**A GUIDE TO:**

Effective Evaluations for Chief Executive Officers and Superintendents

The fundamentals, core components, and a sample tool

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Our Findings: The Challenge Around C-Suite Level Evaluations

In education, it is fundamentally understood that Superintendent and CEO performance directly impacts student achievement. Researchers Marzano and Waters found that the relationship between district-level administrative actions and student achievement are, in fact, statistically significant. In theory, organizations know this, but are they doing their best to prepare, support and evaluate these senior leaders? What we’ve found is that more often than not, organizations spend much less time ensuring a strong system and structure to prepare, evaluate, and grow C-suite level leaders than they do for teachers and other staff members given competing priorities.

In researching and working with organizations across the country we’ve consistently seen that there is a need for clear identification of what success in a role looks like and the competencies that lead to that success particularly at the C-suite level. Ensuring that your organization is evaluating leaders, including the CEO, on previously identified goals and clearly articulated competencies is critical to the performance and development of that individual. C-suite level leaders should be set up for success and evaluation with same level of clarity as is expected for teachers and other staff members.

In this paper, we identify the core components of strong and successful evaluations of CEOs and Superintendents. Our intent is that this format and resource will be applicable to all C-Suite level roles, but we will provide a singular focus here to ensure clarity and consistency.

Student Achievement

 [[1]](#footnote-1)

The Core Components of an Effective Evaluation

Based on research from various CEO evaluations, both within and outside of the education sector, the following fundamentals are considered best practice. First and foremost, a CEO/Superintendent evaluation must “appropriately assess and reward, link performance to the organization’s goals, highlight growth and development, and strengthen the board/CEO relations.”[[2]](#footnote-2) These formal evaluations should be clearly communicated to CEOs at the beginning of the school year and should be completed by the Board of Directors. Included in the evaluation process is a supplemental self-evaluation. The final evaluations will take place at the end of the academic year, or whenever results have been reported, and intermediate check-ins should occur throughout the year.

## **The CEO/Superintendent Evaluation Tool should include:**

|  |  |  |
| --- | --- | --- |
| **CORE COMPONENTS** | **DESCRIPTION** | **RESOURCES** |
| Organizational Goals | * First and foremost the CEO evaluation should be based on organizational goals and the extent to which the organization has achieved those goals
 | * Management center [guidance](http://www.managementcenter.org/resources/sample-organizational-goals/) on organizational goals and the [development process](http://www.managementcenter.org/resources/sample-goal-development-process/)
 |
| Competencies and Core Values | * Pre-identify competencies at the beginning of each year with the Board and CEO
* Competencies should articulate the essential skills, knowledge, and relationships needed for success in the role
* Select 4-5 that are universal across all C-Suite level roles and 5-10 unique to each individual role
* If the organization is strongly rooted in core values these could be added to the competency section
 | * EdFuel’s [Blueprint for Success](http://edfuel.org/blueprint-for-success/) competency maps
 |
| 360$°$ feedback | * Should include a self-assessment
* Informed by 7-10 anonymous sources: board evaluation, direct reports, colleagues and partners. When possible should include feedback on organizational goals, competencies, and overall performance and leadership
* Contains high-impact, specific, and direct feedback
* Highlights qualitative evidence: CEO/Superintendent’s impact on school-level achievement
* Includes narrative evidence: strategic plan, teacher evaluations, budgeting documents, and other competency aligned documents
 | EdFuel’s [myBlueprint](http://edfuel.org/myblueprint/) 360$°$ surveysEdFuel’s [Hidden in Plain Sight](http://edfuel.org/hidden-in-plain-sight/) report Management Center [tool](http://www.managementcenter.org/resources/giving-feedback/) for giving feedback |

CEO/Superintendent Evaluation: Sample Tool

**I. EVALUATION SCALE**

The following scale will be utilized for the CE0/Superintendent final evaluation:

|  |  |
| --- | --- |
| **Rating** | **Definition** |
| Highly Effective | CE0/Superintendent reaches outcomes beyond what is expected |
| Effective | CE0/Superintendent reaches all expected outcomes |
| Developing | CE0/Superintendent partially reaches expected outcomes |
| Ineffective | CE0/Superintendent does not reach expected outcomes |

**II. EVALUATION COMPONENTS**

The CE0/Superintendent evaluation consists of two primary components:

* Extent to which the organization has met its annual goals
* Proficiency on key leadership competencies and skills

|  |  |  |
| --- | --- | --- |
| **Component** | **Weight** | **Description** |
| Organizational Goals | 75% | The progress made on each organizational goal will be assessed on the following scale: * Exceeds Goal (4)
* Meets Goal (3)
* Partially Meets Goal (2)
* Does Not Meet Goal (1)

Following the assignment of ratings to all organizational goals, the ratings will be averaged for a final evaluation in this category.  |
| Stakeholder Feedback | 25% | Leadership competencies will be assessed in two primary ways:* Board evaluation *(to be finalized following a performance conversation that includes the President and Founder’s self-assessment)*
* 360˚ evaluation from direct reports and external partners

Ratings from the Board evaluation and the 360˚ evaluation will be averaged together for a final evaluation in each competency.  |

**III. EVALUATION PROCESS**

The following outlines the annual evaluation process for the CE0/Superintendent:

|  |  |  |
| --- | --- | --- |
| **Timeframe** | **Stage** | **Description** |
| Beginning of fiscal year | Annual Organizational Goals | * CE0/Superintendent outlines fiscal year goals
* CE0/Superintendent discusses fiscal year goals with Board
* Board approves fiscal year goals
 |
| Beginning of fiscal year | Leadership Competencies | * CE0/Superintendent selects 10-15 leadership competencies aligned to organizational goals
* CE0/Superintendent discusses competencies with Board
* Board approves competencies
 |
| Mid-year | Mid-Year Review | * CE0/Superintendent selects a combination of direct reports and external partners to partake in the 360˚ evaluation
* CE0/Superintendent completes the 360˚ evaluation self-assessment
* At least 5 – 8 direct reports/partners complete the 360˚ evaluation
* CE0/Superintendent outlines a progress to goal update for the Board
* CE0/Superintendent and Board meet to discuss the 360˚ evaluation and the progress to goal update
 |
| End of fiscal year | End-of-Year Review | * CE0/Superintendent completes the 360˚ evaluation self-assessment
* The same 5 – 8 direct reports/partners complete the 360˚ evaluation
* CE0/Superintendent outlines an update on all organizational goals
* CE0/Superintendent completes an overall self-evaluation form
* Board completes an overall Board evaluation
* CE0/Superintendent and Board meet to discuss the overall evaluation
 |

**PART I:** **ORGANIZATIONAL GOALS EVALUATION**

1. Next to each organizational strategy, determine your rating and fill in the corresponding score (1 – 4). Provide comments that describe specific examples that support your rating.
2. Once finished with all organizational strategies within a goal, determine your Overall Goal Rating by averaging the scores of all individual strategies within that goal. To determine your Overall Goal Rating, use the chart below:

|  |  |
| --- | --- |
| **Overall Organizational Goals Range** | **Overall Competency Rating** |
| 3.26 – 4.00 | Exceeds Goal |
| 2.51 – 3.25 | Meets Goal |
| 1.76 – 2.50 | Partially Meets Goal |
| 1.00 – 1.75 | Does Not Meet Goal |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Organizational Goal** | **Strategy** | **Rating** | **Score (1 – 4)**  | **Comments** |
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|  |  |  |  |
|  |  |  |  |
| **Overall Goal Rating** |  |  |  |
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| **Overall Goal Rating** |  |  |  |
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| **Overall Goal Rating** |  |  |  |
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**PART II: LEADERSHIP COMPETENCIES EVALUATION**

1. Utilize the Leadership Competencies Evaluation Rubric to determine the rating for each sub-competency and fill in the corresponding score.
2. Once you have determined the ratings for all sub-competencies in a competency, determine the Overall Competency Score by averaging the scores of all sub-competencies. To determine the Overall Competency Rating, use the chart below:

|  |  |
| --- | --- |
| **Overall Competency Score Range** | **Overall Competency Rating** |
| 3.26 – 4.00 | Highly Effective |
| 2.51 – 3.25 | Effective |
| 1.76 – 2.50 | Developing |
| 1.00 – 1.75 | Ineffective |

1. Next to each sub competency include a comment that highlights the qualitative evidence you have to support the CEO/Superintendent’s rating. Reference the strategic plan, operational plan, budget, staff and family surveys, and achievement data to inform your comments.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Competency** | **Sub Competency** | **Rating** | **Score (1 – 4)**  | **Comments** |
|  |  |  |  |  |
|  |  |  |  |
|  |  |  |  |
| **Overall Competency Rating** |  |  |  |
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|  |  |  |  |
| **Overall Competency Rating** |  |  |  |
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|  |  |  |  |
|  |  |  |  |
| **Overall Competency Rating** |  |  |  |

**PART III: QUALITATIVE EVALUATION TEMPLATE**

1. Share your reflections on the following questions, using concrete examples as much as possible. Reference the strategic plan, operational plan, budget, staff and family surveys, and achievement data to inform your comments.

|  |  |
| --- | --- |
| **Question** | **Comments** |
| What are this individual’s top three greatest strengths?  |  |
| What is this individual’s biggest area for growth? |  |
| What have been the biggest contributions this individual has made to the organization? |  |
| How should this individual work on his/her identified growth areas? What resources or professional development would you suggest? |  |

**PART IV: FINAL EVALUATION SCORECARD**

1. Use the ratings you determined in Parts I and II to fill out the final evaluation scorecard
2. Once you are finished, average all scores together to determine your final score for the category.
3. Complete the final evaluation section once you have calculated the scores for each category. To determine the Final Evaluation Rating, utilize the chart below:

|  |  |
| --- | --- |
| **Final Evaluation Score Range** | **Final Evaluation Rating** |
| 3.26 – 4.00 | Highly Effective |
| 2.51 – 3.25 | Effective |
| 1.76 – 2.50 | Developing |
| 1.00 – 1.75 | Ineffective |

|  |  |  |
| --- | --- | --- |
| **Organizational Goals** | **Rating** | **Score** |
|  |  |  |
|  |  |  |
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|  |  |  |
|  |  |  |
| **AVERAGE** | *Average the scores of all individual rows* |  |

|  |  |  |
| --- | --- | --- |
| **Leadership Competencies** | **Rating** | **Score** |
|  |  |  |
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|  |  |  |
|  |  |  |
| **AVERAGE** | *Average the scores of all individual rows* |  |

|  |
| --- |
| **Final Evaluation Score** |
| **Category** | **Average** | **Weight** | **Score** | **Rating** |
| **Organizational Goals** |  | **75%** |  |  |
| **Leadership Competencies** |  | **25%** |  |  |
| **FINAL EVALUATION** |  |  |

Connecting the Dots: From Evaluation to Development

Once the board of directors evaluates the CEO/Superintendent it is important to create a development plan based off the [70/20/10 model](https://www.bridgespan.org/insights/library/leadership-development/the-70-20-10-leadership-development-model#.Vfc1vBFViko). Development needs to center both on areas of strength to leverage and areas of growth to develop. They key to the 70/20/10 model is that “70 percent of development consist of on-the-job learning, supported by 20 percent coaching and mentoring, and 10 percent classroom training.”[[3]](#footnote-3) Below is a sample 70-20-10 Development Plan that would come from a CEO/Superintendent Evaluation.[[4]](#footnote-4)

|  |  |  |  |
| --- | --- | --- | --- |
| **SKILL TO DEVELOP** | **EXPERIENCE-BASED ASSIGNMENT (70%)** | **WHO WILL YOU ASK TO HELP,** **AND HOW? (20%)** | **FORMAL TRAINING AND SELF-STUDY (10%)** |
| **Change Leadership****(Executive/Officer Level):**Champions change efforts and recruits sponsors from relevant constituent groups | Develop stakeholder / influence map of constituents impacted by new school opening | Board chair and members of executive committee | Read *Power: Why Some People Have It and Others Don't* by Jeffrey Pfeffer |
| Design tailored recruitment strategies for top 5-6 key desired sponsors; implement with support from board and advisors as appropriate | 2-3 peer CEOs who have gone through similar experience |  |
| Engage sponsors with a clear "ask" for support and create opportunities to maximize sponsor impact |  |  |

Appendix

**SAMPLE ORGANIZATIONAL GOALS EVALUATION**

1. Next to each organizational strategy, determine your rating and fill in the corresponding score (1 – 4). Provide comments that describe specific examples that support your rating.
2. Once finished with all organizational strategies within a goal, determine your Overall Goal Rating by averaging the scores of all individual strategies within that goal. To determine your Overall Goal Rating, use the chart below:

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| 1.00 – 1.75 | Does Not Meet Goal |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Organizational Goal** | **Strategy** | **Rating** | **Score (1 – 4)**  | **Comments** |
| Six (6) new schools with the capacity to serve 3000 students by August 2018 | Recruit (2) Tier 1 or 2 Operators to apply in 2016 with the intent to open Fall 2017 |  |  |  |
| Recruit (2) Tier 1 or 2 Operators to open Fall 2018 |  |  |  |
| Build out Growth Strategy Team |  |  |  |
| Ensure Fellow meeting expectations & recruitment targets are achieved for 2016 cohort |  |  |  |
| **Overall Goal Rating** |  |  |  |
| Dedicated leader pipeline for portfolio by August 2017 | Develop portfolio of mission aligned teacher recruitment programs |  |  |  |
| Concentrate board funding of talent pipelines  |  |  |  |
| **Overall Goal Rating** |  |  |  |
| **Organizational Goal** | **Strategy** | **Rating** | **Score (1 – 4)**  | **Comments** |
| School building is ready on-time and on-budget for July 2017 open date | Secure 1.5M PRI |  |  |  |
| Create real estate subcommittee on the board |  |  |  |
| **Overall Goal Rating** |  |  |  |
| Build broad base of local support for our work  | Raise $500,000 from donors by EOY |  |  |  |
| Retain existing gifts |  |  |  |
| **Overall Goal Rating** |  |  |  |
| Strengthen organization (Team + Board) | Increase board diversity (race, gender, experience)  |  |  |  |
| Build Team |  |  |  |
| Develop board vision and governing philosophy  |  |  |  |
| **Overall Goal Rating** |  |  |  |
| Invest families + Strengthen regulatory environment | Ensure strong leader |  |  |  |
| Craft plan for facility funds for 2017 session  |  |  |  |
| Ensure strong regulations are in place  |  |  |  |
| Ensure can authorize "fresh starts" |  |  |  |
| **Overall Goal Rating** |  |  |  |

**SAMPLE LEADERSHIP COMPETENCIES EVALUATION**

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1. Next to each sub competency include a comment that highlights the qualitative evidence you have to support the CEO/Superintendent’s rating. Reference the strategic plan, operational plan, budget, staff and family surveys, and achievement data to inform your comments.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Competency** | **Sub Competency** | **Rating** | **Score (1 – 4)**  | **Comments** |
| Strategic Thinking | Sets vision, goals, and strategy |  |  |  |
| Defines objectives andtranslates into clear priorities |  |  |  |
| Aligns resources against areas of highest impact |  |  |  |
| Promotes rigorous use of data, analysis, and experience to shape vision and strategy |  |  |  |
| **Overall Strategic Thinking Rating** |  |  |  |
| Problem Solving | Models versatility in addressing analytic and strategic issues across the organization |  |  |  |
| Promotes innovation, creativity and resourcefulness |  |  |  |
| Takes calculated risks to improve organizational outcomes |  |  |  |
| Resolves challenges with an eye toward what is required to scale and sustain solutions |  |  |  |
| **Overall Problem Solving Rating** |  |  |  |
| **Competency** | **Sub Competency** | **Rating** | **Score (1 – 4)**  | **Comments** |
| Decision Making | Makes decisions that drive best outcomes for students |  |  |  |
| Ensures decision making is timely, effectively executed, and designed to maximize organizational resources |  |  |  |
| Ensures leadership team considers vertical and horizontal implications of decisions within organization and broader community |  |  |  |
| Holds leadership team accountable for decisions and progress against them |  |  |  |
| **Overall Decision Making Rating** |  |  |  |
| Change Leadership | Sets organizational directive for change efforts, catalyzing leadership team to achieve change at scale |  |  |  |
| Anticipates and manages internal and external political dynamics around change efforts |  |  |  |
| Champions change efforts andrecruits sponsors from relevantconstituent groups |  |  |  |
| **Overall Change Leadership Rating** |  |  |  |
| K-12 Systems Thinking | Understands K-12 systems and what it takes to lead and manage complex education organizations to achieve results |  |  |  |
| Actively contributes to the K-12 education field, developing a network of practitioners, researchers, policymakers, and thought leaders |  |  |  |
| **Competency** | **Sub Competency** | **Rating** | **Score (1 – 4)**  | **Comments** |
| K-12 Systems Thinking | Delivers breakthrough insights and processes to improve student outcomes at scale and avoids reinventing the wheel |  |  |  |
| **Overall K-12 Systems Thinking Rating** |  |  |  |
| Business and Operations Expertise | Makes decisions to maximize organization’s results rather than benefit a department or team |  |  |  |
| Creates systems and processes that promote integration across the organization |  |  |  |
| Leads efforts to build and sustain a viable organization |  |  |  |
| Leads financial planning and allocates resources to advance organizational goals |  |  |  |
| **Overall Business and Operations Expertise Rating** |  |  |  |
| Communications and Influence | Publicly represents organization, providing inspiration and building engagement and support |  |  |  |
| Models communication style attuned to stakeholder dynamics and adapts to meet needs of organizationleaders, key stakeholders, and constituent groups |  |  |  |
| Successfully persuades stakeholders within and outside organizationto support organization’s goals and achieve student outcomes |  |  |  |
| **Overall Communications and Influence Rating** |  |  |  |
| **Competency** | **Sub Competency** | **Rating** | **Score (1 – 4)**  | **Comments** |
| Motivation and Courage | Motivates and inspires organization around a shared vision for impact |  |  |  |
| Leads organization by example, putting self on the line in pursuit of breakthrough results for students |  |  |  |
| Demonstrates personalaccountability and encourages this behavior in others |  |  |  |
| Fosters culture of optimism and perseverance in the faceof challenge and opposition |  |  |  |
| **Overall Motivation and Courage Rating** |  |  |  |

1. Chart adopted from: MacIver, M. A. (2008). *Bringing the district back in: The role of the central office in instruction and achievement*. Alexandria, VA: Educational Research Service. Page 72. [↑](#footnote-ref-1)
2. CEO Evaluation Guide Hospital Association [↑](#footnote-ref-2)
3. The 70-20-10 Leadership Development Model. <https://www.bridgespan.org/insights/library/leadership-development/the-70-20-10-leadership-development-model#.Vfc1vBFViko> [↑](#footnote-ref-3)
4. <http://edfuel.org/wp-content/uploads/2016/02/Sample-70-20-10-Plans.pdf> [↑](#footnote-ref-4)