

STATE OF HAWAII BOARD OF EDUCATION

SUPERINTENDENT EVALUATION PROCESS

Introduction

This document describes the process, timeline, and instrument used annually to evaluate the Superintendent of the Hawaii Department of Education (“Department”). The Board of Education (“Board”) grounded the evaluation system in Board Policy E-3, Nā Hopena A’o (“HĀ”),¹ so that it reflects the uniqueness of Hawaii and, more importantly, to embrace and model trust, collaboration, and continuous learning at the Board and Department leadership levels.

This document begins with the purpose of the superintendent evaluation and describes how the three main components of the evaluation process address each of the primary purposes. The first component assesses the superintendent’s performance against five professional standards, which capture the essence of the superintendent’s responsibilities and duties contained within the job description. The second component assesses the superintendent’s progress in achieving his or her annual priorities, which the Board and superintendent mutually agree upon in advance each year. The Board uses these first two components to give the superintendent a final performance rating. The third component solicits feedback from internal and external stakeholders to benefit goal setting and continuous improvement, but it does not affect the final performance rating.

The described evaluation process is ongoing and cyclical and includes quarterly checkpoints, a mid-year formative assessment, and an end-of-year summative assessment (*i.e.*, the final evaluation). The conclusion of an evaluation informs goal setting for the next year, which starts the next evaluation cycle. This process emphasizes continuous learning and improvement and requires high levels of meaningful collaboration and communication between the Board and superintendent.

Evaluation Purpose

The primary purposes of the superintendent evaluation are to:

1. Establish a record of annual performance by assessing the Superintendent’s past performance and progress toward annual priorities;
2. Promote leader effectiveness and professional growth by creating a safe learning environment with a feedback process that encourages conversations around individual professional development and improving performance; and
3. Focus on the future and set clear expectations through the annual review and revision of Board and Department strategic priorities and Superintendent Priorities.

¹ Board Policy E-3, Nā Hopena A’o, is available here:
[http://boe.hawaii.gov/policies/Board%20Policies/Nā%20Hopena%20A'o%20\(HĀ\).pdf](http://boe.hawaii.gov/policies/Board%20Policies/Nā%20Hopena%20A'o%20(HĀ).pdf).

While not a primary purpose of the evaluation, the Board may use the record of performance that it establishes to determine compensation adjustments or bonuses for the Superintendent or renewal, nonrenewal, or termination of the Superintendent's employment contract. The evaluation also serves to:

- Create an opportunity for the Board and Superintendent to periodically reexamine their roles and responsibilities for themselves, the school community, the Department, and the community at-large;
- Create and establish a H_A-based climate of trust and collaboration and enhance the working relationship between the Board and Superintendent;
- Provide an avenue for the Board to partner and communicate with the Superintendent the intended implementation of their collective vision, priorities, and policies; and
- Communicate and provide assurance to the school community and community at-large as to how leadership is holding itself accountable for addressing priorities.

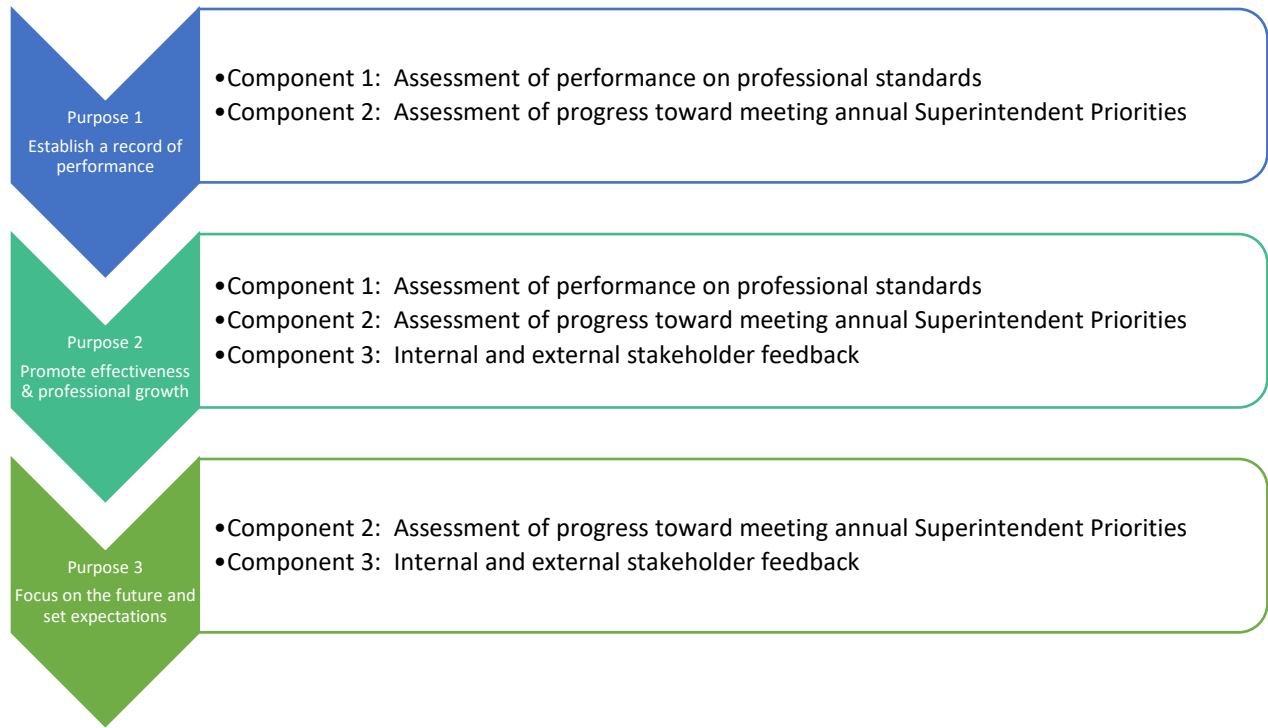
It is the Board's intent to use the evaluation as an objective tool to facilitate constructive feedback, positive and productive conversations, and continuous learning and improvement. The final results of a high-quality evaluation should not come as a surprise to either the Superintendent or the Board, as both parties need to engage in ongoing, respectful, and meaningful conversations with one another about mutual expectations in order for the evaluation to be successfully implemented.

Evaluation Components

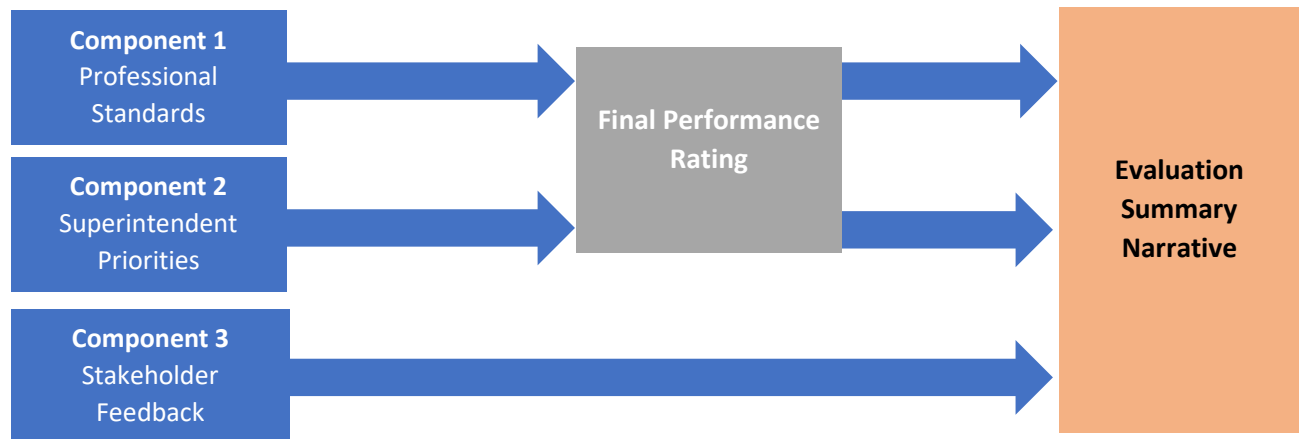
The evaluation is comprised of three components:

- Component 1: Assessment of performance on professional standards
- Component 2: Assessment of progress toward meeting annual Superintendent Priorities
- Component 3: Internal and external stakeholder feedback

The three components address the primary purposes of the evaluation described above. Assessing performance on professional standards (Component 1) and progress on annual priorities (Component 2) establishes a record of performance (first purpose). That assessment (Components 1 and 2) combined with feedback from internal and external stakeholders (Component 3) provides the feedback necessary to support the development of the Superintendent and promote effective leadership and growth (second purpose). Finally, understanding the progress made toward achieving past priorities (Component 2) and the current priorities of stakeholders (Component 3) helps to focus the evaluation on the future and facilitate the setting of the priorities and expectations for the next year (third purpose).

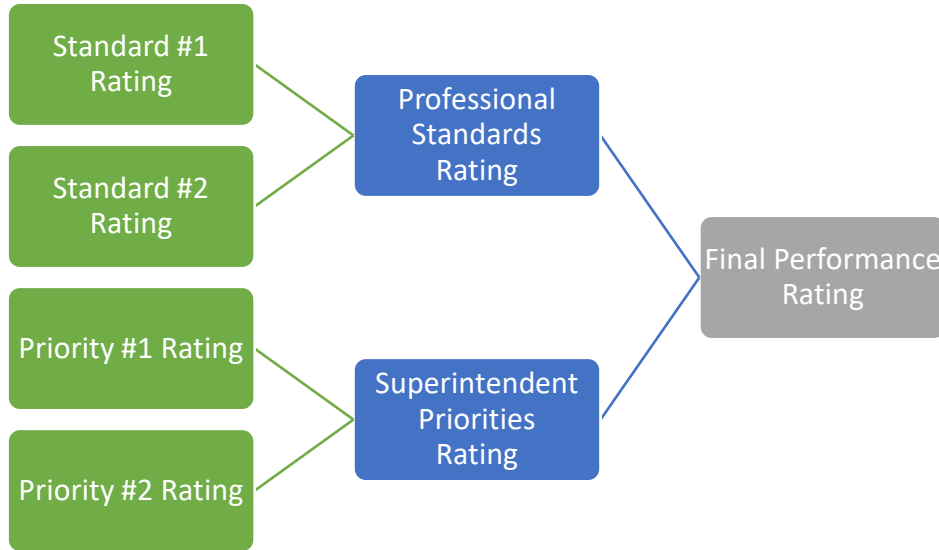


To these ends, Components 1 and 2 play a different role in the evaluation than Component 3. The Board, and the Superintendent through a self-assessment, rate Components 1 and 2 using an evaluation instrument, and the Components 1 and 2 ratings determine the final cumulative performance rating of the Superintendent. Component 3, however, does not contribute to final performance rating because it is not the purpose of the stakeholder feedback to assess the Superintendent’s performance. Rather, the evaluation summary narrative (which is the public document that communicates the results of the evaluation) includes the Component 3 summarized feedback as well as the summarized results and ratings from Components 1 and 2.



Evaluation Ratings

The Board rates the Superintendent at three levels. First, the Board rates individual professional standards and Superintendent Priorities based on indicators. Next, the Board then determines ratings for each of the two components (professional standards and Superintendent Priorities). Finally, the Board determines an overall performance rating for the Superintendent based on the ratings of the two main components.



The Board maintains discretion in deciding how important any particular element is when establishing its ratings. The Board can determine that any particular standard or priority is more important than the others are or that the Superintendent Priorities are much more important than the professional standards. This allows the Board to have more useful and productive conversations with the Superintendent regarding strengths to build on and opportunities for growth.

The rating scale below applies to all three levels and guides the Board in determining ratings:

RATING	CHARACTERISTICS
Highly Effective	Performance has continually exceeded expectations and has had an exceedingly positive impact on students, staff, community relations and/or program outcomes.
Effective	Performance consistently meets expectations and maintains effective results, satisfactory program outcomes, and good relations with students, staff, and community members.
Marginal	Performance is inconsistent or partially meets expectations, has moderately affected program results, and has made some gains toward relations with students, staff, and community members.
Unsatisfactory	Performance does not meet expectations, requires significant improvement, and has not made any gains in program results or toward relations with students, staff, and community members.

Component 1: Professional Standards

The Board looked at a number of other sources when developing its superintendent professional standards, including the American Association of School Administrators' Professional Standards,² the New York State School Boards Association's standards,³ and the Oregon School Boards Association's standards.⁴

Each standard has associated performance indicators and suggested evidence or data sources to assist the Board in determining whether the Superintendent's performance meets its expectations. The Board gives a rating to each standard as well as an overall rating to Component 1, Professional Standards. While the standards and indicators provide objective guidance, the Board maintains enough discretion to determine the indicators and standards that it finds are the most important and encourages productive conversations between the Board and Superintendent.

The professional standards and performance indicators are as follows:

Standard 1: Visionary Leadership and Organizational Culture. The Superintendent is an educational leader who promotes the success of all students by articulating and implementing a vision of learning, developing and modeling a positive organizational culture and school climate throughout the Department, and sustaining instructional programs conducive to student learning and staff professional growth. The Superintendent:

- 1.1. Clearly aligns leadership actions, staffing, and resources to a student-centered vision, and that vision is evident in the culture of all schools;
- 1.2. Creates and implements a H \bar{A} -based, focused plan for achieving strategic plan goals and objectives supported by resources;
- 1.3. Nurtures, sustains, and models a culture of collaboration, trust, learning, and high expectations by empowering and collaborating with state, complex area, and school leadership to make decisions that improve student learning;
- 1.4. Leads and supports the use of quantitative and qualitative data to identify priorities, assess organizational effectiveness, identify effective practices and promote continuous organizational learning, and inform instruction for administrators and teachers; and
- 1.5. Ensures that all staff receive relevant and continuous professional development, including leadership development, that directly enhances their performance.

Suggested data sources: Staffing plans, Department budget, implementation plan(s) for achieving strategic plan goals and objectives, demonstrated examples of leadership empowerment and collaboration, organizational self-assessment(s) and improvement plan(s), list of identified effective

² DiPaola, Michael F. (2010). *Evaluating the Superintendent* [White paper]. Retrieved August 25, 2017, from American Association of School Administrators: http://www.aasa.org/uploadedFiles/Resources/AASA_White_Paper_on_Superintendent_Evaluation.pdf.

³ New York State School Boards Association. (2015). *Superintendent Evaluation*. Retrieved August 25, 2017, from http://www.nyssba.org/clientuploads/nyssba_pdf/supt-eval-write-06052015.pdf.

⁴ Oregon School Boards Association. (June 2014). *Superintendent Evaluation: A Guide for School Boards*. Retrieved August 25, 2017, from <http://www.osba.org/-/media/Files/Resources/Board-Operations/2014-05-16-Supt-Eval-complete-pdf.pdf?la=en>.

practices, school improvement plans, professional development and leadership development plans, Board members' individual observations

Standard 2: Operations, Resource, and Personnel Management. The Superintendent demonstrates the knowledge, skills, and ability to manage operations that promote a safe, trusting, respectful, and effective learning environment for students and staff, ensure the fiscal fidelity and efficiency of the Department, and implement sound personnel practices. The Superintendent:

- 2.1. Monitors and evaluates the management of operational systems to ensure the effective and efficient use of human, fiscal, capital, and technological resources;
- 2.2. Develops and ensures the implementation of procedures and structures to support compliance with local, state, and federal laws and regulations;
- 2.3. Implements personnel procedures and employee performance programs to recruit, hire, develop, and retain highly effective teachers, administrators, and personnel;
- 2.4. Guides the process of fiscal planning and budget development, makes recommendations based upon the Department's current fiscal position and future needs, makes sound fiscal decisions aligned with the strategic plan goals and objectives, and establishes clear and transparent systems of fiscal control and accountability;
- 2.5. Stays informed of facilities use and needs, makes facilities recommendations as needed to the Board and Legislature, promotes safety across the state, and ensures a facilities management plan is in place for future needs; and
- 2.6. Provides information and advice to the Board during labor negotiations, effectively works with the exclusive representatives of public employee bargaining units, and actively seeks to improve collective bargaining outcomes that best serve students and the public education system.

Suggested data sources: Internal risk assessment and audit, management evaluation of operational systems, recruitment and retention data, professional development plans and data, financial plan, external audit, capital plan(s) and/or facilities master plan, collective bargaining agreements, Board members' individual observations

Standard 3: Board Governance and Policy. The Superintendent partners effectively with the Board to ensure a high-quality education for every student, exhibits an understanding of the roles of the Board and Superintendent and how these roles together lead to shared success, and leads and manages the Department consistent with Board policies, promoting transparency, fairness, and trust. The Superintendent:

- 3.1. Understands and articulates the system of public school governance, differentiates between policy-making and administrative roles, interprets and executes the intent of Board policies, and advises the Board on the need for new and/or revised policies;
- 3.2. Works collaboratively with the Board to shape a joint vision, mission, and strategic plan goals with measurable objectives of high expectations for student achievement; and
- 3.3. Offers professional advice to the Board with appropriate recommendations based on thorough study and analysis and keeps the Board regularly informed with quantitative and qualitative data, reports, and information that enables it to make effective, timely decisions.

Suggested data sources: Demonstrated understanding of public school system governance and administration, recent Board policy implementation plans, strategic plan and planning process, reports to the Board, Board members' individual observations

Standard 4: Communication and Community Relations. The Superintendent establishes effective two-way communication and engagement with students, parents, staff, and the community at-large and understands the cultural, political, social, economic, and legal context to respond effectively to internal and external stakeholder feedback and build strong support for the public education system and success of all students. The Superintendent:

- 4.1. Uses effective public information strategies to communicate with all stakeholders in an appropriate and timely manner, understand internal and external perceptions of the Department, and promote a positive image of the public education system with families, the media, state officials, and the community at-large;
- 4.2. Works collaboratively with staff and other community members to secure resources and effective partnerships to support strategic plan goals and student success; and
- 4.3. Establishes effective communication within the Department, promotes positive interpersonal relations among staff, and creates a HÃ-based atmosphere of trust and respect with staff, families, and community members.

Suggested data sources: Media reports, Department website, newsletters and other public engagement documents, attendance at community and school events, visible community support for strategic plan goals and objectives, formalized partnerships with community organizations to achieve strategic plan goals and objectives, procedures for internal communications, community readiness indicators, Board members' individual observations

Standard 5: Ethical Leadership. The Superintendent promotes the success of every student and every staff member by acting with integrity, fairness, and in an ethical manner. The Superintendent:

- 5.1. Demonstrates ethical and professional behavior, a high level of self-awareness and reflective practice, and transparency and inspires others to higher levels of performance;
- 5.2. Champions the importance and execution of a diverse, equitable, and inclusive environment in schools and throughout the Department; and
- 5.3. Promotes social justice, ensures that individual student needs inform all aspects of schooling, and demonstrates efforts to close the achievement gap across all demographics.

Suggested data sources: Staff diversity data, student diversity data, inclusion rate data, student assessment data, Board members' individual observations

Component 2: Superintendent Priorities

The Superintendent Priorities are the annual goals, objectives, or targets that the Superintendent focuses on in any given year. The Board and Superintendent mutually agree on at least two, but no more than five, Superintendent Priorities each year. Ideally, the Superintendent Priorities support the Board and Department's annual priorities, referred to as "strategic priorities" in this document, which requires significant collaboration between the Board and Superintendent on both sets of priorities. The table below illustrates the differences between the strategic priorities and the Superintendent Priorities.

Strategic Plan	Strategic Priorities	Superintendent Priorities
Sets the goals and objectives of the organization	Seek to further the goals and objectives of the Strategic Plan	Seek to support the progress and achievement of the strategic priorities
Requires statewide effort and coordination with other organizations	Require system-wide effort and are not under the control of any individual employee	Can reasonably be considered under the control of the Superintendent
Provides insight to the long-term performance of the organization	Provide insight to the annual performance of the organization	Provide insight to the annual performance of the individual

The Board ideally⁵ seeks to set Superintendent Priorities that meet the SMART criteria:

- **Specific:** Superintendent Priorities ideally are concise, clearly define expectations, avoid generalities, and use verbs to start the sentence.
- **Measurable:** Superintendent Priorities ideally are measurable and their attainment evidenced in some tangible way, such as through quality, quantity, timeliness, or cost.
- **Achievable:** Superintendent Priorities ideally are challenging but attainable given the circumstances and resources at hand.
- **Relevant (or Results-focused):** Superintendent Priorities ideally link to a higher-level strategic priority and measure outcomes, not activities.
- **Time-based:** Superintendent Priorities ideally have a specific timeframe.

When establishing Superintendent Priorities, the Board also:

- Involves all Board members and the Superintendent;
- Decides on desired results;
- Develops performance indicators for each Superintendent Priority;
- Identifies supporting documentation, evidence, or data sources;
- Reviews and approves final Superintendent Priorities, indicators, and evidence; and
- Monitors progress at scheduled checkpoints.

Once Board and Superintendent establish the Superintendent Priorities, and the associated performance indicators and evidence, the Board assesses and rates the priorities in the same manner it assesses and rates the professional standards.

Component 3: Stakeholder Feedback

⁵ During the first year of a Superintendent’s tenure, SMART priorities may not be sensible, accurate, or feasible because the Superintendent may not be using the first year to make changes that have immediate impacts and measurable outcomes. Rather, the Superintendent may instead focus on examining existing systems and structures to prepare to make an impact. Therefore, first year priorities may need to focus on these activities (*e.g.*, programmatic reviews) and outputs (*e.g.*, plans of action and improvement plans) instead of measurable outcomes.

The intent of the stakeholder feedback component is to ask internal and external stakeholders for input that will:

1. Inform the Board and Superintendent of the community's perceptions of the public education system's successes and areas in need of improvement;
2. Lead to appropriate professional development and improvements to interpersonal and administrative methods for the Superintendent; and
3. Provide valuable insight into the priorities of the community to inform goal setting for the next school year.

It is not *the* evaluation. Instead, the evaluation uses stakeholder feedback as a data point that the Board and Superintendent reflect on and use to co-create leadership development and action plans to improve and address concerns. The stakeholder feedback is not just a learning opportunity for the Superintendent, but the Board as well, and the co-creation of the leadership development and action plans is another opportunity for the Board and Superintendent to discuss roles, responsibilities, and expectations.

The stakeholder feedback component works as follows:

1. The Superintendent designs the questions and selects the evaluation respondents from a variety of stakeholders who give fair representation to all groups. The Board reviews and approves the questions and selected respondents.
2. The Board's staff distributes surveys with the approved questions to the selected respondents then collects and summarizes the anonymous responses for the Superintendent.
3. The Superintendent analyzes the data, creates and presents a report to the Board, and proposes leadership development and action plans to improve on successes and address concerns.
4. The Board reviews the proposed leadership development and action plans and has a discussion with the Superintendent before adopting them.
5. The Board summarizes the feedback and the leadership development and action plans in the evaluation summary narrative document with the rest of the evaluation summary.

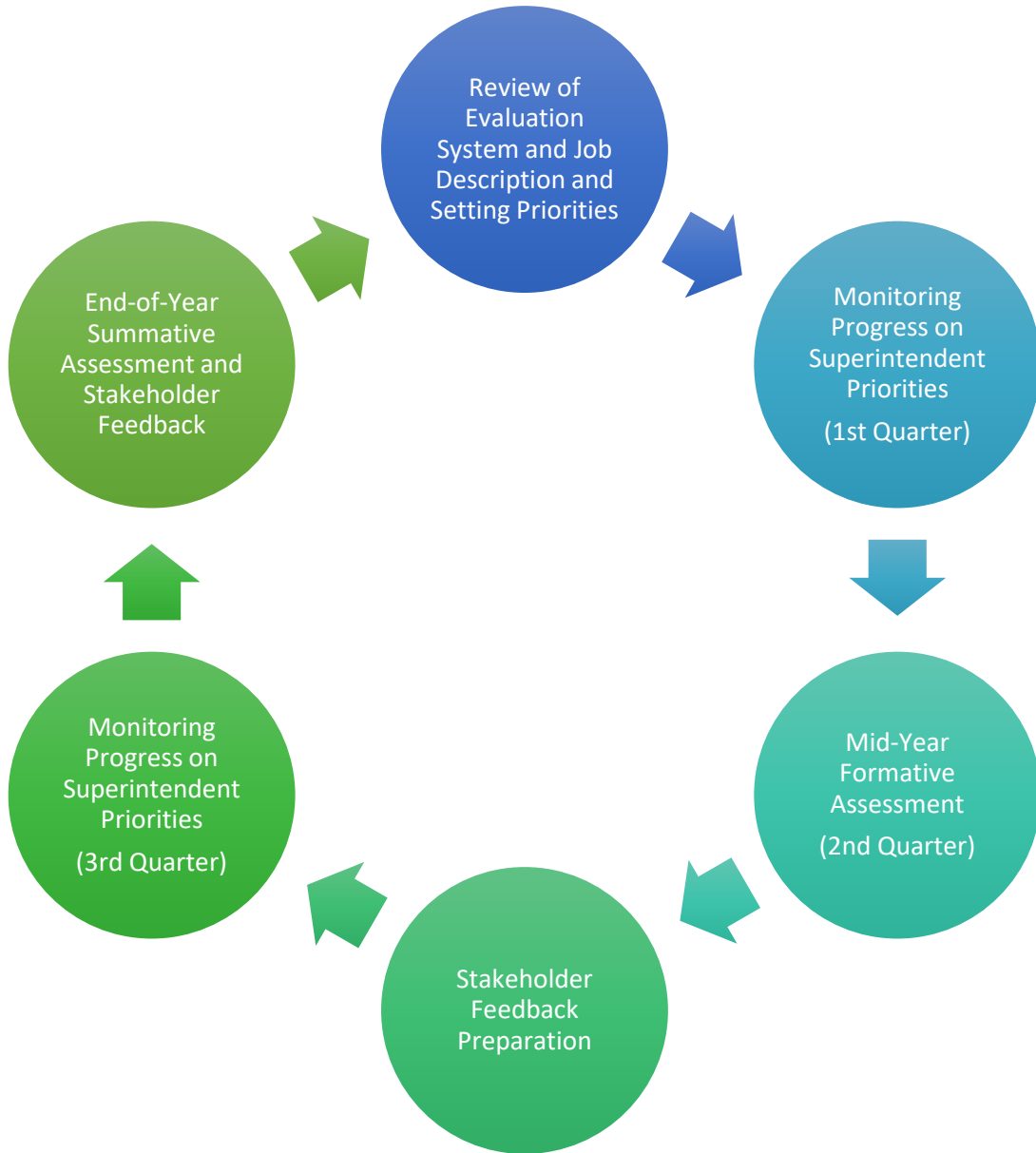
The Superintendent may also identify individuals for one-on-one, in-person stakeholder engagement opportunities to exchange feedback for a continuous learning benefit. The Superintendent may report any in-person feedback to the Board orally or in writing and may incorporate it into the leadership development and action plans.

Process

The graphic below illustrates the general cyclical evaluation process, and a more detailed process is included in the general timeline on the pages that follow. The six main steps of the process are:

1. A review of the superintendent evaluation system and superintendent job description as well as the setting of Superintendent Priorities;
2. Monitoring the progress on Superintendent Priorities and making any adjustments to the priorities after the release of system-wide student assessment data for the previous school year (first quarter check-in);
3. A mid-year formative assessment of the Superintendent to provide the Superintendent with indications of performance to date (second quarter check-in);

4. The development of questions and identification of respondents in preparation for collecting stakeholder feedback;
5. Monitoring the progress on Superintendent Priorities with a third quarter check-in; and
6. An end-of-year summative assessment of the Superintendent, collection and analysis of stakeholder feedback, and release of the evaluation summary narrative.



General Timeline

STEP	TIMELINE	ACTION
<p>Step 1 Review of Evaluation System and Job Description and Setting Priorities</p>	<p>First June Board Meeting</p>	<p>1. The Board and Superintendent review, revise (if necessary), and mutually agree upon:</p> <ul style="list-style-type: none"> • The evaluation system—including process, timelines, instrument, professional standards, performance indicators, and forms—to be used for the upcoming school year; and • The superintendent job description to ensure alignment with the professional standards contained within the evaluation system. <p>2. The Board and Superintendent mutually agree on and set the Board and Department strategic priorities for the upcoming school year based on the Strategic Plan. While the strategic priorities are not part of the formal evaluation, the Superintendent can use the strategic priorities to develop and propose Superintendent Priorities at the next Board meeting.</p>
	<p>Second June Board Meeting</p>	<p>3. The Board and Superintendent mutually agree on and set the Superintendent Priorities, which support the strategic priorities and ideally meet SMART criteria, and indicators of success and supporting evidence to include as part of the formal evaluation.</p>
	<p>July</p>	<p>4. The Superintendent communicates the strategic priorities and Superintendent Priorities to all Complex Area Superintendents, school administrators, and educational officers.</p>
<p>Step 2 Monitoring Progress on Superintendent Priorities (1st Quarter)</p>	<p>First or Second October Board Meeting</p>	<p>5. The Superintendent presents the statewide student assessment data from the previous school year to the Board. The Superintendent or Board may offer adjustments to the Superintendent Priorities based on the results of the student assessment data.</p> <p>6. The Superintendent reports interim progress on achieving the Superintendent Priorities to the Board. The Board may share any questions or concerns and offer input on progress to-date.</p>

STEP	TIMELINE	ACTION
Step 3 Mid-Year Formative Assessment (2 nd Quarter)	Mid/Late November	7. At least two weeks prior to the Board’s first December meeting, the Superintendent completes a self-assessment using the mid-year formative assessment form and submits it along with all supporting documents and evidence to the Board Office. The Board Office distributes the supporting documents and evidence to Board members.
	Late November/Early December	8. At least two days prior to the Board’s first December meeting, each Board member submits his or her mid-year formative assessment forms to the Board Office. The Board Office creates a mid-year formative assessment summary document consisting of each Board member’s ratings and comments and the Superintendent’s self-assessment.
	First December Board Meeting	9. In executive session, the Board Office provides the Board with the mid-year formative assessment summary document. 10. The Board discusses and comes to consensus on the formative assessment final ratings. 11. The Board meets and discusses with the Superintendent its formative assessment findings. Board members can provide comments and recommendations or ask questions for clarification. The Board may make changes to its formative assessment final ratings at the end of the discussion.
	Mid-December	12. No later than a week after its meeting with the Superintendent, the Board delivers to the Superintendent and publicly publishes a formative assessment summary narrative.

STEP	TIMELINE	ACTION
Step 4 Stakeholder Feedback Preparation	Late February	13. The Superintendent develops a list of questions and identifies internal and external respondents to fulfill Component 3. The questions should seek feedback that will inform the Board and Superintendent of the community’s perceptions as to successes and challenges of Hawaii’s public education system, help the Superintendent develop and improve future performance, and build an understanding of the educational priorities of stakeholders. The identified respondents should represent a broad spectrum of stakeholder groups that can provide meaningful and constructive feedback. The Superintendent may also identify individuals for in-person stakeholder engagement opportunities. 14. At least one week before the Board’s first March meeting, the Superintendent provides the Board members with the list of proposed questions and respondents.
	First March Board Meeting	15. The Board and Superintendent discuss the proposed questions and respondents. The Board approves a list of questions and respondents.
Step 5 Monitoring Progress on Superintendent Priorities (3 rd Quarter)	First March Board Meeting	16. The Superintendent reports interim progress on achieving the Superintendent Priorities to the Board. The Board may share any questions or concerns and offer input on progress to-date.
Step 6 End-of-Year Summative Assessment and Stakeholder Feedback (Final Evaluation)	April	17. The Board Office sends the Component 3 questions to the selected respondents and collects, collates, and summarizes the anonymous responses.
	Early May	18. At least two weeks prior to the Board’s second May meeting, the Superintendent completes a self-assessment using the end-of-year summative assessment form and submits it along with all supporting documents and evidence to the Board Office. The Board Office distributes the supporting documents and evidence to Board members.

STEP	TIMELINE	ACTION
		<p>19. The Board Office provides the Superintendent with summarized data from the Component 3 stakeholder responses for analysis. The Superintendent develops a report on the stakeholder feedback and proposed leadership development and action plans to improve on successes and address concerns.</p>
	Mid-May	<p>20. At least two days prior to the Board’s second May meeting, each Board member submits his or her end-of-year summative assessment forms to the Board Office. The Board Office creates an end-of-year summative assessment summary document consisting of each Board member’s ratings and comments and the Superintendent’s self-assessment.</p>
	Second May Board Meeting	<p>21. In executive session, the Board Office provides the Board with the end-of-year summative assessment summary document.</p> <p>22. The Board discusses and comes to consensus on the summative assessment final ratings.</p> <p>23. The Board meets and discusses with the Superintendent its summative assessment findings. Board members can provide comments and recommendations or ask questions for clarification. The Board may make changes to its summative assessment final ratings.</p> <p>24. The Superintendent presents his or her report on the stakeholder feedback and proposes the leadership development and action plans. The Board and Superintendent engage in a joint self-reflection to identify lessons learned and areas of improvement for both parties using the information and data from all evaluation components. The Board and Superintendent may provide comments, ask questions, and make recommendations to each other. The Board adopts the leadership development and action plans and determines how it will publicly report the stakeholder feedback and leadership development and action plans.</p>

STEP	TIMELINE	ACTION
	Late May	25. After its meeting with the Superintendent, the Board delivers to the Superintendent and publicly publishes the evaluation summary narrative.
Go back to Step 1 and repeat the process		