Agenda Item VII.C, Board Action on findings and recommendations of Investigative Committee (a permitted interaction group pursuant to Hawaii Revised Statutes, Section 92-2.5(b)(1)) investigating the Superintendent's goals and targets and an evaluation tool: findings and recommendations

General Business Meeting

October 17, 2017

At its October 3, 2017 general business meeting, the Board of Education ("Board") received a report from the investigative committee that the Board tasked with setting the Superintendent's goals and targets and determining an evaluation tool ("Superintendent Evaluation Committee"). The Superintendent Evaluation Committee's report is attached as **Exhibit 1**. In accordance with Section 92-2.5(b)(1)(C), Hawaii Revised Statutes ("HRS"),[1] entitled "Permitted interactions of members," the Board did not take action on any of the Search Committee's recommendations.

Action on the Search Committee's recommendations has been placed on a subsequent Board meeting agenda, the October 17, 2017 general business meeting agenda.

[1] Section 92.25(b)(1), HRS provides, in pertinent part:

> "(b) Two or more members of a board, but less than the number of members which would constitute a quorum for the board, may be assigned to:
>
> (1) Investigate a matter relating to the official business of their board; provided that:
>
> (A) The scope of the investigation and the scope of each member's authority are defined at a meeting of the board;
>
> (B) All resulting findings and recommendations are presented to the board at a meeting of the board; and
>
> (C) Deliberation and decision making on the matter investigated, if any, occurs only at a duly noticed meeting of the board held subsequent to the meeting at which the findings and recommendations of the investigation were presented to the board;"

(Emphasis added).

Exhibit 1

Superintendent Evaluation Committee Report (dated October 3, 2017)

DAVID Y. IGE
GOVERNOR

LANCE A. MIZUMOTO
CHAIRPERSON

STATE OF HAWAII
BOARD OF EDUCATION
P.O. BOX 2360
HONOLULU, HAWAII 96804

October 3, 2017

TO: Lance A. Mizumoto
Chairperson, Board of Education

FROM: Bruce Voss
Chairperson, Superintendent Evaluation Investigative Committee

AGENDA ITEM: Investigative Committee (a permitted interaction group pursuant to Hawaii Revised Statutes, Section 92-2.5(b)(1)) investigating the Superintendent's goals and targets and an evaluation tool: findings and recommendations

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I. BACKGROUND

At its July 18, 2017 general business meeting, the Board of Education ("Board") established an investigative committee ("Committee") tasked with setting the Superintendent's goals and targets and determining an evaluation tool. The Board appointed Board Members Pat Bergin, Hubert Minn, and me as members of the Committee, with myself serving as chair.

II. EVALUATION PROCESS AND TOOL

In developing the Board's superintendent evaluation process, the Committee reviewed several model superintendent evaluations from across the nation and determined the best practices, process elements, and performance standards that would most appropriately apply to evaluation process the Committee contemplated. The Committee also consulted with Superintendent Christina Kishimoto throughout the development. The result of the Committee's development work is the proposed Superintendent Evaluation Process, attached as **Exhibit A**.

The Committee feels that it is important to have a process that encourages the Board and Superintendent to engage in continuous learning and leadership development together, and therefore the Committee grounded the evaluation system in Board Policy E-3, Nā Hopena

A‘o (“HĀ”).[1] Additionally, a HĀ-based process not only makes the evaluation distinctly Hawaii-based but also aligns it with the outcomes framework for Hawaii’s public education system. More importantly, it formalizes the paradigm shift away from the top-down, employer-employee relationship to one that focuses on trust, collaboration, and mutual accountability between the Board and Superintendent and building a safe learning environment to grow together.

The Committee’s proposed process document begins with a description of the main purposes of the evaluation around which the main components of the evaluation center. The three main components are:

1) An assessment of performance on professional standards;
2) An assessment of progress toward meeting annual goals and targets for the Superintendent (referred to as “Superintendent Priorities”); and
3) Internal and external stakeholder feedback.

Board members individually and collectively rate the professional standards and Superintendent Priorities to determine a final performance rating of the Superintendent. However, the stakeholder feedback does not factor into this rating. Sample worksheets, attached as **Exhibit B**, provide an idea of how the Board will apply evaluation and ratings. (Note that the sample worksheets are not a full set and do not necessarily reflect the final product.)

Component 1: Professional Standards. There are five professional standards, which the Committee designed to cover all of the Superintendent’s job responsibilities in a simple yet rich way:

1) Visionary Leadership and Organizational Culture;
2) Operations, Resource, and Personnel Management;
3) Board Governance and Policy;
4) Communication and Community Relations; and
5) Ethical Leadership.

The first two standards address most of the Superintendent’s responsibilities related to the 2018-2020 Board and Department of Education Joint Strategic Plan (“Strategic Plan”) goals and thus have the most indicators. The next two standards focus more on the relationships that are necessary for the Superintendent to foster to be successful. The last standard focuses on the Superintendent’s values and professionalism that result in student and staff success.

Component 2: Superintendent Priorities. The Board and Superintendent mutually agree to two to five Superintendent Priorities each year, including associated performance indicators and evidence to use in assessing the Superintendent’s progress in achieving these priorities. While it is ideal to have SMART (specific, measurable, achievable, relevant, and time-based) priorities, they may not be possible during the first year of the Superintendent’s

[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.

tenure because there may be more of a focus on activities that examine existing systems and structures, such as programmatic reviews, rather than immediate, measurable outcomes. Therefore, with agreement from Superintendent Kishimoto, the Committee proposes the Superintendent Priorities, and associated indicators and evidence, for School Year 2017-2018 attached as **Exhibit C**.

Component 3: Stakeholder Feedback. The Board does not use stakeholder feedback to assess the Superintendent's performance or determine the final performance rating. Instead, the Board and Superintendent use the feedback for continuous learning and improvement, professional and leadership development, and goal setting purposes. The Board collects feedback from internal and external stakeholders through a survey method, but the Superintendent may also collect feedback through more interpersonal methods and report those findings to the Board.

Process. The evaluation process is ongoing and cyclical and includes quarterly checkpoints, a mid-year formative assessment, and an end-of-year summative assessment. The checkpoints and mid-year formative assessment provide updates to the Board regarding progress on Superintendent Priorities and feedback to the Superintendent as to her performance to date, areas of strength, and areas in need of improvement. During the first checkpoint at the end of the first quarter of the school year, the Board and Superintendent also review the statewide student assessment results to see if they need to adjust any of the Superintendent Priorities for the current year. The end-of-year summative assessment is the final evaluation and conclusion of the evaluation cycle, informing goal setting for the next year, which starts the next evaluation cycle.

III. RECOMMENDATION

The Committee recommends, through unanimous agreement, that the Board adopt the proposed Superintendent Evaluation Process. Because we are a few months into the current school year, the Committee recommends beginning this year's process at the mid-year formative assessment in December.

The Committee also recommends, through unanimous agreement, that the Board approve the Superintendent Priorities and associated performance indicators for School Year 2017-2018 attached to this memorandum.

Board Policy 500-5, Evaluation of the Superintendent of Education and the State Librarian,[2] provides that the Board will use the Excluded Managerial Compensation Plan Performance Evaluation System ("EMCP"). As such, the Committee also recommends, through unanimous agreement, that the Board revise Board Policy 500-5, to allow the Board to use an evaluation tool other than the EMCP. The Committee's proposed redlined changes to Board Policy 500-5 (**Exhibit D**) and a clean proposed revised policy (**Exhibit E**) are attached.

Proposed Motion: Move to adopt the Superintendent Evaluation Process, Superintendent Priorities for School Year 2017-2018, and revised Board Policy 500-5,

[2] Board Policy 500-5, Evaluation of the Superintendent of Education and the State Librarian, is available here: http://boe.hawaii.gov/policies/Board%20Policies/Evaluation%20of%20the%20Superintendent%20of%20Education%20and%20the%20State%20Librarian.pdf.

Evaluation of the Superintendent of Education and the State Librarian, as described in Investigative Committee Chairperson Bruce Voss's memorandum dated October 3, 2017.

This report completes the work the Board tasked to the Committee.

Exhibit A

Proposed Superintendent Evaluation Process

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.

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 HĀ-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.

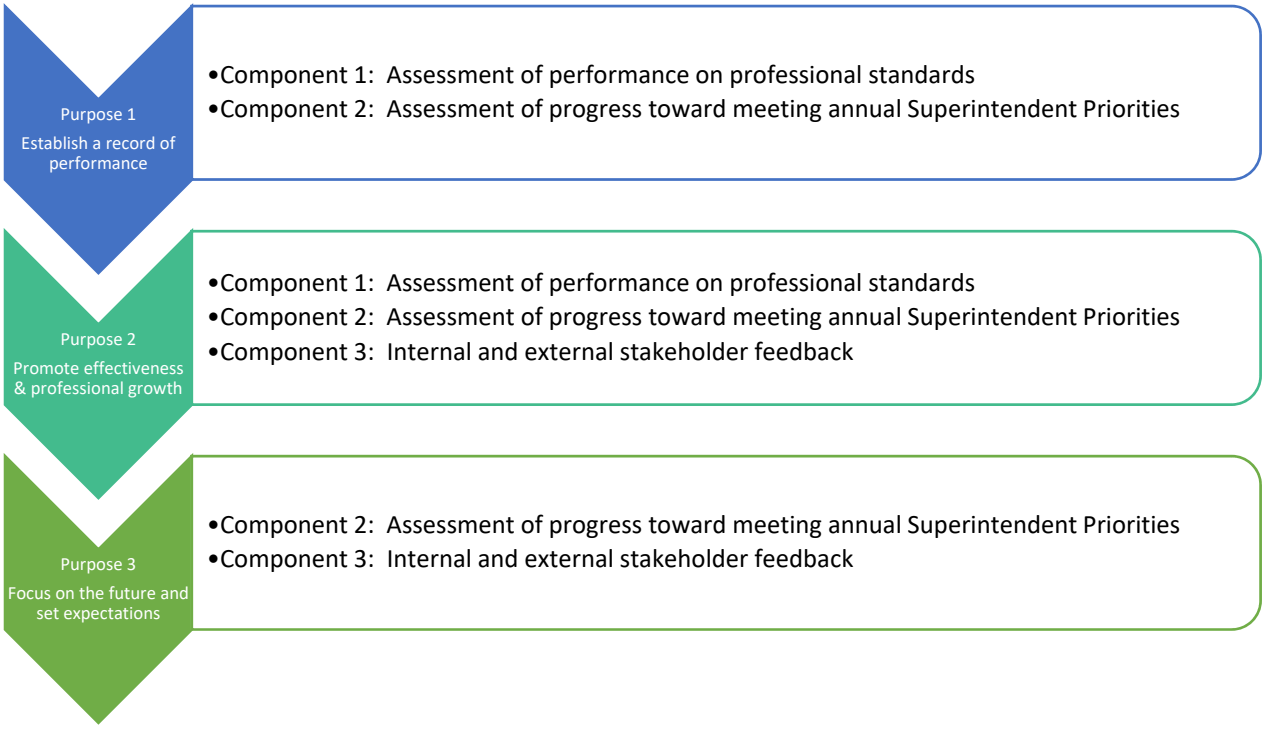
It is the Board's intent to use the evaluation as an objective tool to facilitate constructive feedback, positive and productive conversations, and continuous learning and improvement. The final results of a high-quality evaluation should not come as a surprise to either the Superintendent or the Board, 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

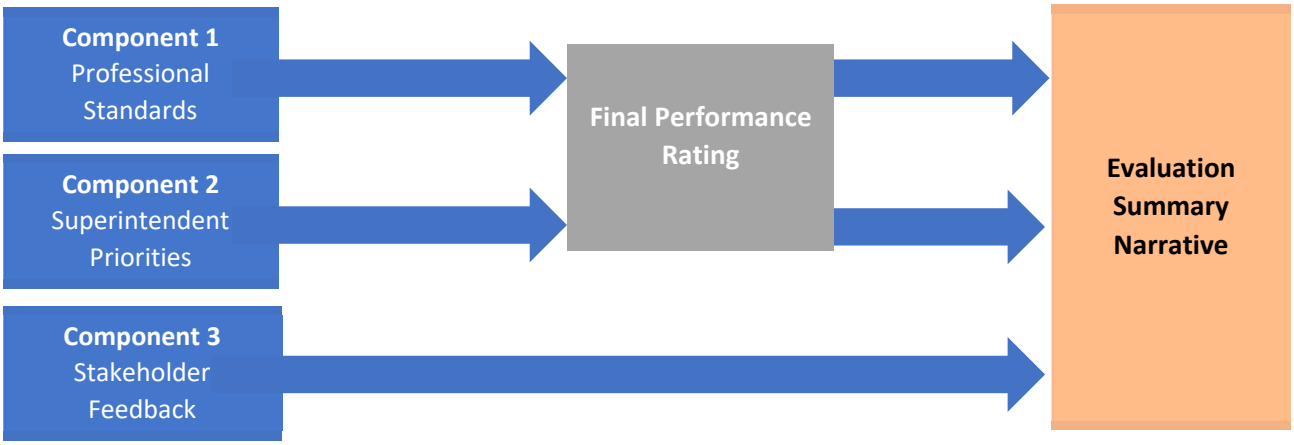
The evaluation is comprised of three components:

- 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).

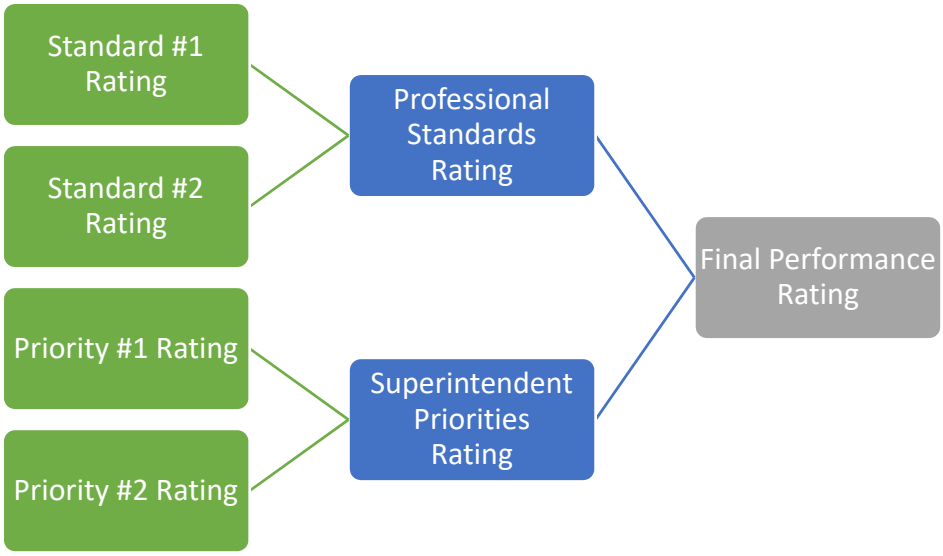


To these ends, Components 1 and 2 play a different role in the evaluation than Component 3. The Board, and the Superintendent through a self-assessment, rate Components 1 and 2 using an evaluation instrument, and the Components 1 and 2 ratings determine the final cumulative performance rating of the 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 and 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 HĀ-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 HĀ-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

<u>Component 2: Superintendent Priorities</u>

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 ideally seeks to set Superintendent Priorities that meet the SMART criteria:

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

However, during the first year of the 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.

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.

<u>Component 3: Stakeholder Feedback</u>

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.

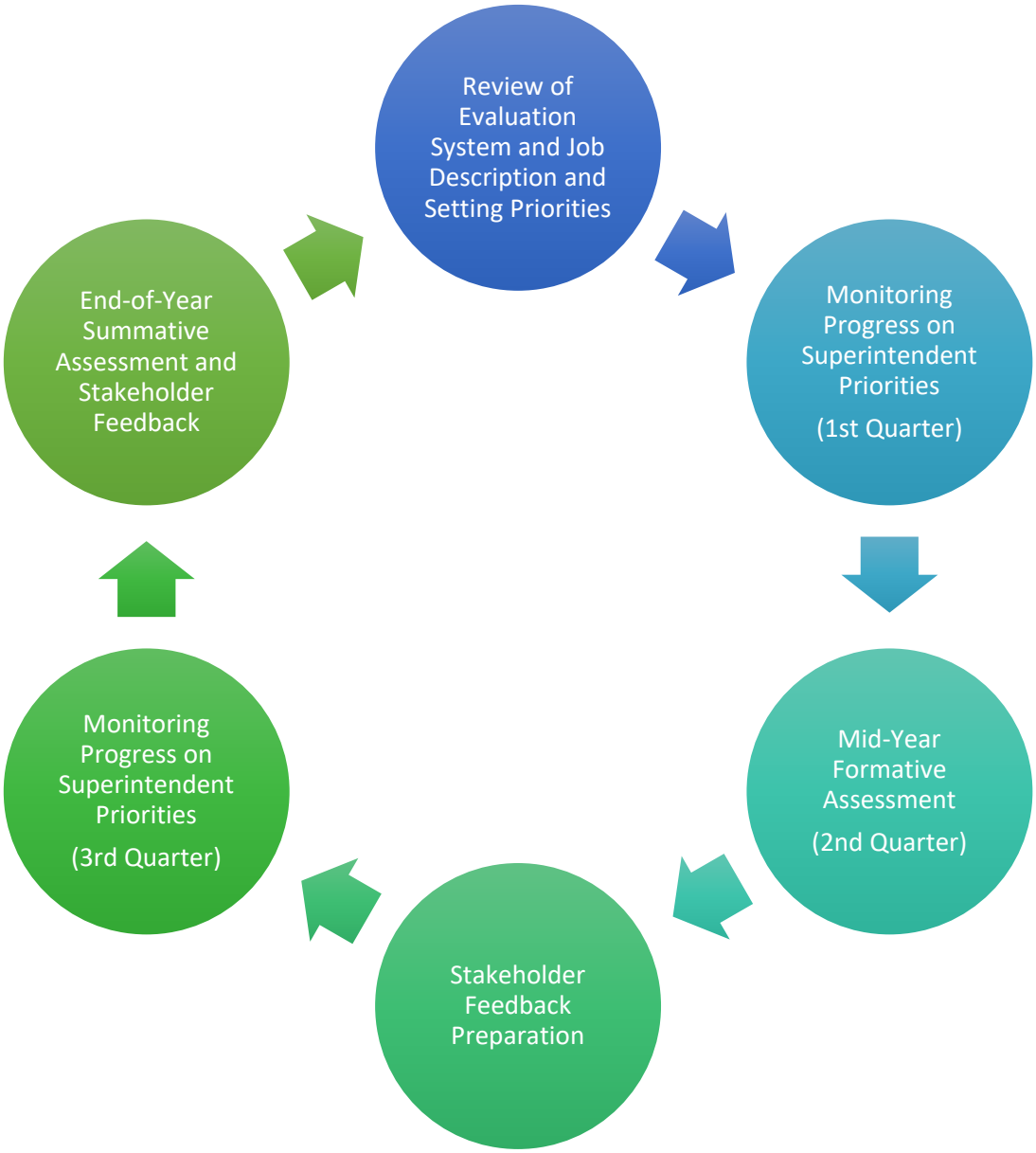
The Superintendent may also identify individuals for one-on-one, in-person stakeholder engagement opportunities to exchange feedback for a continuous learning benefit. The Superintendent may report any in-person feedback to the Board orally or in writing and may incorporate it into the leadership development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

<u>Process</u>

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
Step 1 Review of Evaluation System and Job Description and Setting Priorities	First June Board Meeting	1. The Board and Superintendent review, revise (if necessary), and mutually agree upon: • 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. 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.
	Second June Board Meeting	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.
	July	4. The Superintendent communicates the strategic priorities and Superintendent Priorities to all Complex Area Superintendents, school administrators, and educational officers.
Step 2 Monitoring Progress on Superintendent Priorities (1st Quarter)	First or Second October Board Meeting	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. 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.

STEP	TIMELINE	ACTION
Step 3 Mid-Year Formative Assessment (2nd 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 (3rd 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
		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.
	Mid-May	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.
	Second May Board Meeting	21. In executive session, the Board Office provides the Board with the end-of-year summative assessment summary document. 22. The Board discusses and comes to consensus on the summative assessment final ratings. 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. 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.

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		

Exhibit B

Sample Superintendent Evaluation Worksheets

SUPERINTENDENT EVALUATION MID-YEAR FORMATIVE ASSESSMENT WORKSHEET

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 HĀ-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 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 practices • School improvement plans • Professional development plans • Board members' individual observations

Select a rating for this professional standard and provide justification for the rating.

☐ Highly Effective ☐ Effective ☐ Marginal ☐ Unsatisfactory	Justification:
Comments and Recommendations:	

SUPERINTENDENT EVALUATION END-OF-YEAR SUMMATIVE ASSESSMENT WORKSHEET

Standard 3: Board Governance 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

Board's mid-year formative assessment rating for this professional standards and recommendations for improvement

Mid-Year Rating and Recommendations:
Prepopulated information from Board's mid-year assessment is inserted here for reference.

Select a rating for this professional standard and provide justification for the rating.

☐ Highly Effective ☐ Effective ☐ Marginal ☐ Unsatisfactory	Justification:

Comments and Recommendations:

SUPERINTENDENT EVALUATION END-OF-YEAR SUMMATIVE ASSESSMENT WORKSHEET

Superintendent Priority 1 *A description of this previously agreed upon Superintendent Priority is inserted here.*	
Indicators of success: *The previously agreed upon performance indicators for this Superintendent Priority are listed here.*	Data sources: *The previously agreed upon data sources for this Superintendent Priority are listed here.*
Board's mid-year formative assessment rating for this Superintendent Priority and recommendations for improvement	
Mid-Year Rating and Recommendations: *Prepopulated information from Board's mid-year assessment is inserted here for reference.*	
Select a rating for this Superintendent Priority and provide justification for the rating.	
☐ Highly Effective ☐ Effective ☐ Marginal ☐ Unsatisfactory	Justification:
Comments and Recommendations:	

SUPERINTENDENT EVALUATION END-OF-YEAR SUMMATIVE ASSESSMENT WORKSHEET

Component and Cumulative Performance Ratings

Professional Standards	Ratings
Standard 1: Visionary Leadership and Organizational Culture	
Standard 2: Operations, Resource, and Personnel Management	
Standard 3: Board Governance and Policy	
Standard 4: Communication and Community Relations	
Standard 5: Ethical Leadership	

Component 1 (Professional Standards) Overall Rating	
☐ Highly Effective ☐ Effective ☐ Marginal ☐ Unsatisfactory	Justification:

Superintendent Priorities	Ratings
Priority 1	
Priority 2	
Priority 3	

Component 2 (Superintendent Priorities) Overall Rating	
☐ Highly Effective ☐ Effective ☐ Marginal ☐ Unsatisfactory	Justification:

FINAL PERFORMANCE RATING:

Exhibit C

Proposed Superintendent Priorities, and associated performance indicators and evidence, for School Year 2017-2018

Superintendent Priorities 2017-2018 (Year One)

Superintendent Priority 1: The Superintendent will ensure the full implementation of the Board of Education ("Board") and Department of Education ("Department") 2017-2020 Joint Strategic Plan ("Strategic Plan") and the finalized and submitted federally required Every Student Succeeds Act state consolidated plan ("ESSA Plan"). The Superintendent will:

- **Performance Indicator 1.1**: Develop and maintain oversight of the Department's three-year implementation plan of the Strategic Plan based on three driving strategies—School Design, Student Voice and Teacher Collaboration—to be presented to the Board no later than the end of October 2017 and shared broadly with the community throughout the year through meetings, public forums, and media;

- **Performance Indicator 1.2**: Ensure Hawaii's ESSA Plan is approved by the federal Department of Education, including our plan for Comprehensive Support and Intervention ("CSI") and Targeted Support and Intervention ("TSI") system of supports; and

- **Performance Indicator 1.3**: In partnership with the Teacher Education Coordinating Committee ("TECC") (higher education partners/preparation programs) and the Hawaii Teachers Standards Board, develop a five-year teacher preparation, recruitment, and retention plan utilizing multiple approaches as informed by longitudinal data by April 2017. The Superintendent will Chair the TECC for the 2017-2018 school year to meet this objective.

Superintendent Priority 2: The Superintendent will give critical importance to closing the achievement gap and recognizes that two significant contributing factors to the gap are the performance outcomes of students receiving special education and English Learner ("EL") services. The Superintendent will:

- **Performance Indicator 2.1**: Conduct a Special Education Review and provide the Board with specific recommendations for program improvements (instructional design, staffing model, and financial model) no later than May 2018;

- **Performance Indicator 2.2**: Conduct an EL Program Review and provide the Board with specific recommendations for program improvements (instructional design, staffing model, and financial model) no later than May 2018; and

- **Performance Indicator 2.3**: Develop a three-year implementation plan by April 2018 to ensure that all schools meet the federal Individuals with Disabilities Education Act's Least Restrictive Environment ("LRE") requirements and share and discuss the plan with Department leaders across the state.

Superintendent Priority 3: The Superintendent will improve the data-driven decision-making and priority-setting processes at the Board, Superintendent, State, Complex Area, and Principal levels. The Superintendent will:

- **Performance Indicator 3.1**: Establish a model for a Leadership Dashboard that provides easy access to the 14 Strive HI Strategic Plan measures, with specificity on stewards, and lead indicators per measure; and

- **Performance Indicator 3.2**: Create a system to support schools in understanding the development of their school improvement plans in alignment with their school data reports and prioritize support through conferencing with CSI schools in the Fall of 2017.

Superintendent Priority 4: The Superintendent will ensure that the work at the school-based level helps to inform the Superintendent's planning and development of vision, policy, budget, supports, and overall direction setting. The Superintendent will:

- **Performance Indicator 4.1:** Commit to a minimum of two school visits per complex area within the first six months of the school year and to a minimum four community forums during the school year; and

- **Performance Indicator 4.2**: Develop an internal communications plan by November 2017 that will be implemented through June 2018, assess the year one impact of the internal communications plan, and create a more comprehensive two-year internal and external communications plan in alignment with the Strategic Plan.

Note: The outputs described in each indicator also serve as the data sources for assessing whether or not the Superintendent has met the respective Superintendent Priorities.

Exhibit D

Proposed Redlined Changes to Board Policy 500-5, Evaluation of the Superintendent of Education and the State Librarian

POLICY 500-5

EVALUATION OF THE SUPERINTENDENT OF EDUCATION AND THE STATE LIBRARIAN

The Superintendent of Education and the State Librarian shall be evaluated annually by the Board of Education utilizing ~~the Excluded Managerial Compensation Plan Performance Evaluation System~~an evaluation process and tool determined by the Board. The committee assigned shall conduct periodic reviews and solicit stakeholder input.

Rationale: The evaluation of the Superintendent of Education and the State Librarian is a primary responsibility of the Hawaii State Board of Education. This process is necessary to ensure that Hawaii public schools and libraries are successful in addressing the needs of the communities to which they are responsible.

[Approved: 04/19/2016 (as Board Policy 500.5); amended: 06/21/2016 (renumbered as Board Policy 500-5)]

Former policy 1200-1.15 history: approved: 09/05/2002

Exhibit E

Clean copy of proposed revised Board Policy 500-5, Evaluation of the Superintendent of Education and the State Librarian

POLICY 500-5

EVALUATION OF THE SUPERINTENDENT OF EDUCATION AND THE STATE LIBRARIAN

The Superintendent of Education and the State Librarian shall be evaluated annually by the Board of Education utilizing an evaluation process and tool determined by the Board. The committee assigned shall conduct periodic reviews and solicit stakeholder input.

Rationale: The evaluation of the Superintendent of Education and the State Librarian is a primary responsibility of the Hawaii State Board of Education. This process is necessary to ensure that Hawaii public schools and libraries are successful in addressing the needs of the communities to which they are responsible.

[Approved: 04/19/2016 (as Board Policy 500.5); amended: 06/21/2016 (renumbered as Board Policy 500-5)]

Former policy 1200-1.15 history: approved: 09/05/2002