                                     | 0                   | 1                        | 2               | 3            | 4                     |
| 8. Is approachable and accessible   | 0                   | 1                        | 2               | 3            | 4                     |
| 9. Is a positive ambassador for the school division   | 0                   | 1                        | 2               | 3            | 4                     |
| 10. Handles crises in a calm and effective manner   | 0                   | 1                        | 2               | 3            | 4                     |
| 11. Uses sound financial management practices   | 0                   | 1                        | 2               | 3            | 4                     |
| 12. Provides for two-way communication  | 0                   | 1                        | 2               | 3            | 4                     |
| 13. Is sensitive to the needs of all constituencies in our community                                    | 0                   | 1                        | 2               | 3            | 4                     |
| 14. Demonstrates a professional demeanor  | 0                   | 1                        | 2               | 3            | 4                     |
| 15. Promotes continuous student achievement and school improvement                                      | 0                   | 1                        | 2               | 3            | 4                     |

COMMENTS:

### **SAMPLE Survey Summary Form**

**Superintendent's Name:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**School Division:** \_\_\_\_\_

**School Year:** \_\_\_\_\_

*Directions: Superintendents should tabulate and analyze the client surveys and provide a summary of the results. This may be included as part of the superintendent's documentation.*

1. How many surveys did you distribute?
2. How many completed surveys were returned?
3. What is the percentage of completed questionnaires you received? \_\_\_\_\_%

#### ***Client Satisfaction Analysis***

4. Describe your survey population(s).
5. List factors that might have influenced the results.
6. Analyze survey responses and answer the following questions:
  - A) What did clients perceive as your major strengths?
  
  
  
  
  
  
  
  
  
  
  - B) What did clients perceive as your major weaknesses?
  
  
  
  
  
  
  
  
  
  
  - C) How can you use this information for continuous professional growth?

## **Part 4: Connecting Superintendent Performance to Divisionwide Student Academic Progress**

Measures of student learning are vitally important in judging the effectiveness of superintendents, but they should never serve as the sole source for evaluating performance. Gains in student learning should be used as only one component in the superintendent evaluation system. The use of student academic measures requires pre- and post-assessments using reliable and valid instruments to determine progress. While there is a place and purpose for fixed standards, such as learning to read at an acceptable level, fixed standards, such as SOL tests, must be regarded carefully when applied to the superintendent's evaluation. Repeated measures of student learning over time enhance reliability from a statistical point of view and credibility from a decision-making perspective.

### **Why Connect Superintendent Performance to Divisionwide Student Academic Progress?**

The research on student academic progress focuses on both testing and assessment. Research indicates that there is a statistically significant difference in student achievement based on the quality of division-level leadership.<sup>22</sup> The increasing demand for accountability makes it no longer plausible that a superintendent goes before the school board or media, and simply claims that the division is doing a great job in educating students. Superintendents must have the skills to explain how well the students compare to others in the state and nation. Additionally, they must be able to articulate how much students have *increased* in valid and appropriate learning measures. The superintendent must be a linchpin in monitoring and evaluating student achievement and student progress on the basis of objectives and expected student outcomes. Therefore, one of the greatest pressures on school superintendents is to obtain higher performance on high-stakes tests from the schools in their division.<sup>23</sup>

Superintendents must be skilled in responding to accountability demands, from state legislators state department of education, and the local school board, with strategies to meet benchmarks, and help promote a more comprehensive and inclusive learning environment in the school division. There is a delicate balance between following the vision of higher student performance, and the professional and personal concerns of students, staff, and community.<sup>24</sup> Supportive superintendents can influence classrooms through the establishment of mechanisms that can make improved teaching and learning a reality. As an instructional leader, the superintendent should: incorporate research findings on learning and instruction, instructional time, and resources to maximize student outcomes; apply best practices in the integration of curriculum and resources; and employ assessment strategies to help all students achieve high levels of success.<sup>25</sup>

## **Implementation Concerns**

The role of a superintendent requires a performance evaluation system that acknowledges the contextual nature and complexities of the job. When deciding how to include student academic progress in superintendent evaluation, local school boards need to be aware of several implementation concerns:

- The increased focus on using student learning measures in superintendent evaluation may be new for some superintendents and their evaluators. Thus, there may be initial concerns to this change in evaluation practices.
- Many of the measures of student academic progress are directly tied to classroom and school-level initiatives, which may cause concern. Thus, school boards will need to carefully consider how to use student growth percentiles and other quantitative measures of academic progress in a way that is appropriate for assessing the overall performance of the school division as part of the superintendent's evaluation.

## **Virginia Law**

The *Code of Virginia* requires that school boards' procedures for evaluating superintendents address student academic progress; how this requirement is met is the responsibility of local school boards. The *Guidelines for Uniform Performance Standards and Evaluation Criteria for Superintendents* recommend that each superintendent receive a summative evaluation rating, and that the rating be determined by weighting the first six standards equally at 10 percent each, and that the seventh standard, Student Academic Progress, account for 40 percent of the summative evaluation.

## **Methods for Connecting Student Performance to Superintendent Evaluation**

The *Uniform Performance Standards and Evaluation Criteria* incorporate student academic progress as a significant component of the evaluation while encouraging local flexibility in implementation. These guidelines recommend that student academic progress account for 40 percent of a superintendent's summative evaluation. Student growth percentiles are recommended to be incorporated, when appropriate, into goal setting, which is discussed in the next section.

## **Goal Setting**

One approach to linking student academic progress to superintendent performance involves building the capacity for superintendents to interpret and use student achievement data to set target goals for divisionwide student improvement. Setting goals -- not just any goals, but goals set squarely on student performance -- is a powerful way to enhance professional performance and, in turn, positively impact student academic progress. Whenever possible, it is recommended that the goals be grounded in validated, quantitative, objective measures, using tools already available, such as state performance benchmarks.



The school board, in conjunction with the superintendent, can set annual division goals for the superintendent that are congruent with the division's needs and concerns and are balanced across grades and school levels, as appropriate. The goals then can be reviewed and adjusted as necessary. It is important for the school board and superintendent to think through the shorter-term goals that are needed to address longer-term outcomes and for the school board to recognize and account for the time it takes for initiatives to be realized. Goal setting should occur at the beginning of the superintendent's contract year and the superintendent should report on progress in achieving the goals at regular intervals throughout the evaluation process. This provides a valuable forum for board/superintendent dialogue. Indicators of goal attainment include documentation via the superintendent's oral and written reports as well as other division data that may reflect goal achievement. A sample *Superintendent's Annual Goals* form is shown later in this section.

### ***Examples of Measures of Divisionwide Student Academic Progress***

To be able to measure goal attainment, superintendents must identify valid measures of student academic progress appropriate to their school division student population's learning needs and priorities. School boards and superintendents should develop mutually agreed-upon measures to include in the evaluation to best reflect the priorities of the division. Quantitative measures of student academic progress based on validated achievement measures that already are being used locally should be the first data considered when determining local progress measures. Additionally, it is important that multiple, relevant measures be used.

There are several important considerations when identifying multiple measures. The measures may focus on:

- All student performance and subgroup performance;
- Specific areas of need;
- Alignment with the strategic plan; and
- Topics/indicators across grade levels.

Figure 4.1 shows suggested focus areas for goal setting that provide measures of divisionwide student academic progress that focus on school division improvement. (*Note:* This is not intended as an exhaustive list. Each school board should determine valid measures that are appropriate for each unique school division.)

Figure 4.1: *Examples of Measures of Divisionwide Student Academic Progress*

| Category                                     | Measure   | Early elementary school* | Upper elementary school | Middle school | High school |
|--|---|--------------------------|-------------------------|---------------|-------------|
| <b>All students' academic progress</b>       | • Progress on SOL assessments   | ✓                        | ✓                       | ✓             | ✓           |
|  | • Improvement on advanced pass rates on SOL assessments   | ✓                        | ✓                       | ✓             | ✓           |
|  | • Increase percentage of middle school students taking high school-level courses  |                          |                         | ✓             |             |
|  | • Improvements in high school graduation rates  |                          |                         |               | ✓           |
| <b>Subgroups and other student groupings</b> | • English Language Learners progress on English language proficiency assessment   | ✓                        | ✓                       | ✓             | ✓           |
|  | • Increase percentage of students with disabilities earning Standard and Advanced Studies diplomas  |                          |                         |               | ✓           |
|  | • Increase achievement of economically disadvantaged  | ✓                        | ✓                       | ✓             | ✓           |
|  | • Subgroups making increased academic progress  | ✓                        | ✓                       | ✓             | ✓           |
|  | • Decrease in achievement gap in subgroups  | ✓                        | ✓                       | ✓             | ✓           |
|  | • Increase in achievement of Individualized Education Plan goals  | ✓                        | ✓                       | ✓             | ✓           |
|  | • Improvements in underperforming subgroups earning high school diploma   |                          |                         |               | ✓           |
| <b>College and Career Readiness</b>          | • Participation and success in AP and dual enrollment courses   |                          |                         |               | ✓           |
|  | • Enrollment and achievement in postsecondary education   |                          |                         |               | ✓           |
|  | • Increase percentage of students earning career and technical industry certification, state licenses, or successful national occupational assessment credentials |                          |                         |               | ✓           |
| <b>Reading/Literacy Readiness</b>            | • On track indicators such as Phonological Awareness Literacy Screening or similar measures available locally   | ✓                        | ✓                       | ✓             | ✓           |
|  | • SOL test outcomes   | ✓                        | ✓                       | ✓             | ✓           |
|  | • Benchmark outcomes  | ✓                        | ✓                       | ✓             | ✓           |
| <b>Mathematics Readiness</b>                 | • Progress on Algebra readiness assessments such as the Algebra Readiness Diagnostic Test   |                          |                         | ✓             | ✓           |
|  | • Enrollment and success in Algebra I by eighth grade   |                          |                         | ✓             |             |
|  | • SOL test outcomes   | ✓                        | ✓                       | ✓             | ✓           |
|  | • Benchmark outcomes  | ✓                        | ✓                       | ✓             | ✓           |

| Category                                   | Measure   | Early elementary school* | Upper elementary school | Middle school | High school |
|--|---|--------------------------|-------------------------|---------------|-------------|
| <b>STEM Education</b>                      | <ul style="list-style-type: none"> <li>• Increase percentage of underrepresented students taking advanced STEM courses</li> </ul>   |                          |                         |               | ✓           |
| <b>Student Progress</b>                    | <ul style="list-style-type: none"> <li>• Reduced retention rates resulting from increased student achievement outcomes</li> <li>• Increased percentage of schools in division where majority of students earn high or moderate growth percentiles**</li> <li>• Of students who had low growth the previous year, increase the percentage earning high or moderate student growth percentiles**</li> </ul> | ✓                        | ✓                       | ✓             | ✓           |
| <b>Student Nonacademic Core Activities</b> | <ul style="list-style-type: none"> <li>• Increase percentage of students involved in extracurricular activities</li> <li>• Increase percentage of students receiving prestigious awards</li> </ul>  |                          | ✓                       | ✓             | ✓           |
|  |   | ✓                        | ✓                       | ✓             | ✓           |

\*May include preK

\*\*Use of student growth percentiles or other relative measures of student academic progress in aggregate across the division (e.g., a median growth percentile across the division) is not likely to result in a fair measure of student academic progress in larger divisions. Because student growth percentile is a relative growth measure, when there are large groups of students, the data generally will approximate the standard percentile distribution. Thus, a stellar superintendent in a large school division would not have the same opportunity to demonstrate strong academic progress on the student growth percentile measure that a superintendent in a much smaller school division would.

Sample: Superintendent's Annual Goals

### Sample: Superintendent's Annual Goals

*Directions: This form is a tool to assist superintendents in setting goals that result in measurable divisionwide student academic progress. Goals may relate to other standards, but all goals should address Standard 7 as well. Use a separate sheet for each goal.*

**Superintendent:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**School Division:** \_\_\_\_\_ **School Year:** \_\_\_\_\_

**Preliminary approval granted by school board on:** \_\_\_\_\_

**Mid-year review conducted by school board on:** \_\_\_\_\_

**Year-end review conducted by school board on:** \_\_\_\_\_

|   |  |
|---|--|
| <b>Goal:</b>  |  |
| Check the standard(s) to which the goal relates   |  |
| <input type="checkbox"/> 1. Mission, Vision, and Goals <input type="checkbox"/> 2. Planning and Assessment <input type="checkbox"/> 3. Instructional Leadership |  |
| <input type="checkbox"/> 4. Organizational Leadership and Safety <input type="checkbox"/> 5. Communication and Community Relations                              |  |
| <input type="checkbox"/> 6. Professionalism <input checked="" type="checkbox"/> 7. Divisionwide Student Academic Progress                                       |  |
| Expected term to completion: <input type="checkbox"/> Short-term <input type="checkbox"/> Mid-term <input type="checkbox"/> Long-term                           |  |
| <b>Indicators of Success</b>  | <b>Mid-Year Assessment of Goal by School Board</b> |
|   |  |
|   | <b>Evidence to Date</b>                            |
|   |  |

\_\_\_\_\_  
Evaluator's Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Evaluator's Name

## **Part 5: Rating Superintendent Performance**

The role of a superintendent requires a performance evaluation system that acknowledges the contextual nature and complexities of the job. For an evaluation system to be meaningful, it must provide its users with relevant and timely feedback. To facilitate this, school boards should conduct both formative assessments and summative evaluations of superintendents.

### **Formative Assessment**

Formative assessment can provide valuable information to superintendents. At any point during the year, the school board has the option to share its assessment of the superintendent's performance by discussing evidence related to the seven standards. An optional *Superintendent Formative Assessment Performance Report* is provided on the following pages. It should be noted that this report does not include an actual rating in any of the performance standards.

## **SAMPLE Superintendent Formative Assessment Performance Report** *(optional)*

*Note: The formative assessment form is included as an option to be used if it is determined to be in the best interest of the local school division.*

*Directions: Use this form to comment on evidence related to the standards. Evaluators may use multiple formative assessment forms, as applicable.*

**Superintendent:** \_\_\_\_\_

**Date:** \_\_\_\_\_

**Evaluator:** \_\_\_\_\_

|   |
|---|
| <p><b>Performance Standard 1: Mission, Vision, and Goals</b><br/><i>The superintendent works with the local school board to formulate and implement the school division's mission, vision, and goals to promote student academic progress.</i></p> <p><b>Comments:</b></p>  |
| <p><b>Performance Standard 2: Planning and Assessment</b><br/><i>The superintendent strategically gathers, analyzes, and uses a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic progress.</i></p> <p><b>Comments:</b></p>                            |
| <p><b>Performance Standard 3: Instructional Leadership</b><br/><i>The superintendent fosters the success of all teachers, staff, and students by ensuring the development, communication, implementation, and evaluation of effective teaching and learning that leads to student academic progress and school improvement.</i></p> <p><b>Comments:</b></p> |
| <p><b>Performance Standard 4: Organizational Leadership and Safety</b><br/><i>The superintendent fosters the safety and success of all teachers, staff, and students by supporting, managing, and evaluating the division's organization, operation, and use of resources.</i></p> <p><b>Comments:</b></p>  |
| <p><b>Performance Standard 5: Communication and Community Relations</b><br/><i>The superintendent fosters the success of all students through effective communication with stakeholders.</i></p> <p><b>Comments:</b></p>  |

|   |
|---|
| <p><b>Performance Standard 6: Professionalism</b><br/><i>The superintendent fosters the success of teachers, staff, and students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.</i></p> <p><b>Comments:</b></p>         |
| <p><b>Performance Standard 7: Divisionwide Student Academic Progress</b><br/><i>The superintendent's leadership results in acceptable, measurable divisionwide student academic progress based on established standards.</i><br/><i>See Superintendent's Annual Goal for details.</i></p> <p><b>Comments:</b></p> |

**Commendations:**

**Areas of Growth:**

Superintendent's Name: \_\_\_\_\_

Superintendent's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Evaluator's Name: \_\_\_\_\_

Evaluator's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## Summative Evaluation

Assessment of performance quality occurs only at the summative evaluation stage, which comes at the end of the evaluation cycle. The ratings for each performance standard are based on multiple sources of information and are completed only after pertinent data from all sources are reviewed. The integration of data provides the evidence used to determine the performance ratings for the summative evaluations for all superintendents.

There are two major considerations in assessing job performance during summative evaluation: 1) the actual performance standards, and 2) how well they are performed. The performance standards and performance indicators provide a description of well-defined expectations.

## Definitions of Ratings

The rating scale provides a description of four levels of how well the standards (i.e., duties) are performed on a continuum from “Exemplary” to “Unacceptable.” The use of the scale enables school boards to acknowledge effective performance (i.e., “Exemplary” and “Proficient”) and provides two levels of feedback for superintendents not meeting expectations (i.e., “Developing/Needs Improvement” and “Unacceptable”). The definitions in Figure 5.1 offer general descriptions of the ratings. *PLEASE NOTE: Ratings are applied to the seven performance standards and as an overall summative rating, not to performance indicators.*

Figure 5.1: *Definitions of Terms Used in Rating Scale*

| Category   | Description   | Definition   |
|------------|---|--|
| Exemplary  | The superintendent performing at this level maintains performance, accomplishments, and behaviors that consistently and considerably surpass the established performance standard, and does so in a manner that exemplifies the division’s mission and goals. This rating is reserved for performance that is truly exemplary and is demonstrated with significant student academic progress. | Exceptional performance: <ul style="list-style-type: none"> <li>• sustains high performance over the evaluation cycle</li> <li>• empowers principals, teachers and students and consistently exhibits behaviors that have a strong positive impact on student academic progress and the school division climate</li> <li>• serves as a role model to others</li> </ul>                       |
| Proficient | The superintendent meets the performance standard in a manner that is consistent with the division’s mission and goals and has a positive impact on student academic progress.  | Effective performance: <ul style="list-style-type: none"> <li>• consistently meets the requirements contained in the job description as expressed in the evaluation criteria</li> <li>• engages teachers and exhibits behaviors that have a positive impact on student academic progress and the school climate</li> <li>• demonstrates willingness to learn and apply new skills</li> </ul> |



| Category                         | Description   | Definition  |
|----------------------------------|---|---|
| Developing/<br>Needs Improvement | The superintendent is starting to exhibit desirable traits related to the standard, but has not yet reached the full level of proficiency expected (i.e., developing) or the superintendent's performance is lacking in a particular area (i.e., needs improvement). The superintendent often performs less than required in the established performance standard or in a manner that is inconsistent with the division's mission and goals and results in below average student academic progress. | Below acceptable performance: <ul style="list-style-type: none"> <li>requires support in meeting the standards</li> <li>results in less than expected quality of student academic progress</li> <li>requires superintendent professional growth be jointly identified and planned between the superintendent and school board</li> </ul>                  |
| Unacceptable                     | The superintendent consistently performs below the established performance standard or in a manner that is inconsistent with the school division's mission and goals and results in minimal student academic progress.  | Ineffective performance: <ul style="list-style-type: none"> <li>does not meet the requirements contained in the job description as expressed in the evaluation criteria</li> <li>results in minimal student academic progress</li> <li>may contribute to a recommendation for the superintendent not being considered for continued employment</li> </ul> |

## How a Performance Rubric Works

Evaluators have two tools to guide their judgments for rating superintendents' performance for the summative evaluation: 1) the sample performance indicators, and 2) the performance rubric.

### *Sample Performance Indicators*

Performance indicators are used in the evaluation system to identify, in observable behaviors, performance of the major job standards. They were introduced in Part 2, and examples are provided again in this section.

### *Performance Rubric*

The performance rubric is a behavioral summary scale that describes acceptable performance levels for each of the seven performance standards. It states the measure of performance expected of superintendents and provides a general description of what a rating entails. The rating scale is applied for the summative evaluation of superintendents. The performance rubrics guide evaluators in assessing *how well* a standard is performed. They are provided to increase reliability among evaluators and to help superintendents to focus on ways to enhance their leadership practices. ***Please note: The rating of "Proficient" is the expected level of performance. A superintendent who is new to the division or position may be considered "developing" in a standard. Additionally, the recommended performance rubrics presented here may be modified at the discretion of the school board.***

Figure 5.2: Example of a Performance Rubric

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>  | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>  | <b>Developing/Needs Improvement</b>  | <b>Unacceptable</b>  |
|---|---|--|--|
| The superintendent proactively seeks out research on the effective use of assessment data and ensures division personnel are aware of relevant findings and are using data to improve instructional programs, resulting in improved student academic performance. | The superintendent strategically gathers, analyzes, and uses a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic progress. | The superintendent has not reached a level of proficiency in gathering, analyzing, and using a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic success. | The superintendent does not gather, analyze, and use a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic success. |

***Performance Rubrics for Performance Standards***

Superintendents are evaluated on the performance standards using the following performance appraisal rubrics:

**Performance Standard 1: Mission, Vision, and Goals**

*The superintendent works with the local school board to formulate and implement the school division's mission, vision, and goals to promote student academic progress.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 1.1 Works with the school board to develop and recommend policies that define organizational expectations, and effectively communicates these to all stakeholders.
- 1.2 Promotes a climate of mutual respect, trust, and professionalism with the school board and staff.
- 1.3 Keeps the school board informed on needs and issues confronting school division employees and students.
- 1.4 Supports and enforces all school board policies and informs all constituents of changes to the policies.
- 1.5 Functions as the primary instructional leader for the school division, seeking out and relying on support from staff as necessary when advising the school board.
- 1.6 Oversees the administration of the school division's day-to-day operations.
- 1.7 Works with all individuals, groups, agencies, committees, and organizations to provide and maintain schools that are safe and productive.
- 1.8 Delegates authority and responsibility to other employees as needs and opportunities arise.
- 1.9 Recommends policy additions or modifications to improve student learning and division effectiveness.

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>  | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>   | <b>Developing/Needs Improvement</b>  | <b>Unacceptable</b>  |
|---|--|--|--|
| The superintendent establishes a highly productive relationship with the local school board to formulate and implement the school division's mission, vision, and goals to promote student academic progress. | The superintendent works with the local school board to formulate and implement the school division's mission, vision, and goals to promote student academic progress. | The superintendent has not reached a level of proficiency in working with the local school board to formulate and implement the school divisions, mission, vision, and goals to promote student academic progress. | The superintendent does not work with the local school board to formulate and implement the school divisions, mission, vision, and goals to promote student academic progress. |

**Performance Standard 2: Planning and Assessment**

*The superintendent strategically gathers, analyzes, and uses a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic progress.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 2.1 Provides leadership in the development of a shared vision for educational improvement that inspires employees to work collaboratively.
- 2.2 Organizes the collaborative development and implementation of a division strategic plan based on analysis of data from a variety of sources.
- 2.3 Works collaboratively to develop long- and short-range goals and objectives consistent with the strategic plan and monitors progress in achieving the goals and objectives.
- 2.4 Seeks and utilizes human and material resources outside the division that may support and/or enhance the achievement of goals and objectives.
- 2.5 Uses research-based techniques to analyze and apply data gathered from division improvement measurements that include student assessment results and staff implementation practices.
- 2.6 Collaboratively identifies needs, determines priorities, and assesses program implementation using researched-based instructional practices that result in student learning.
- 2.7 Plans, implements, supports, and assesses instructional programs that enhance teaching and student achievement such that the school division and all schools meet all required federal and state standards.
- 2.8 Applies and communicates findings to all stakeholders to ensure continuous improvement.

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>  | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>  | <b>Developing/Needs Improvement</b>  | <b>Unacceptable</b>  |
|---|---|--|--|
| The superintendent proactively seeks out research on the effective use of assessment data and ensures division personnel are aware of relevant findings and are using data to improve instructional programs, resulting in improved student academic performance. | The superintendent strategically gathers, analyzes, and uses a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic progress. | The superintendent has not reached a level of proficiency in gathering, analyzing, and using a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic success. | The superintendent does not gather, analyze, and use a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic success. |

**Performance Standard 3: Instructional Leadership**

*The superintendent fosters the success of all teachers, staff, and students by ensuring the development, communication, implementation, and evaluation of effective teaching and learning that leads to student academic progress and school improvement.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 3.1 Communicates a clear vision of excellence and continuous improvement consistent with the goals of the school division.
- 3.2 Directs staff to set specific and challenging, but attainable goals for higher performance that result in improved student learning.
- 3.3 Oversees the alignment, coordination, and delivery of assigned programs and curricular areas such that the school division and all schools meet all required federal, state, and local standards.
- 3.4 Assesses factors affecting student achievement and directs change for needed improvements.
- 3.5 Ensures that curricular design, instructional strategies, and learning environments integrate appropriate technologies to maximize student learning.
- 3.6 Explores, disseminates, and applies knowledge and information about new or improved instructional strategies or related issues.
- 3.7 Works with the school board, staff, and community representatives to identify needs and determine priorities regarding program delivery.
- 3.8 Provides direction and support in planning and implementing activities and programs consistent with continuous improvement efforts and attainment of instructional goals.
- 3.9 Provides staff development programs consistent with program evaluation results and school instructional improvement plans.

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>  | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>   | <b>Developing/Needs Improvement</b>   | <b>Unacceptable</b>   |
|---|--|---|---|
| <p>The superintendent actively and consistently employs innovative and effective leadership strategies that empower teachers, maximize student academic progress, and result in effective teaching and learning that reflects excellence.</p> | <p>The superintendent fosters the success of all teachers, staff, and students by ensuring the development, communication, implementation, and evaluation of effective teaching and learning that leads to student academic progress and school improvement.</p> | <p>The superintendent has not reached a level of proficiency in fostering the success of all teachers, staff, and student students by facilitating the development, communication, implementation, or evaluation of effective teaching and learning that leads to student academic progress and school improvement.</p> | <p>The superintendent does not foster the success of all teachers, staff, and students by facilitating the development, communication, implementation, or evaluation of effective teaching and learning that leads to student academic progress and school improvement.</p> |

**Performance Standard 4: Organizational Leadership and Safety**

*The superintendent fosters the safety and success of all teachers, staff, and students by supporting, managing, and evaluating the division's organization, operation, and use of resources.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 4.1 Identifies, analyzes, and resolves problems using problem-solving techniques.
- 4.2 Facilitates the implementation of research-based theories and techniques of classroom management, student discipline, and school safety to ensure an orderly and positive environment conducive to teaching and learning.
- 4.3 Implements sound personnel procedures in recruiting, employing, and retaining highly qualified and most effective teachers, administrators, and other personnel based on identified needs.
- 4.4 Acquires, allocates, and manages division human, material, and financial resources in compliance with all laws to ensure the effective and equitable support of all of the division's students, schools, and programs.
- 4.5 Demonstrates organizational skills to achieve school, community, and division goals.
- 4.6 Provides staff development for all categories of personnel consistent with individual needs, program evaluation results, and instructional improvement plans.
- 4.7 Plans and implements a systematic performance evaluation system of all employees that provides timely and constructive feedback.
- 4.8 Provides support and resources for staff to improve job performance and recognizes and supports the achievement of highly effective personnel.
- 4.9 Collaborates with stakeholders to develop, assess, and improve procedures and policies that maximize the amount of available time for successful teaching, learning, and professional development.

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>   | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>   | <b>Developing/Needs Improvement</b>   | <b>Unacceptable</b>   |
|--|--|---|---|
| The superintendent is highly effective at organizational management, demonstrating proactive decision-making, coordinating safe, efficient operations, and maximizing available resources. | The superintendent fosters the safety and success of all teachers, staff, and students by supporting, managing, and evaluating the division's organization, operation, and use of resources. | The superintendent has not reached a level of proficiency in supporting, managing, or evaluating the division's organization, operation, safety, or use of resources. | The superintendent inadequately supports, manages, or evaluates the division's organization, operation, safety or use of resources. |

**Performance Standard 5: Communication and Community Relations**

*The superintendent fosters the success of all students through effective communication with stakeholders.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 5.1 Models and promotes effective communication and interpersonal relations within the school division.
- 5.2 Establishes and maintains effective channels of communication with board members and between the schools and community.
- 5.3 Works collaboratively with all stakeholders to secure resources and to support the success of a diverse student population.
- 5.4 Creates an atmosphere of trust and mutual respect with all stakeholders.
- 5.5 Demonstrates the skills necessary to build community support for division goals and priorities.
- 5.6 Uses formal and informal techniques to gather external perceptions and input as a part of the decision-making process.
- 5.7 Brings together groups of different interests into a collaborative effort to respond appropriately to existing and potential problems.
- 5.8 Models and promotes multicultural awareness, gender sensitivity, and the appreciation of diversity in the community.

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>  | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>                              | <b>Developing/Needs Improvement</b>   | <b>Unacceptable</b>   |
|---|---|---|---|
| The superintendent proactively seeks and creates innovative and productive methods to communicate and engage effectively with stakeholders. | The superintendent fosters the success of all students through effective communication with stakeholders. | The superintendent has not reached a level of proficiency in communicating on issues of importance to-stakeholders. | The superintendent demonstrates ineffective or detrimental communication with stakeholders. |



**Performance Standard 6: Professionalism**

*The superintendent fosters the success of teachers, staff, and students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 6.1 Models professional, moral, and ethical standards as well as personal integrity in all interactions.
- 6.2 Works in a collegial and collaborative manner with stakeholders to promote and support the mission and goals of the school division.
- 6.3 Respects and maintains confidentiality and assumes responsibility for personal actions and responds appropriately to actions of others.
- 6.4 Takes responsibility for and participates in a meaningful and continuous process of professional development that results in the enhancement of student learning.
- 6.5 Provides service to the profession, the division, and the community by participating on state and/or national committees, being active in professional and community-based service organizations, and serving as a mentor.
- 6.6 Takes a leadership role and encourages staff to do so as well, by presenting workshops at local, state, regional, or national conferences, authoring publications, or delivering coursework for institutions of higher education.
- 6.7 Maintains a high level of personal knowledge regarding new developments and techniques, and shares the information with appropriate staff.
- 6.8 Networks with colleagues to share knowledge about effective educational practices and to improve and enhance administrative knowledge, skills, and organizational success.
- 6.9 Actively seeks opportunities to stay abreast of the latest research on educational leadership by collaborating with experts in the field.

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>   | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>   | <b>Developing/Needs Improvement</b>   | <b>Unacceptable</b>   |
|--|--|---|---|
| The superintendent demonstrates professionalism through published works, formal presentation(s), and/or formal recognition(s) or award(s). | The superintendent fosters the success of teachers, staff, and students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession. | The superintendent has not reached a level of proficiency in demonstrating professional standards, engaging in continuous professional development, or in contributing to the profession. | The superintendent shows disregard for professional standards and ethics, engaging in continuous professional development, or contributing to the profession. |

**Performance Standard 7: Divisionwide Student Academic Progress**

*The superintendent’s leadership results in acceptable, measurable divisionwide student academic progress based on established standards.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 7.1 Develops, implements, monitors, and updates division action plans that result in increased student academic progress.
- 7.2 Uses appropriate data and applies research to make informed decisions related to student academic progress and division improvement.
- 7.3 Leads staff in conducting an ongoing, detailed analysis of student learning data to provide immediate and appropriate feedback.
- 7.4 Collaborates with division staff to monitor and improve multiple measures of student progress.
- 7.5 Utilizes internal division and external constituent meetings and professional development activities to focus on student progress outcomes.
- 7.6 Provides evidence that students in all subgroups are meeting acceptable and measurable student academic progress.
- 7.7 Demonstrates responsibility for division academic achievement through proactive interactions with parents, staff, and other community stakeholders.
- 7.8 Collaboratively develops, implements, and monitors long- and short-range division achievement goals that address varied student populations.
- 7.9 Sets division benchmarks and implements appropriate strategies and interventions to accomplish desired outcomes.

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>                                   | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>   | <b>Developing/Needs Improvement</b>  | <b>Unacceptable</b>   |
|--|--|--|---|
| The superintendent’s leadership results in a high level of student academic progress with all populations of learners. | The superintendent’s leadership results in acceptable, measurable divisionwide student academic progress based on established standards. | The superintendent’s leadership has not reached a level of proficiency in promoting student academic progress that meets the established standard. | The superintendent’s leadership consistently results in inadequate student academic progress. |

## Performance Rubrics and Summative Evaluation

School boards make judgments about performance of the seven performance standards based on all available evidence. After collecting information gathered through multiple data sources, the school board applies the four-level rating scale to evaluate a superintendent’s performance on all standards for the summative evaluation. Therefore, the summative evaluation represents where the “preponderance of evidence” exists, based on various data sources. Two sample *Superintendent Summative Performance Reports* are provided on the following pages. The results of the evaluation must be discussed with the superintendent at a summative evaluation conference

Summative evaluations should be completed in compliance with the *Code of Virginia* and school division policy. Summative ratings should apply the rating for each of the seven performance standards, with the most significant weight given to Standard 7 - Student Academic Progress. This document suggests that school divisions weight each of the first six standards equally at 10 percent, and that Standard 7 account for 40 percent of the evaluation. In determining the final summative rating, the following approach could be used:

1. Apply numbers 1 (Unacceptable) through 4 (Exemplary) to the rating scale  
 Exemplary = 4  
 Proficient = 3  
 Developing/Needs Improvement = 2  
 Unacceptable = 1;
2. Calculate the weighted contribution of each standard to the summative evaluation; and
3. Add the weighted contribution to achieve the final summative evaluation.

The following tables provide two examples of how this approach would apply.

Figure 5.3: *Example 1 of Weighted Calculations for Superintendent Performance Evaluation*

| Superintendent Performance Standard | Performance Rating | Points | Weight | Weighted Total (Points x Weight) |
|-------------------------------------|--------------------|--------|--------|----------------------------------|
| Standard 1                          | Exemplary          | 4      | 1      | 4                                |
| Standard 2                          | Proficient         | 3      | 1      | 3                                |
| Standard 3                          | Proficient         | 3      | 1      | 3                                |
| Standard 4                          | Proficient         | 3      | 1      | 3                                |
| Standard 5                          | Proficient         | 3      | 1      | 3                                |
| Standard 6                          | Exemplary          | 4      | 1      | 4                                |
| Standard 7                          | Exemplary          | 4      | 4      | 16                               |
| <b>Cumulative Summative Rating</b>  |                    |        |        | <b>36</b>                        |

Based on Virginia Board of Education guidelines, this cumulative score of 36 would translate into an overall rating of “Exemplary.”

Figure 5.4: *Example 2 of Weighted Calculations for Superintendent Performance Evaluation*

| <b>Superintendent Performance Standard</b> | <b>Performance Rating</b>    | <b>Points</b> | <b>Weight</b> | <b>Weighted Total (Points x Weight)</b> |
|--|------------------------------|---------------|---------------|---|
| Standard 1                                 | Proficient                   | 3             | 1             | 3                                       |
| Standard 2                                 | Developing/Needs Improvement | 2             | 1             | 2                                       |
| Standard 3                                 | Proficient                   | 3             | 1             | 3                                       |
| Standard 4                                 | Proficient                   | 3             | 1             | 3                                       |
| Standard 5                                 | Proficient                   | 3             | 1             | 3                                       |
| Standard 6                                 | Developing/Needs Improvement | 2             | 1             | 2                                       |
| Standard 7                                 | Proficient                   | 3             | 4             | 12                                      |
| <b>Cumulative Summative Rating</b>         |                              |               |               | <b>28</b>                               |

Based on Virginia Board of Education guidelines, this cumulative score of 28 would translate into an overall rating of “Proficient.”

## SAMPLE Superintendent Summative Performance Report Option A

*Directions: Evaluators use this form prior to provide the superintendent with an assessment of performance. The superintendent should be given a copy of the form at the end of each evaluation cycle.*

**Superintendent:** \_\_\_\_\_ **School Year(s):** \_\_\_\_\_

**School:** \_\_\_\_\_

|  |
|--|
| <p><b>Performance Standard 1: Mission, Vision, and Goals</b><br/> <i>The superintendent works with the local school board to formulate and implement the school division's mission, vision, and goals to promote student academic progress.</i></p>  |
| <p><b>Sample Performance Indicators</b><br/> <i>Examples may include, but are not limited to:</i></p> <p><b>The superintendent:</b></p> <ol style="list-style-type: none"> <li>1.1 Works with the school board to develop and recommend policies that define organizational expectations, and effectively communicates these to all stakeholders.</li> <li>1.2 Promotes a climate of mutual respect, trust, and professionalism with the school board and staff.</li> <li>1.3 Keeps the school board informed on needs and issues confronting school division employees and students.</li> <li>1.4 Supports and enforces all school board policies and informs all constituents of changes to the policies.</li> <li>1.5 Functions as the primary instructional leader for the school division, seeking out and relying on support from staff as necessary when advising the school board.</li> <li>1.6 Oversees the administration of the school division's day-to-day operations.</li> <li>1.7 Works with all individuals, groups, agencies, committees, and organizations to provide and maintain schools that are safe and productive.</li> <li>1.8 Delegates authority and responsibility to other employees as needs and opportunities arise.</li> <li>1.9 Recommends policy additions or modifications to improve student learning and division effectiveness.</li> </ol> <p><b>Comments:</b></p><br><br><br><p><b>RATING:</b> <input type="checkbox"/> Exemplary <input type="checkbox"/> Proficient <input type="checkbox"/> Developing/Needs Improvement <input type="checkbox"/> Unacceptable</p> |

**Performance Standard 2: Planning and Assessment**

*The superintendent strategically gathers, analyzes, and uses a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic progress.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 2.1 Provides leadership in the development of a shared vision for educational improvement that inspires employees to work collaboratively.
- 2.2 Organizes the collaborative development and implementation of a division strategic plan based on analysis of data from a variety of sources.
- 2.3 Works collaboratively to develop long- and short-range goals and objectives consistent with the strategic plan and monitors progress in achieving the goals and objectives.
- 2.4 Seeks and utilizes human and material resources outside the division that may support and/or enhance the achievement of goals and objectives.
- 2.5 Uses research-based techniques to analyze and apply data gathered from division improvement measurements that include student assessment results and staff implementation practices.
- 2.6 Collaboratively identifies needs, determines priorities, and assesses program implementation using researched-based instructional practices that result in student learning.
- 2.7 Plans, implements, supports, and assesses instructional programs that enhance teaching and student achievement such that the school division and all schools meet all required federal and state standards.
- 2.8 Applies and communicates findings to all stakeholders to ensure continuous improvement.

**Comments:**

**RATING:**  Exemplary  Proficient  Developing/Needs Improvement  Unacceptable

**Performance Standard 3: Instructional Leadership**

*The superintendent fosters the success of all teachers, staff, and students by ensuring the development, communication, implementation, and evaluation of effective teaching and learning that leads to student academic progress and school improvement.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 3.1 Communicates a clear vision of excellence and continuous improvement consistent with the goals of the school division.
- 3.2 Directs staff to set specific and challenging, but attainable goals for higher performance that result in improved student learning.
- 3.3 Oversees the alignment, coordination, and delivery of assigned programs and curricular areas such that the school division and all schools meet all required federal, state, and local standards.
- 3.4 Assesses factors affecting student achievement and directs change for needed improvements.
- 3.5 Ensures that curricular design, instructional strategies, and learning environments integrate appropriate technologies to maximize student learning.
- 3.6 Explores, disseminates, and applies knowledge and information about new or improved instructional strategies or related issues.
- 3.7 Works with the school board, staff, and community representatives to identify needs and determine priorities regarding program delivery.
- 3.8 Provides direction and support in planning and implementing activities and programs consistent with continuous improvement efforts and attainment of instructional goals.
- 3.9 Provides staff development programs consistent with program evaluation results and school instructional improvement plans.

**Comments:**

**RATING:**  Exemplary  Proficient  Developing/Needs Improvement  Unacceptable

**Performance Standard 4: Organizational Leadership and Safety**

*The superintendent fosters the safety and success of all teachers, staff, and students by supporting, managing, and evaluating the division's organization, operation, and use of resources.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 4.1 Identifies, analyzes, and resolves problems using problem-solving techniques.
- 4.2 Facilitates the implementation of research-based theories and techniques of classroom management, student discipline, and school safety to ensure an orderly and positive environment conducive to teaching and learning.
- 4.3 Implements sound personnel procedures in recruiting, employing, and retaining highly qualified and most effective teachers, administrators, and other personnel based on identified needs.
- 4.4 Acquires, allocates, and manages division human, material, and financial resources in compliance with all laws to ensure the effective and equitable support of all of the division's students, schools, and programs.
- 4.5 Demonstrates organizational skills to achieve school, community, and division goals.
- 4.6 Provides staff development for all categories of personnel consistent with individual needs, program evaluation results, and instructional improvement plans.
- 4.7 Plans and implements a systematic performance evaluation system of all employees that provides timely and constructive feedback.
- 4.8 Provides support and resources for staff to improve job performance and recognizes and supports the achievement of highly effective personnel.
- 4.9 Collaborates with stakeholders to develop, assess, and improve procedures and policies that maximize the amount of available time for successful teaching, learning, and professional development.

**Comments:**

**RATING:**  Exemplary  Proficient  Developing/Needs Improvement  Unacceptable



**Performance Standard 5: Communication and Community Relations**

*The superintendent fosters the success of all students through effective communication with stakeholders.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 5.1 Models and promotes effective communication and interpersonal relations within the school division.
- 5.2 Establishes and maintains effective channels of communication with board members and between the schools and community.
- 5.3 Works collaboratively with all stakeholders to secure resources and to support the success of a diverse student population.
- 5.4 Creates an atmosphere of trust and mutual respect with all stakeholders.
- 5.5 Demonstrates the skills necessary to build community support for division goals and priorities.
- 5.6 Uses formal and informal techniques to gather external perceptions and input as a part of the decision-making process.
- 5.7 Brings together groups of different interests into a collaborative effort to respond appropriately to existing and potential problems.
- 5.8 Models and promotes multicultural awareness, gender sensitivity, and the appreciation of diversity in the community.

**Comments:**

**RATING:**  Exemplary  Proficient  Developing/Needs Improvement  Unacceptable

**Performance Standard 6: Professionalism**

*The superintendent fosters the success of teachers, staff, and students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 6.1 Models professional, moral, and ethical standards as well as personal integrity in all interactions.
- 6.2 Works in a collegial and collaborative manner with stakeholders to promote and support the mission and goals of the school division.
- 6.3 Respects and maintains confidentiality and assumes responsibility for personal actions and responds appropriately to actions of others.
- 6.4 Takes responsibility for and participates in a meaningful and continuous process of professional development that results in the enhancement of student learning.
- 6.5 Provides service to the profession, the division, and the community by participating on state and/or national committees, being active in professional and community-based service organizations, and serving as a mentor.
- 6.6 Takes a leadership role and encourages staff to do so as well, by presenting workshops at local, state, regional, or national conferences, authoring publications, or delivering coursework for institutions of higher education.
- 6.7 Maintains a high level of personal knowledge regarding new developments and techniques, and shares the information with appropriate staff.
- 6.8 Networks with colleagues to share knowledge about effective educational practices and to improve and enhance administrative knowledge, skills, and organizational success.
- 6.9 Actively seeks opportunities to stay abreast of the latest research on educational leadership by collaborating with experts in the field.

**Comments:**

**RATING:**  Exemplary  Proficient  Developing/Needs Improvement  Unacceptable

**Performance Standard 7: Divisionwide Student Academic Progress**

*The superintendent's leadership results in acceptable, measurable divisionwide student academic progress based on established standards.*

**Sample Performance Indicators**

*Examples may include, but are not limited to:*

**The superintendent:**

- 7.1 Develops, implements, monitors, and updates division action plans that result in increased student academic progress.
- 7.2 Uses appropriate data and applies research to make informed decisions related to student academic progress and division improvement.
- 7.3 Leads staff in conducting an ongoing, detailed analysis of student learning data to provide immediate and appropriate feedback.
- 7.4 Collaborates with division staff to monitor and improve multiple measures of student progress.
- 7.5 Utilizes internal division and external constituent meetings and professional development activities to focus on student progress outcomes.
- 7.6 Provides evidence that students in all subgroups are meeting acceptable and measurable student academic progress.
- 7.7 Demonstrates responsibility for division academic achievement through proactive interactions with parents, staff, and other community stakeholders.
- 7.8 Collaboratively develops, implements, and monitors long- and short-range division achievement goals that address varied student populations.
- 7.9 Sets division benchmarks and implements appropriate strategies and interventions to accomplish desired outcomes.

**Comments:**

**RATING:**  Exemplary  Proficient  Developing/Needs Improvement  Unacceptable

**Overall Evaluation Summary (based on Cumulative Summative rating range decided by school division):**

*Include comments here*

**Exemplary**

**Proficient**

**Developing/Needs Improvement**

**Unacceptable**

**Recommended for *Targeted Professional Growth*. (One or more standards are *Unacceptable*, or two or more standards are *Developing/Needs Improvement*.)**

**Commendations:**

**Areas Noted for Improvement:**

**Superintendent Improvement Goals:**

\_\_\_\_\_  
Evaluator's Name

\_\_\_\_\_  
Superintendent's Name

\_\_\_\_\_  
Evaluator's Signature

\_\_\_\_\_  
**Superintendent's Signature** (Superintendent's signature denotes receipt of the summative evaluation, not necessarily agreement with the contents of the form.)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

## SAMPLE Superintendent Summative Performance Report Option B

*Directions: Evaluators use this form prior to provide the superintendent with an assessment of performance. The superintendent should be given a copy of the form at the end of each evaluation cycle.*

**Superintendent:** \_\_\_\_\_ **School Year(s):** \_\_\_\_\_

**School:** \_\_\_\_\_

### Performance Standard 1: Mission, Vision, and Goals

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>  | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>   | <b>Developing/Needs Improvement</b>  | <b>Unacceptable</b>  |
|---|--|--|--|
| The superintendent establishes a highly productive relationship with the local school board to formulate and implement the school division’s mission, vision, and goals to promote student academic progress. | The superintendent works with the local school board to formulate and implement the school division’s mission, vision, and goals to promote student academic progress. | The superintendent has not reached a level of proficiency in working with the local school board to formulate and implement the school divisions, mission, vision, and goals to promote student academic progress. | The superintendent does not work with the local school board to formulate and implement the school divisions, mission, vision, and goals to promote student academic progress. |
| <input type="checkbox"/>  | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   |
| <i>Comments:</i>  |  |  |  |

### Performance Standard 2: Planning and Assessment

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>  | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>  | <b>Developing/Needs Improvement</b>  | <b>Unacceptable</b>  |
|---|---|--|--|
| The superintendent proactively seeks out research on the effective use of assessment data and ensures division personnel are aware of relevant findings and are using data to improve instructional programs, resulting in improved student academic performance. | The superintendent strategically gathers, analyzes, and uses a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic progress. | The superintendent has not reached a level of proficiency in gathering, analyzing, and using a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic success. | The superintendent does not gather, analyze, and use a variety of data to guide planning and decision-making consistent with established guidelines, policies, and procedures that result in student academic success. |
| <input type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/>   | <input type="checkbox"/>   |
| <i>Comments:</i>  |   |  |  |

**Performance Standard 3: Instructional Leadership**

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>  | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>   | <b>Developing/Needs Improvement</b>   | <b>Unacceptable</b>   |
|---|--|---|---|
| <p>The superintendent actively and consistently employs innovative and effective leadership strategies that empower teachers, maximize student academic progress, and result in effective teaching and learning that reflects excellence.</p> | <p>The superintendent fosters the success of all teachers, staff, and students by ensuring the development, communication, implementation, and evaluation of effective teaching and learning that leads to student academic progress and school improvement.</p> | <p>The superintendent has not reached a level of proficiency in fostering the success of all teachers, staff, and student students by facilitating the development, communication, implementation, or evaluation of effective teaching and learning that leads to student academic progress and school improvement.</p> | <p>The superintendent does not foster the success of all teachers, staff, and students by facilitating the development, communication, implementation, or evaluation of effective teaching and learning that leads to student academic progress and school improvement.</p> |
| <p style="text-align: center;"><input type="checkbox"/></p> <p><i>Comments:</i></p>   | <p style="text-align: center;"><input type="checkbox"/></p>  | <p style="text-align: center;"><input type="checkbox"/></p>   | <p style="text-align: center;"><input type="checkbox"/></p>   |

**Performance Standard 4: Organizational Leadership and Safety**

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>  | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>  | <b>Developing/Needs Improvement</b>  | <b>Unacceptable</b>  |
|---|---|--|--|
| <p>The superintendent is highly effective at organizational management, demonstrating proactive decision-making, coordinating safe, efficient operations, and maximizing available resources.</p> | <p>The superintendent fosters the safety and success of all teachers, staff, and students by supporting, managing, and evaluating the division’s organization, operation, and use of resources.</p> | <p>The superintendent has not reached a level of proficiency in supporting, managing, or evaluating the division’s organization, operation, safety, or use of resources.</p> | <p>The superintendent inadequately supports, manages, or evaluates the division’s organization, operation, safety or use of resources.</p> |
| <p style="text-align: center;"><input type="checkbox"/></p> <p><i>Comments:</i></p>   | <p style="text-align: center;"><input type="checkbox"/></p>   | <p style="text-align: center;"><input type="checkbox"/></p>  | <p style="text-align: center;"><input type="checkbox"/></p>  |

**Performance Standard 5: Communication and Community Relations**

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>  | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>                              | <b>Developing/Needs Improvement</b>   | <b>Unacceptable</b>   |
|---|---|---|---|
| The superintendent proactively seeks and creates innovative and productive methods to communicate and engage effectively with stakeholders. | The superintendent fosters the success of all students through effective communication with stakeholders. | The superintendent has not reached a level of proficiency in communicating on issues of importance to stakeholders. | The superintendent demonstrates ineffective or detrimental communication with stakeholders. |
| <input type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/>  | <input type="checkbox"/>  |
| <i>Comments:</i>  |   |   |   |

**Performance Standard 6: Professionalism**

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>   | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>   | <b>Developing/Needs Improvement</b>   | <b>Unacceptable</b>   |
|--|--|---|---|
| The superintendent demonstrates professionalism through published works, formal presentation(s), and/or formal recognition(s) or award(s). | The superintendent fosters the success of teachers, staff, and students by demonstrating professional standards and ethics, engaging in continuous professional development, and contributing to the profession. | The superintendent has not reached a level of proficiency in demonstrating professional standards, engaging in continuous professional development, or in contributing to the profession. | The superintendent shows disregard for professional standards and ethics, engaging in continuous professional development, or contributing to the profession. |
| <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>  | <input type="checkbox"/>  |
| <i>Comments:</i>   |  |   |   |

**Performance Standard 7: Divisionwide Student Academic Progress**

| <b>Exemplary</b><br><i>In addition to meeting the requirements for Proficient...</i>                                   | <b>Proficient</b><br><i>Proficient is the expected level of performance.</i>   | <b>Developing/Needs Improvement</b>  | <b>Unacceptable</b>   |
|--|--|--|---|
| The superintendent's leadership results in a high level of student academic progress with all populations of learners. | The superintendent's leadership results in acceptable, measurable divisionwide student academic progress based on established standards. | The superintendent's leadership has not reached a level of proficiency in promoting student academic progress that meets the established standard. | The superintendent's leadership consistently results in inadequate student academic progress. |
| <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>   | <input type="checkbox"/>  |
| <i>Comments:</i>   |  |  |   |

**Overall Evaluation Summary (based on Cumulative Summative rating range decided by school division):**

*Include comments here*

- Exemplary**
- Proficient**
- Developing/Needs Improvement**
- Unacceptable**
- Recommended for *Targeted Professional Growth*. (One or more standards are *Unacceptable*, or two or more standards are *Developing/Needs Improvement*.)**

**Commendations:**

**Areas Noted for Improvement:**

**Superintendent Improvement Goals:**

\_\_\_\_\_  
Evaluator's Name

\_\_\_\_\_  
Superintendent's Name

\_\_\_\_\_  
Evaluator's Signature

\_\_\_\_\_  
Superintendent's Signature (Superintendent's signature denotes receipt of the summative evaluation, not necessarily agreement with the contents of the form.)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date



## Part 6: Improving Superintendent Performance

Supporting superintendents is essential to the success of school divisions. Many resources are needed to assist superintendents in growing professionally. Sometimes additional support is required to help superintendents develop so that they can meet the performance standards for their school divisions.

*Targeted Professional Growth*, a division-level discussion between the school board and the superintendent, is an optional process to promote conversation about performance in order to address specific needs or desired areas for professional growth.

Figure 6.1 highlights the process.

Figure 6.1: *Tool to Increase Professional Performance*

|                          | <b>Targeted Professional Growth</b>   |
|--------------------------|---|
| <b>Purpose</b>           | For superintendents who could benefit from targeted performance improvement OR who would like to systematically focus on his or her own performance growth. |
| <b>Initiates Process</b> | School board or superintendent  |
| <b>Documentation</b>     | Form Provided: None<br>Memo or other record of the discussion/other forms of documentation at the school board level  |
| <b>Outcomes</b>          | Performance improvement is documented with the support dialogue continued at the discretion of the school board or the superintendent                       |

The *Targeted Professional Growth* process is initiated by the school board or superintendent at any point during the school year when the superintendent's professional practice would benefit from additional support. It is designed to facilitate discussion about the area(s) of concern and ways to address those concerns. The *Targeted Professional Growth* process should not be construed as applying to poor performing superintendents. The option for *Targeted Professional Growth* is open to any superintendent who desires assistance in a particular area.

During the initial conference, both parties share what each will do to support the superintendent's growth (see sample prompts in Figure 6.2) and decide when to meet again. To facilitate the improvements, they may choose to fill out the optional *Targeted Professional Growth* on the following page. After the agreed-upon time to receive support and implement changes in professional practice has elapsed, the school board and superintendent meet again to discuss the impact of the changes (see sample follow-up prompts in Figure 6.2).

Figure 6.2: *Sample Prompts*

**Sample Prompts for the Initial Conversation**

*What challenges have you encountered in addressing \_\_\_\_\_ (tell specific concern)?*

*What have you tried to address the concern of \_\_\_\_\_ (tell specific concern)?*

*What support can the school board provide you?*

**Sample Prompts for the Follow-Up Conversation**

*Last time we met, we talked about \_\_\_\_\_ (tell specific concern). What has gone well?*

*What has not gone as well?*

The entire *Targeted Professional Growth* process is intended to be completed in a relatively short time period (for example, within a six-week period) as it offers targeted support. If the *Targeted Professional Growth* process was initiated by a superintendent seeking self-improvement, the school board and superintendent may decide at any time either to conclude the process or to continue the support and allocate additional time or resources.

For a superintendent for whom the school board initiated the *Targeted Professional Growth* process, the desired outcome would be that the superintendent's practice has improved to a proficient level. In the event that improvements in performance are still needed, the school board makes a determination either to extend the time of the *Targeted Professional Growth* because progress has been made, or to allocate additional time or resources.

**SAMPLE: Targeted Professional Growth** (*optional*)

*Directions: School boards and superintendents may use this form to facilitate discussion on areas that need additional support. This form is optional.*

**What is the area of targeted support?**

**What are some of the issues in the area that are causing difficulty?**

**What strategies have you already tried and what was the result?**

**What new strategies or resources might facilitate improvement in this area?**

Superintendent's Name: \_\_\_\_\_

Superintendent's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Evaluator's Name: \_\_\_\_\_

Evaluator's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

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## Endnotes

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1 Portions of this section were adapted from principal evaluation handbooks published in various states, copyright [2010] by J. H. Stronge. Adapted with permission.

2 American Association of School Administrators. (1980). p. 4

3 DiPaola, M. F., & Stronge, J. H. (2003).

4 Leithwood, K., & Riehl, C. (2003). p. 2

5 Hoyle, J. R., Björk, L. G., Collier, V., & Glass, T. (2005).

6 Leithwood, K., & Riehl, C. (2003).

7 Leithwood, K., & Riehl, C. (2003); Leithwood, K., & Jantzi, D. (2000); Witziers, B., Bosker, R. J., & Kriiger, M. L. (2003).

8 Stronge, J. H., Richard, H. B., & Catano, N. (2008).

9 Goldring, E., Cravens, X. C., Murphy, J., Porter, A. C., Elliott, S. N., & Carson, B. (2009).

10 The usage of the terms “effective” and “ineffective” is consistent with that used in professional literature. These terms are not intended to connote particular technical definitions.

11 DiPaola, M. F., & Stronge, J. H. (2003).

12 Candoli, I. C., Cullen, K., & Stufflebeam, D. L. (1997).

13 Dillon, R. R., & Halliwell, J. W. (1991).

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23 Hoyle, J. R., Björk, L. G., Collier, V., & Glass, T. (2005).

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25 Peterson, G. J., & Barnett, B. G. (2005).