



**ESD**  
**SUPERINTENDENT**  
**EVALUATION**  
**WORKBOOK**

Revised June 2017

OREGON SCHOOL BOARDS ASSOCIATION  
1201 Court St. NE, Suite 400, Salem, OR 97301  
800-578-6722 / 503-588-2800  
FAX 503-588-2813  
[www.osba.org](http://www.osba.org)

# ESD Superintendent Evaluation Workbook

## **A Guide for Education Service District Boards**

### Oregon School Boards Association

Dear ESD board member:

**Congratulations!** Opening this workbook shows you're taking a most important job very seriously – evaluating your superintendent.

The information, research, tips and worksheets you'll find here represent a wealth of experience compiled by our Leadership Services experts that not only makes your job *easier*, but also ensures your education service district has the qualified, progressive leadership it *deserves*.

This guide will also help you establish and clarify the roles and responsibilities within the superintendent-board team.

OSBA's ESD Superintendent Evaluation program and workbook give you the tools to create and maintain a solid leadership team that focuses on ESD services to component districts and ultimately on student achievement. Because the public demands increased accountability for student achievement and community involvement, this job is more important than ever. OSBA's approach to evaluation is designed to enhance the mission of Oregon's education service districts.

We are here whenever you need assistance.

A handwritten signature in black ink, appearing to read 'Jim Green', with a long horizontal flourish extending to the right.

Jim Green, OSBA Executive Director

## **Mission Purpose Accountability of ESDs**

“The mission of education service districts is to assist school districts and the Department of Education in achieving Oregon’s educational goals by providing equitable, high quality, cost-effective and locally responsive educational services at a regional level.”

ORS 334.005

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# OSBA ESD Superintendent Evaluation Overview

Selecting and evaluating the superintendent is one of the ESD board's most important jobs. A high-quality superintendent evaluation process helps develop good board/superintendent relationships, provides clarity of roles, creates mutual understanding of the leadership being provided and provides a mechanism for public accountability.

The evaluation process involves the four-core board governing roles:

**VISION:** What does success look like?

**STRUCTURE:** Developing a clear written evaluation plan and timeline.

**ACCOUNTABILITY:** Measuring the superintendent's performance.

**ADVOCACY:** Communicating progress among the board, superintendent and community.

**Performance evaluations are most effective when they are designed and used for communicating future expectations, not simply for reviewing past performance.** As many superintendents know, if you don't know what the board expects, it is difficult, if not impossible, to meet those expectations. On the other hand, if the board fails to monitor progress towards its goals, it will not know when they have been successfully completed.

Most boards find themselves asking questions such as these:

- What should we evaluate?
- How can we do it objectively and fairly?
- When should the superintendent's evaluation take place?

OSBA has developed an evaluation process and three-part evaluation tool that can help answer these questions and serve as the foundation upon which ESD boards can build their own evaluation process and documents.

## WHAT SHOULD WE EVALUATE?

The superintendency is a professional position equivalent to the chief executive officer in the private sector. As such, the superintendent is charged with leading and administering the organization according to the policies adopted by the ESD board. The purpose of evaluating the superintendent is not to micromanage the organization, but to provide oversight and public assurance that the policies are being effectively implemented. Another critical purpose is to provide input and feedback to the superintendent to help him or her continually improve.

The evaluation process is also used to make critical decisions about contract extensions, non-extensions or terminations. The evaluation process keeps ESD boards informed about organizational activities and progress being made toward goals. The superintendent can use the feedback to engage in personal professional development. A quality superintendent evaluation process is a win/win for the board, the superintendent and the community. So where do we begin?

## **THREE-PART EVALUATION TOOL**

OSBA has developed a three-part evaluation tool. Part 1 is based on Performance Standards established jointly by the American Association of School Administrators (AASA) and the National School Boards Association (NSBA). A group of Oregon ESD administrators met in August 2006, to modify those standards for ESD superintendents. Part 2 evaluates progress toward the goals established by the board and superintendent at the beginning of the evaluation cycle. Parts 1 and 2 are designed to be filled out by individual board members; their responses are compiled into a summary at an executive session meeting and a consensus report is prepared by the board for discussion with the superintendent. The superintendent may also fill out these parts as a self-evaluation and a basis for discussion with the board.

Part 3 consists of a 360-degree evaluation of the superintendent by members of the community, component districts and staff. It is designed to be used by the superintendent to receive feedback leading to professional development and an understanding of concerns that might not otherwise surface in Parts 1 or 2. Parts 1 and 2 are administered, compiled and reported by the board. Part 3, as it is presented here, is administered, compiled and reported by the superintendent. (Other options for the 360-degree evaluation include having a board designee or outside third-party administer and compile the information.)

### **Part 1: Performance Standards**

Professional standards for the superintendency have been established by the AASA with NSBA. Eight standards describe the fundamental job requirements that superintendents must address. A group of ESD administrators and board members modified these standards to reflect the unique role of ESD superintendents. The result is seven standards which serve as the foundation of the performance standards section of the OSBA ESD Superintendent Evaluation Form.

For each professional standard, AASA has identified performance indicators that can help you discern whether the standard has been attained. OSBA has included many of the AASA indicators, in addition to others, in the evaluation form so that boards will have some basis from which to make judgments about the superintendent's performance. These performance indicators focus primarily on personal characteristics and management style of the superintendent.

### **Part 2: ESD Superintendent's Goals**

Each year, the ESD board and superintendent team should meet to develop a clear set of goals for the organization for the coming year. The board's role is to set these end results that clarify the boards expectations of "what" the board expects to be achieved. The superintendent then prepares an action plan defining the means to be used to achieve the goals. These goals, and the action plans, serve as a basis for Part 2 of the evaluation process.

### **Part 3: 360-Degree Evaluation (*optional*)**

A 360-degree evaluation allows the board and superintendent to request more subjective information from direct reports, union leadership, component districts and/or community stakeholders. Participants should be selected by the superintendent or by the superintendent and board together. The superintendent compiles that information received in the 360-degree evaluation to share with the board at the performance review, or the board may receive the information directly.

**It is important that everyone understands the 360-degree evaluation provides additional information to the board but it is not “the” evaluation. The board is responsible for determining the final evaluation.**

### **Superintendent Self-Evaluation**

The superintendent responds to Parts 1 and 2 as a self-assessment to be presented to the board as part of the evaluation process. The results of the 360-degree evaluation (if used) and superintendent self-evaluation should be presented to the board before the board members fill out their individual worksheets.

This process, or any variation on it, needs to be agreed to by all parties at the beginning of the year.

### **COMPILING RESULTS**

The board meets in executive session to discuss the results and agree on a consensus evaluation that will be presented in the meeting with the superintendent. The individual responses in Parts 1 and 2 are worksheets only. Compiling results is best done by discussion among all board members sitting together in executive session. It is important that the members recognize the importance of coming to a consensus and speaking with one voice in the evaluation. The superintendent works for the board as a whole, not individual board members. Evaluation responses from individual board members can be confusing, particularly when they are in opposition to one another. The board must make every effort to speak with a single voice in setting expectations and assessing success.

## HOW CAN WE DO IT OBJECTIVELY AND FAIRLY?

It is the responsibility of the ESD board to evaluate the performance of the superintendent. No process or form is completely objective. There will always be some subjectivity and judgment on the board's part. Remember that board members are elected to make those judgments. The OSBA ESD Superintendent Evaluation Forms for Performance Standards (Part 1) and Goals (Part 2) are designed to reduce subjectivity and increase objectivity. Fair application of the evaluation process is best determined through collaboration and agreement by the board and superintendent about what, how and when the superintendent evaluation will be conducted. The 360-degree evaluation (Part 3) allows the superintendent or board to receive additional input from select individuals at the superintendent's or board's discretion, in what may be a more subjective manner.

### Documentation

The OSBA ESD Superintendent Evaluation Form is more than a checklist. It requires the objective consideration of evidence or documentation of the degree to which each standard has been met. This can be provided orally, as written lists, or as specific documents. Some boards and superintendents may select a portfolio approach. Part 1 of the form includes a list of performance indicators for each standard. Board members should not rate indicators; instead they should consider indicators in determining the overall rating for that performance standard.

### Written Comments

Written comments always help clarify the evaluation. This provides the board with the opportunity to deliver specific constructive criticism and/or accolades and provides the superintendent with useful information for continuous performance improvement. Again, the board should speak with one voice in making written comments on the final summary evaluation form.

### Public Meetings Law

A governing body such as a school board, ESD board or community college board may hold an *executive session* to evaluate the job performance of its chief executive officer, so long as the person being reviewed does not request an *open session*. ORS 192.660(2)(i). However, the executive session for evaluation does not allow the board to discuss the superintendent's salary, conduct a general evaluation of an agency goal or give directives to personnel about agency goals. ORS 192.660(8). The governing body must give advance warning of the performance evaluation to allow the person whose performance will be evaluated to choose whether to conduct the evaluation in open session or executive session.

The requirement that the "standards, criteria and policy directives to be used in evaluating chief executive officers" must be adopted in a public meeting in which there was an opportunity for public comment was eliminated by the 2003 Legislature. (HB 2425, 2003)

The Attorney General's Public Records and Meetings Manual states that disclosure of the performance evaluation for the chief executive officer generally is not an unreasonable invasion of privacy and, therefore, disclosable to the public even though the actual evaluation was held in executive session. This disclosure is in contrast to the disclosure of a record of discipline about a public officer, which is conditionally exempt from disclosure. OSBA recommends that a narrative summary of the performance evaluation be released to the public with the consent of the superintendent after the evaluation is complete.

### **Evaluation Conferences**

Face-to-face conversations between the board and superintendent are essential to an effective process. Meetings should occur to establish the superintendent's goals, the evaluation document and process to be used, the documentation of the superintendent's performance and a summative evaluation conference. It is recommended that the superintendent fill out a self-evaluation of Parts 1 and 2. When the board meets to discuss the results of its evaluation, it should hear the superintendent's report of his or her self-evaluation, as well as the 360-degree evaluation report.

# **WHEN SHOULD THE SUPERINTENDENT'S EVALUATION TAKE PLACE?**

## **Pre-Evaluation**

Prior to the beginning of the new school year, goals and expectations for the superintendent should be mutually established with the board. These goals are often established during a planning retreat or work session during the spring or summer. If possible, set goals before the budget process begins. The previous spring is ideal because it allows the incorporation of ESD goals into budget planning, staffing and professional development for the coming year. Agreement on the form, process and timeline for evaluation should also be in place.

## **Contract Extension Review**

By March 15, superintendents must be notified about extension or non-extension of their current contract (ORS 342.513). Other timelines may also exist within the superintendent's contract itself. To make these decisions, a performance review should take place prior to these deadlines so that the board can make informed judgments about continuation of employment.

## **Review Results**

The result of the review should be steps for professional development for the superintendent and a plan for informing the community about the results of the evaluation and status of the ESD's goals.

## **At Conclusion of the Evaluation**

Before the beginning of the next school year, the board and administration should meet to begin the next cycle of goal setting and evaluation. This timeline allows the superintendent time to plan for the ensuing year. The goals should be publicized to keep the organization informed.

## **Communication with the Community**

The superintendent evaluation process provides the board an opportunity to share the ESD's progress with the community. A summary of the board's conclusions should be prepared by the board from the worksheet data after the evaluation.

# TIMELINE AND ACTION

## **March/April** (prior to completion of the budget)

1. Superintendent and board set/review ESD goals for the upcoming year.
2. Superintendent and board update long-range plans for the district.
3. Board/superintendent review superintendent job description/standards/goals and the evaluation process, forms and timelines to be used next year.

**Adoption should be done in a public meeting.** *(If the board desires staff and community input to come directly to the board (i.e., 360-degree survey), it should be discussed and approved in the beginning of the evaluation cycle.)*

## **July/October/January**

4. Superintendent reports interim progress on ESD and evaluation goals to the board. The July update deals with the previous school year while the October/January updates provide progress on the current school year.  
*(While the updates will be done in an open meeting, any conversation about the superintendent's performance should be done in executive session.)*

## **January**

5. *(Optional, if discussed in the beginning of the evaluation cycle.)* Depending on who will receive the feedback from the 360-degree survey, the board or the superintendent prepares questions, selects individuals to participate, distributes the forms, collects and collates the results.
6. Superintendent completes a self-assessment of the evaluation forms Parts 1 and 2.
7. Board members complete Parts 1 and 2 of the superintendent evaluation form.

## **February**

8. Board members meet to discuss their individual evaluations and develop the board's official document that will be shared with the superintendent.

## **By March 15** (or date specified in contract)

9. Board and superintendent meet to discuss and clarify the results of the evaluation documents. *(Changes to the evaluation may be made as a result of the discussions.)* Evaluation meetings may be held in executive session (ORS 192.660(2)(i)) unless the superintendent requests an open meeting. **The final approval of the finished evaluation must be done in open session.**
10. A copy of the final written evaluation form is placed in the personnel folder.

## **As soon as evaluation is complete**

11. The results of the evaluation are shared with the community.
12. Return to the beginning of the cycle.

# ESD SUPERINTENDENT EVALUATION FORMS

## Part 1: Performance Standards

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### Instructions

1. Attached are the forms to be completed by each board member rating each of the seven performance standards. A separate page is provided for each performance standard. Each board member should rate all seven of the performance standards.
2. Each performance standard has performance indicators listed below it. These performance indicators suggest objective measures to consider; do not rate each performance indicator separately. Only rate the overall performance standard.
3. Your comments in support of your rating will be helpful during the board discussion for preparation of a summary evaluation form.
4. Each board member's forms should be used as his or her own notes for the board's executive session discussion.
5. The board will meet in executive session to discuss the results and prepare a final summary evaluation form representing the consensus of the board.
6. The superintendent will be presented with the final summary report from the full board, not the individual board members' evaluation forms. **It is important that the board speak with one voice in evaluating the superintendent.**

# Standard 1: VISIONARY LEADERSHIP

The superintendent is an educational leader who integrates principles of cultural competency and equitable practice and promotes the success of every student by facilitating the development, articulation, implementation and stewardship of a vision of learning that is shared and supported by all.

## Performance Indicators:

*(Do not rate individual indicators. These are only listed to help you think about the standard.)*

The superintendent:

- 1.1 Collaboratively develops and implements a shared vision and mission;
- 1.2 Collects and uses data to identify goals, assess organizational effectiveness | and promote organizational learning;
- 1.3 Creates and implements plans to achieve goals;
- 1.4 Promotes continuous and sustainable improvement;
- 1.5 Monitors and evaluates progress and revises plans.

Ineffective	Developing	Effective	Accomplished
<p>Little or no evidence exists of an organizational vision implemented in the work of the ESD programs.</p> <p>Actions, staffing and resources have little connection to a vision.</p> <p>It is difficult to know what the organization stands for.</p>	<p>References the organizational vision and is beginning to develop a plan for aligning resources, actions and staffing to that vision.</p> <p>Is engaged in learning and occasionally incorporates innovative ideas to support the vision.</p>	<p>Articulates the vision of the organization in writing and speech.</p> <p>Works to create alignment within actions, staffing and resources designed to enroll all stakeholders in the vision.</p> <p>Exhibits the disposition of a learner, practices and applies new learning to further the mission of the organization.</p> <p>The organizational vision is focused on student learning and service to component districts.</p>	<p>Articulates a clear and coherent vision for the organization through words and actions.</p> <p>Exhibits the disposition of a learner, practices and applies new learning to further the mission of the organization.</p> <p>Leadership actions, staffing and resources are clearly aligned to invest in the accomplishment of the vision.</p> <p>The vision is lively and evident in the culture, focused on student learning and articulates the excellence that distinguishes student performances throughout the organization.</p>

## Summary Rating — Standard 1:

*(check one)*

- 1 INEFFECTIVE \_\_\_\_\_
- 2 DEVELOPING \_\_\_\_\_
- 3 EFFECTIVE \_\_\_\_\_
- 4 ACCOMPLISHED \_\_\_\_\_

Comments:

## Standard 2: POLICY AND GOVERNANCE

The superintendent works with the board to identify, prioritize and follow policies and governance procedures that maximize the goal of ensuring a high-quality education for every student. The superintendent follows and enforces policies with fidelity and equity, promoting transparency, trust and organizational fairness. The superintendent values the importance of a healthy working relationship with the board and enlists the board's support for organizational goals.

### Performance Indicators:

*(Do not rate individual indicators. These are listed only to help you think about the standard.)*

The superintendent:

- 2.1 Understands and articulates the system of public school governance and differentiates between policy-making and administrative roles;
- 2.2 Establishes procedures for superintendent/board interpersonal and working relationships;
- 2.3 Understands and interprets the role of federal, state and regional governments, policies and politics and their relationships to local districts and schools;
- 2.4 Uses legal counsel in governance and procedures to avoid civil and criminal liabilities.

Ineffective	Developing	Effective	Accomplished
Not engaged in work related to policies.	Engages minimally in policy work.	Fully engaged in policy work.	Develops an exemplary system of policy consideration and revision.
Does not enforce organization policies.	Unevenly or inequitably enforces policies.	Appropriately and equitably enforces policies.	The organization takes pride in the equitable enforcement of organization policies.
Behavior indicates a lack of value in a healthy working relationship with the board.	Occasionally demonstrates behavior indicating a value of a healthy working relationship with the board.	Demonstrates reasonable value of a healthy working relationship with the board.	Proactively and effectively engages the board in the work of advancing organizational goals.
Does not engage the board in the work of advancing organizational goals.	Unevenly engages the board in the work of advancing organizational goals.	Effectively engages the board in the work of advancing organizational goals.	

### Summary Rating — Standard 2:

*(check one)*

- 1 INEFFECTIVE \_\_\_\_\_
- 2 DEVELOPING \_\_\_\_\_
- 3 EFFECTIVE \_\_\_\_\_
- 4 ACCOMPLISHED \_\_\_\_\_

Comments:

# Standard 3: COMMUNICATIONS AND COMMUNITY RELATIONS

This standard emphasizes the skills necessary to establish effective two-way communications with districts, staff, other stakeholders and the community including, beneficial relationships with the media and legislators. It also stresses responding to community feedback and building community support for the agency among the constituent districts.

## Performance Indicators:

*(Do not rate individual indicators. These are listed only to help you think about the standard.)*

The superintendent:

- 3.1 Develops formal and informal techniques to gain external perceptions of the ESD;
- 3.2 Demonstrates effective communication skills (written, verbal and non-verbal contexts, formal and informal settings, large and small group and one-on-one environments);
- 3.3 Promotes involvement of all stakeholders to fully participate in the process of service provision;
- 3.4 Establishes effective relations with our component districts, business partners and stakeholders;
- 3.5 Understands the role of media in shaping and forming opinions as well as how to work with the media;
- 3.6 Effectively communicates the role of the ESD as a business serving component school districts.

Ineffective	Developing	Effective	Accomplished
<p>Ineffective in communication with component school districts, staff, parents and students.</p> <p>Component districts, staff and students feel undermined by the lack of leadership in the school.</p> <p>Not aware of the undercurrents with staff or the organizational environment.</p>	<p>Advocates for some component districts, staff, students and families.</p> <p>Stakeholders frequently feel out of the loop.</p> <p>Many staff members do not feel positive about organizational leadership.</p> <p>Staff and students do not feel stimulated to do their best work.</p>	<p>Keeps component districts, staff, students and parents informed on a regular basis.</p> <p>Communication with individuals and groups is clear and effective.</p> <p>Most staff and students identify positively with organizational leadership.</p>	<p>Communicates key information to all stakeholders in an appropriate and timely manner.</p> <p>Alert to potential issues; predicts and shares possibilities with ESD board in advance.</p> <p>Constituent groups report a positive relationship with organizational leadership.</p>

## Summary Rating – Standard 3:

*(check one)*

- 1 INEFFECTIVE \_\_\_\_\_
- 2 DEVELOPING \_\_\_\_\_
- 3 EFFECTIVE \_\_\_\_\_
- 4 ACCOMPLISHED \_\_\_\_\_

Comments:

# Standard 4: EFFECTIVE MANAGEMENT

The superintendent integrates principles of cultural competency and equitable practice and promotes the success of every student by ensuring management of the organization, operation and resources for a safe, efficient and effective learning environment.

## Performance Indicators:

*(Do not rate individual indicators. These are listed only to help you think about the standard.)*

The superintendent:

- 4.1 Monitors and evaluates the management of operational systems;
- 4.2 Obtains, allocates, aligns and efficiently uses human, fiscal and technological resources;
- 4.3 Promotes and protects the welfare and safety of students and staff;
- 4.4 Develops the capacity for adaptive leadership;
- 4.5 Ensures teacher and organizational time is focused to support quality instruction/student learning.

Ineffective	Developing	Effective	Accomplished
<p>Management of the organization's operations is poor or non-existent.</p> <p>The organization is disorderly, disorganized and there is a feeling that the agency is "out of control."</p> <p>Budget guidelines are not adhered to and/or the budget is not related to a vision for the organization.</p>	<p>Expectations for staff and students are inconsistent and not well known.</p> <p>The daily operating procedures are occasionally followed but are frequently changed.</p> <p>The budget does not support the organization's priorities and budget category limits are not always followed.</p>	<p>Establishes a clear set of operating procedures for effective operation of the organization.</p> <p>Students and staff are held accountable for their performance and conduct.</p> <p>The annual budget is adhered to with only approved variances.</p>	<p>Establishes a clear set of standard operating procedures and routines that exemplify the organization's vision and values and maximize the opportunity for each student's learning.</p> <p>Students and staff can articulate expectations and are inspired to strive for excellence in conduct and performance.</p> <p>Students and staff hold each other accountable for high-quality performance.</p> <p>Develops and manages a budget that maximizes the learning goals of the ESD.</p>

## Summary Rating — Standard 4:

*(check one)*

- 1 INEFFECTIVE \_\_\_\_\_
- 2 DEVELOPING \_\_\_\_\_
- 3 EFFECTIVE \_\_\_\_\_
- 4 ACCOMPLISHED \_\_\_\_\_

Comments:

# Standard 5: RESOURCE MANAGEMENT

The superintendent effectively organizes and manages operational aspects of the organization including finance, human resources, food services, transportation, maintenance and facilities so that students can attend and learn in quality environments staffed by quality professionals.

## Performance Indicators:

*(Do not rate individual indicators. These are listed only to help you think about the standard.)*

The superintendent:

- 5.1 Demonstrates use of system and staff evaluation data for personnel policies, decision-making, promotion of career growth and professional development;
- 5.2 Identifies and applies appropriate polices, criteria and processes for the recruitment, selection, induction, compensation and separation of personnel with attention to issues of equity and diversity;
- 5.3 Makes sound fiscal decisions, in line with the organization’s strategic goals, and establishes clear and transparent systems of fiscal control and accountability.

Ineffective	Developing	Effective	Accomplished
Does not effectively manage or appropriately staff operational aspects of the organization, resulting in inferior quality and/or unsafe services for staff and students.  Irresponsibly and imprudently manages the fiscal aspects of the organization.	Unevenly manages and staffs the operational aspects of the organization, resulting in situations where inferior quality learning environments and/or unsafe situations arise for staff and students.  Makes avoidable errors in fiscally managing the organization and the organization has inconsistent fiscal lines of control and accountability.	Puts in place systems and staff so that environments are conducive to learning and are consistently safe.  Makes sound fiscal decisions in line with the organization’s strategic goals and establishes clear and transparent systems of fiscal control and accountability.	Puts in place systems that create environments that inspire learning and that are highly reliably safe.  Makes quality fiscal decisions in line with the organization’s strategic goals that are innovative and forward thinking.  Clear and transparent systems of financial control and accountability are universally followed.

## Summary Rating — Standard 5:

*(check one)*

- 1 INEFFECTIVE \_\_\_\_\_
- 2 DEVELOPING \_\_\_\_\_
- 3 EFFECTIVE \_\_\_\_\_
- 4 ACCOMPLISHED \_\_\_\_\_

Comments:

# Standard 6: LABOR RELATIONS

This performance standard requires the superintendent to provide technical advice to the board during labor negotiations, and/or to keep the board apprised of negotiation status, to understand and effectively administer negotiated labor contracts and to keep abreast of legislative changes affecting the collective bargaining process.

## Performance Indicators:

*(Do not rate individual indicators. These are listed only to help you think about the standard.)*

The superintendent:

- 6.1 Develops bargaining strategies based upon collective bargaining laws and processes;
- 6.2 Identifies contract language issues and proposes modifications;
- 6.3 Participates in the collective bargaining processes as appropriate;
- 6.4 Establishes productive relationships with bargaining groups while managing contracts effectively.

Ineffective	Developing	Effective	Accomplished
Is antagonistic toward union leadership; doesn't work to improve relations.	Accepts that collective bargaining is a necessary and difficult process. Works to make the best of it.	Is proactive in sharing information and purposely avoids conflict.	Actively seeks to improve the bargaining experience through mutual training, trust and sharing of information.

## Summary Rating – Standard 6:

*(check one)*

- 1 INEFFECTIVE \_\_\_\_\_
- 2 DEVELOPING \_\_\_\_\_
- 3 EFFECTIVE \_\_\_\_\_
- 4 ACCOMPLISHED \_\_\_\_\_

Comments:

# Standard 7: ETHICAL LEADERSHIP

The superintendent integrates principles of cultural competency and equitable practice and promotes the success of every student by acting with integrity, fairness and in an ethical manner.

## Performance Indicators:

*(Do not rate individual indicators. These are listed only to help you think about the standard.)*

The superintendent:

- 7.1 Ensures a system of accountability for every student’s academic and social success;
- 7.2 Models principles of self-awareness, reflective practice, transparency and ethical behavior;
- 7.3 Safeguards the values of democracy, equity and diversity;
- 7.4 Promotes social justice and ensures that individual student needs inform all aspects of schooling.

Ineffective	Developing	Effective	Accomplished
<p>Actions and intention are not always grounded in shared organizational values.</p> <p>Has demonstrated inconsistent or unethical behavior and does not always stand by his/her word.</p> <p>Is not self-aware and does not reflect on his/her practice.</p>	<p>Actions and intentions are not always clear and transparent.</p> <p>Fairness to stakeholders is frequently raised as an issue.</p> <p>Reflects on practice but does not always implement changes from that learning.</p>	<p>Treats all stakeholders fairly and shows respect at all times.</p> <p>Is grounded in shared organizational values for how to do the work of leadership and learning.</p> <p>Acts to support all stakeholders to raise academic rigor while simultaneously closing opportunity gaps.</p> <p>Demonstrates self-awareness and uses reflection to improve practice.</p>	<p>Operates with an ethic of excellence and is grounded in shared organizational values for how to do the work of leadership and learning.</p> <p>Values are demonstrated each day as all stakeholders experience deep respect, as complex decisions are made with integrity, kindness, compassion and courage.</p> <p>Works for equity and social justice by raising rigor for all and simultaneously closing opportunity gaps.</p> <p>Demonstrates a high level of self-awareness and regularly reflects on practice to improve.</p>

## Summary Rating — Standard 7:

*(check one)*

- 1 INEFFECTIVE \_\_\_\_\_
- 2 DEVELOPING \_\_\_\_\_
- 3 EFFECTIVE \_\_\_\_\_
- 4 ACCOMPLISHED \_\_\_\_\_

Comments:

# ESD SUPERINTENDENT EVALUATION FORMS

## Part 2: Goals

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### Instructions

Part of the superintendent's job is to guide the ESD toward successful completion of goals as adopted by the board of directors and to report progress toward goal attainment on a regular, prescribed periodic basis.

1. Attached are forms to be completed by each board member rating the superintendent's performance in meeting the goals agreed to by the superintendent and the board at the beginning of the year. Each goal statement needs to be inserted into a separate form before the forms are distributed.
2. Each board member should rate the performance level for each goal.
3. Comments supporting the rating will be helpful during the board discussion for preparation of a summary evaluation form.
4. Board members should bring their forms to the executive session to use as their notes for discussion.
5. The board will meet in executive session to discuss the results and prepare a summary evaluation form representing the consensus of the board.
6. The superintendent will be presented with one final summary report from the full board, not the individual evaluations. **It is important that the board speak with one voice in evaluating the superintendent.**

**Goal Statement 1:**

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The superintendent's performance:

Summary Rating — Goal 1: *(check one)*

- 1 INEFFECTIVE \_\_\_\_\_
- 2 DEVELOPING \_\_\_\_\_
- 3 EFFECTIVE \_\_\_\_\_
- 4 ACCOMPLISHED \_\_\_\_\_

Comments:

## Goal Statement 2:

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The superintendent's performance:

Summary Rating — Goal 2: *(check one)*

- 1 INEFFECTIVE \_\_\_\_\_
- 2 DEVELOPING \_\_\_\_\_
- 3 EFFECTIVE \_\_\_\_\_
- 4 ACCOMPLISHED \_\_\_\_\_

Comments:

### Goal Statement 3:

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The superintendent's performance:

Summary Rating — Goal 3: *(check one)*

- 1 INEFFECTIVE \_\_\_\_\_
- 2 DEVELOPING \_\_\_\_\_
- 3 EFFECTIVE \_\_\_\_\_
- 4 ACCOMPLISHED \_\_\_\_\_

Comments:

# BOARD RATINGS SUMMARY FORMS

## Part 1 & 2: Performance Standards and Goals

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### Instructions

This summary section is to be used to compile individual board member responses. The board members should meet in executive session to discuss their individual input and prepare composite results. Once board members have met and agreed on the ratings and comments to be presented to the superintendent, the same forms can be used as the final evaluation document for Part 1. It is important that board members reach consensus and speak with one voice for the final evaluation of the superintendent.

### Sample Computation

	Board Member 1	Board Member 2	Board Member 3	Board Member 4	Board Member 5	Average Rating
<b>Part 1 Standards</b>						
Visionary Leadership	3	4	4	3	4	3.6
Policy and Governance	3	4	3	3	4	3.4
Communications and Community Relations	4	4	4	4	4	4.0
Effective Management	4	3	4	3	4	3.6
Resource Management	4	4	4	4	4	4.0
Labor Relations	2	3	3	3	3	2.8
Ethical Leadership	3	3	4	3	4	3.4
<b>Part 2 Goals</b>						
Goal 1	3	3	3	4	4	3.4
Goal 2	3	4	4	3	4	3.6
Goal 3	4	4	4	4	4	4.0

## Recommended grading:

<b>SCORES BETWEEN:</b>	<b>GRADE</b>
3.5 - 4.0	Accomplished
2.5 - 3.4	Effective
1.5 - 2.4	Developing
0.0 - 1.4	Ineffective

# EVALUATION FORMS

## Part 3: 360-Degree Evaluation

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### **Instructions for Board and Superintendent**

The 360-degree evaluation is a superintendent- or board-led part of the evaluation process that asks constituents for input leading to appropriate professional development and changes in interpersonal and administrative methods. The superintendent and/or board should design the questions and collate and summarize responses. The purpose of the 360-degree evaluation is to give the superintendent/board additional information to be considered in the evaluation process.

Suggested evaluators are: teachers, administrators, component district staff/administrators, parents, support staff and other community members with whom the superintendent regularly interacts. Multiple evaluators reflect the collective wisdom of groups who work for or with the superintendent. The evaluation provides a variety of stakeholders an opportunity to voice their understanding of how the top educational leader is performing.

Use appropriate Standards and Goals for component districts, administration and staff.

## **STEPS FOR THE SUPERINTENDENT AND/OR BOARD:**

### **Step 1:**

Identify the questions to be asked of evaluators or the goals/competencies to be evaluated.

Suggested questions:

1. Goal #\_\_ for the superintendent and agency is (fill in goal). How has the superintendent done in leading the organization toward reaching this goal?
2. What is working well with regard to the superintendent's role in our organization? Please list specific examples.
3. What areas offer room for improvement? Please list specific examples.
4. Has the superintendent effectively communicated with members of the organization and/or component districts this year?
5. Are stakeholder expectations of the superintendent being met?

### **Step 2:**

Select the evaluation respondents. The evaluators should represent all constituent groups: Administrators, teachers, staff members, component school districts, parents and community members. The number of respondents should be high enough to give fair representation to all groups. Responses should be anonymous.

### **Step 3:**

Distribute the 360-degree survey to the respondents with instructions and a date for return of the materials.

### **Step 4:**

Analyze the data from the respondents and create the final report to be shared by the superintendent with the school board or from the board to the superintendent.

### **Step 5:**

Develop an action plan to improve on successes and address concerns raised from the 360-degree survey responses.

# EVALUATION FORMS

## Part 3: 360-Degree Evaluation

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You have been selected to participate in a “360-degree evaluation” of the superintendent of schools. This evaluation will be read and tabulated by the superintendent. It is intended to help the superintendent assess his or her own performance, strengths and weakness, and topics for professional development. The questions and participants in the evaluation were selected by the superintendent.

Please provide a rating AND an explanation of your rating, citing specific examples.

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### Question 1:

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#### The superintendent's performance:

- 1 INEFFECTIVE
  - 2 DEVELOPING
  - 3 EFFECTIVE
  - 4 ACCOMPLISHED
- 

#### Explanation of your rating, examples:

# EVALUATION FORMS

## Part 3: 360-Degree Evaluation

Please provide a rating AND an explanation of your rating, citing specific examples.

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**Question 2:**

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**The superintendent's performance:**

- 1 INEFFECTIVE
  - 2 DEVELOPING
  - 3 EFFECTIVE
  - 4 ACCOMPLISHED
- 

**Explanation of your rating, examples:**

# EVALUATION FORMS

## Part 3: 360-Degree Evaluation

Please provide a rating AND an explanation of your rating, citing specific examples.

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### Question 3:

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The superintendent's performance:

- 1 INEFFECTIVE
  - 2 DEVELOPING
  - 3 EFFECTIVE
  - 4 ACCOMPLISHED
- 

Explanation of your rating, examples:

# **SAMPLE: EVALUATION SUMMARY**

**Below is a sample Summary of Superintendent's Annual Evaluation by the Education Service District Board summary of a board's evaluation of its superintendent.**

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The board of directors of the ESD has completed the annual evaluation of Superintendent Sample for 200\_. The past year has been a positive one (or a challenging one) for education in our ESD. All five school board members have served on the board for at least one full year and have been able to observe and be a part of the successes achieved this year.

The evaluation focused on: 1) professional standards 2) the goals for the organization set by the board and superintendent last year and 3) a 360-degree review of the superintendent's performance by a representative group of the component districts and community.

In the areas of the professional standards, we have determined that Superintendent Sample's performance was excellent in the areas of leadership, communications and community relations, and organizational management. The board felt his performance was outstanding in the areas of policy and governance and labor relations. Human resources management and values and ethics of leadership all received a rating of good.

The board determined that Superintendent Sample has done an outstanding job of attaining the goal set by the board and superintendent in August of last year to update and align the agency's policies. His success at achieving the goal of improving staff morale and retaining professional staff was rated good. The achievement of success in meeting the third goal, to improve staff and community communications, was also rated good.

Superintendent Sample chose to distribute a 360-degree evaluation to members of the component district's administration, staff and community for feedback on his performance. He has shared with us the results of that feedback, which reflects that staff morale has improved and that significant policy updates have been well received. He also shared with us his desire to further improve staff morale and focus on bringing the community together in support of the schools and ESD.

We will be working with Superintendent Sample over the next several weeks to develop goals for our organization and look forward to working together to make our ESD successful.

# GOAL-SETTING WORKSHEET

Goal Statement:

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Action Steps	Timeline	Estimated Resources	Who is responsible?
1.			

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2.

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3

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4.

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Evaluation Plan: Communication Plan:

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## **PERTINENT OREGON REVISED STATUTES (ORS)**

### **ORS 192.660 Executive sessions permitted on certain matters**

[ORS 192.610 \(Definitions for ORS 192.610 to 192.690\) to 192.690 \(Exceptions to ORS 192.610 to 192.690\)](#) do not prevent the governing body of a public body from holding executive session during a regular, special or emergency meeting, after the presiding officer has identified the authorization under [ORS 192.610 \(Definitions for ORS 192.610 to 192.690\) to 192.690 \(Exceptions to ORS 192.610 to 192.690\)](#) for holding the executive session.

(2) The governing body of a public body may hold an executive session: ...

(i) To review and evaluate the employment-related performance of the chief executive officer of any public body, a public officer, employee or staff member who does not request an open hearing. ...

(8) A governing body may not use an executive session for purposes of evaluating a chief executive officer or other officer, employee or staff member to conduct a general evaluation of an agency goal, objective or operation or any directive to personnel concerning agency goals, objectives, operations or programs. ...

### **ORS 334.175 Core Services**

(1) An education service district shall provide regionalized core services to component school districts. The goals of these services are to:

(a) Assist component school districts in meeting the requirements of state and federal law;

(b) Improve student learning;

(c) Enhance the quality of instruction provided to students;

(d) Enable component school districts and the students who attend schools in those districts to have equitable access to resources; and

(e) Maximize operational and fiscal efficiencies for component school districts.

(2) The services provided by an education service district shall be provided according to a local service plan developed by the education service district and component school districts. The education service district and component school districts shall develop the local service plan to meet the goals specified in subsection (1) of this section. The local service plan must include services in at least the following areas:

(a) Programs for children with special needs, including but not limited to special education services and services for at-risk students.

(b) Technology support for component school districts and the individual technology plans of those districts, including but not limited to technology infrastructure services, data services, instructional technology services and distance learning.

(c) School improvement services for component school districts, including but not limited to:

(A) Services designed to support component school districts in meeting the requirements of state and federal law;

(B) Services designed to allow the education service district to participate in and facilitate a review of the state and federal standards related to the provision of a quality education by component school districts;

(C) Services designed to support and facilitate continuous school improvement planning;

(D) Services designed to address schoolwide behavior and climate issues; and

(E) Services designed to support career and technical education.

(d) Administrative and support services for component school districts, including but not limited to services designed to consolidate component school district business functions, liaison services between the Department of Education and component school districts and registration of children being taught by private teachers, parents or legal guardians pursuant to [ORS 339.035 \(Teaching by private teacher, parent or guardian\)](#).

(e) Other services that an education service district is required to provide by state or federal law, including but not limited to services required under [ORS 339.005 \(Definition for ORS 339.040 and 339.125\)](#) to [339.090 \(Determination of compliance\)](#).

(3) In addition to the services specified in subsection (2) of this section, a local service plan may include other services that are designed to meet regional needs.

(4) A local service plan shall also contain annual performance measures for the education service district.

(5) A local service plan must:

(a) Be adopted by the board of the education service district.

(b) After being adopted by the board of the education service district, be approved on or before March 1 by resolution of two-thirds of the component school districts that are a part of the education service district and that have at least a majority of the pupils included in the average daily membership of the education service district, as determined by the reports of such school districts for the preceding year, enrolled in the schools of the school districts.

(6) Notwithstanding the process for approval and adoption required by subsection (5) of this section, if the component school districts approve an amendment to a local service

plan pursuant to subsection (5)(b) of this section, the board of an education service district may amend a local service plan that has been previously adopted by the board and approved by the component school districts. An amendment to a local service plan may be done at any time.

(7) If a component school district determines that a local service plan, or the provision of services under a local service plan, does not meet the service needs of the component school district, the component school district may contract with a public entity for the provision of services.

(8) An education service district may provide the services required by the local service plan directly through the staff of the district. In addition, an education service district may provide services required by the local service plan through the operation of a public school, a public charter school pursuant to [ORS chapter 338](#), an alternative school or a preschool.

(9) An education service district may provide the services required by the local service plan in cooperation with another education service district or with a school district. In addition, an education service district may contract with a public or private entity for the provision of services.

### **ORS 334.005 Mission**

The mission of education service districts is to assist school districts and the Department of Education in achieving Oregon's educational goals by providing equitable, high-quality, cost-effective and locally responsive educational services at a regional level.

(2) An education service district plays a key role in:

- (a) Ensuring an equitable and excellent education for all children in the state;
- (b) Implementing the Oregon Educational Act for the 21st Century;
- (c) Fostering the attainment of high standards of performance by all students in Oregon's public schools; and
- (d) Facilitating interorganizational coordination and cooperation among educational, social service, health care and employment training agencies.

(3) An education service district's role is one of leadership and service. Education service districts shall maintain the distinction between their role as service organizations and the regulatory role of the Department of Education and other state agencies.

(4) To ensure that an education service district is locally responsive, an education service district shall provide:

- (a) Opportunities for component school districts to participate in decisions about the services that are offered by the education service district; and
- (b) A variety of flexible service delivery models.

(5) An education service district shall remain accountable to:

- (a) The public at large;
- (b) The component school districts; and
- (c) The State Board of Education.

### **ORS 342.513 Renewal or nonrenewal of contracts for following year**

(1) Each district school board shall give written notice of the renewal or nonrenewal of the contract for the following school year by March 15 of each year to all teachers and administrators in its employ who are not contract teachers as defined in [ORS 342.815 \(Definitions for ORS 342.805 to 342.937\)](#). In case the district school board does not renew the contract, the material reason therefor shall, at the request of the teacher or administrator, be included in the records of the school district, and the board shall furnish a statement of the reason for nonrenewal to the teacher or administrator. If any district school board fails to give such notice by March 15, the contract shall be considered renewed for the following school year at a salary not less than that being received at the time of renewal. The teacher or administrator may bring an action of mandamus to compel the district school board to issue such a contract for the following school year.

(2) This section is not effective unless teachers or administrators notify the board in writing on or before April 15 of acceptance or rejection of the position for the following school year.

### **ORS 342.120(1)**

"Administrator" includes but is not limited to all superintendents, assistant superintendents, principals and academic program directors in public schools or education service districts who have direct responsibility for supervision or evaluation of licensed teachers and who are compensated for their services from public funds.

# Oregon School Boards Association Selected ESD Sample Policy

Code: **CBG**

Adopted:

## Evaluation of the Superintendent

The Board will formally evaluate the superintendent's job performance at least once each year. The evaluation will be based on the administrative job description, any applicable standards of performance, Board policy and progress in attaining any goals for the year established by the superintendent and/or the Board.

Additional criteria for the evaluation, if any, will be developed at a public Board meeting prior to conducting the evaluation. The superintendent will be notified of the additional criteria prior to the evaluation.

The Board's discussion and conferences with and about the superintendent and his/her performance will be conducted in executive session, unless the superintendent requests a session open to the public. Such an executive session will not include a general evaluation of any ESD goal, objective or operation. Results of the superintendent's evaluation will be written and placed in the superintendent's personnel file.

At the Board's discretion, it may notify the superintendent in writing of specific areas to be remedied, and the superintendent may be given an opportunity to correct the problem(s). Where the Board provided written notice pursuant to the prior sentence, if the Board determines the superintendent's performance remains unsatisfactory, the Board may dismiss or non-renew the superintendent pursuant to Board policy, the superintendent's employment contract and state law and rules. In those situations where the superintendent's employment contract includes an evaluation, dismissal or non-renewal provision, it shall take precedent over this policy.

END OF POLICY

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### Legal Reference(s):

[ORS 192.660\(2\), \(8\)](#)

[ORS 332.107](#)

[ORS 332.505](#)

[ORS 342.513](#)

[ORS 342.815](#)

[OAR 581-022-1720](#)

Hanson v. Culver Sch. Dist. (FDAB 1975).



## CONTACT

**OREGON SCHOOL BOARDS ASSOCIATION**

1201 Court Street NE, Suite 400 | Salem, OR 97301

**503-588-2800 | 1-800-578-OSBA**

FAX 503-588-2813

**OSBA.ORG**

