



New York State
School Boards
Association

NYS BOCES DISTRICT SUPERINTENDENT EVALUATION

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The New York State School Boards Association (NYSSBA) recognizes that BOCES has a legal obligation to evaluate district superintendents annually. More importantly, NYSSBA realizes that it is one of the most important responsibilities of the school board. An effective performance evaluation helps drive school improvement and student achievement, develops a positive relationship between the school board and superintendent, demonstrates accomplishments of the district and sets annual priorities. The district superintendent evaluation process is not a means to an end, but rather an ongoing and dynamic process. Decisions regarding both process and instrument should reflect a cooperative effort between the school board and the district superintendent.



NYS BOCES DISTRICT SUPERINTENDENT EVALUATION

This evaluation model offers a three-part guide for evaluating the district superintendent:

Part I is based on standards and professional practices derived partly from the American Association of School Administrators and other sample evaluations. Each standard will be reviewed and rated.

Part II is based on local priorities of the agency defined in annual district superintendent objectives. Collectively, the district superintendent and board define three to five objectives that focus the district superintendent's efforts for the year. An assessment will be made with regard to the successful completion of these annual objectives.

Part III is the final performance summary sheet. It provides a final rating on the district superintendent's performance standards, annual objectives, summative comments, recommendations and signatures. The final summary sheet is placed in the district superintendent's personnel file.



HOW TO USE THIS EVALUATION MODEL

The whole board should participate in the process from start to finish, and the board president or assigned board designee is responsible for expediting the evaluation process.

1. Begin with a pre-assessment meeting between the district superintendent and board to review the instrument and process. The board and district superintendent should agree on the evaluation timeline, instrument and process. Collectively, the board and district superintendent review the standards of performance as well as identify the annual district superintendent objectives based on local priorities of the agency.
2. Determine if the evaluation process will occur only once, at the end of the school year as a summative (final) evaluation, or will also include a mid-year formative evaluation. If no mid-year formative evaluation is done, a scheduled progress report may be warranted.
3. It is recommended that the district superintendent provide his/her own self-assessment with evidence to the board. Board members should consider the district superintendent's self-assessment and supportive evidence when completing their own instruments.
4. The board president or designee collects all individual board member instruments and compiles the results and comments.
5. An executive session, with board members only, is convened to discuss the evaluation results and provide a decision regarding performance ratings, and a final comprehensive comment summary and recommendations.
6. Shortly thereafter, the board meets again in executive session with the district superintendent to review and discuss the evaluation results, make any changes or adjustments to the final evaluation, discuss recommendations for improvement, and begin to define the upcoming year's priority objectives.

Note: The district superintendent's contract often contains provisions with regard to the evaluation of his/her performance. Before adopting an evaluation process, it is critical to reference the district superintendent's contract to make certain they are consistent with one another.

PERFORMANCE STANDARDS AND RATING SCALES

The five (5) standards of the district superintendent’s job:

1. **Vision, Culture & Instructional Leadership** – The district superintendent leads the agency by promoting the success of all students, articulating a vision of learning, developing a positive agency climate, creating & promoting services and demonstrating best practices in instructional programs and staff professional development.
2. **Operations, Resource & Personnel Management** – The district superintendent demonstrates the knowledge, skills and ability to effectively manage operations that promote a safe and effective environment for students and staff, ensures the fiscal health of the agency, and implements sound personnel practices.
3. **Board Governance & Policy** – The district superintendent works effectively with the board of education, exhibits a shared understanding of board and district superintendent roles, leads and manages the agency consistent with board policies, and demonstrates the skills to work effectively with the board.
4. **Communication & County & State Relations** – The district superintendent establishes effective communication with students, parents, staff and local and state political leadership and constituent communities, and has the knowledge and awareness of different cultures to effectively engage and respond to diverse interests and needs to support the success of all students.
5. **Ethical Leadership** – The district superintendent promotes the success of every student and every staff member by acting with integrity, fairness and in an ethical manner.

Performance ratings will use the HEDI scale which is familiar to most New York schools.

Rating Scale – Highly Effective, Effective, Developing, Ineffective (HEDI)

Highly Effective	Effective	Developing	Ineffective
Performance has continually exceeded the criteria	Performance consistently meets the criteria	Performance is inconsistent and partially meets the criteria	Performance does not meet the criteria and requires significant improvement
Noteworthy evidence and data demonstrates the district superintendent’s performance has had an exceedingly positive impact on students, staff, community relations and/or program outcomes. The board should cite specific data or evidence that supports this rating.	Noteworthy evidence and data demonstrates the district superintendent’s performance maintains effective results and good relations with students, staff, community members and satisfactory program outcomes. The board should cite specific data or evidence that supports this rating.	Noteworthy evidence and data demonstrates the district superintendent partially met the criteria and desired results. Performance has made some gains toward relations with students, staff, and community members and has moderately impacted program results. The board should cite specific data or evidence that supports this rating.	Noteworthy evidence and data demonstrates the district superintendent’s performance has not met the criteria or desired results. Performance has not made any gains in program results or toward relations with students, staff, and community members. The board should cite specific data or evidence that supports this rating.

RECOMMENDED GUIDELINES

How do board members conduct the evaluation fairly and objectively?



It is the responsibility of the school board to evaluate the performance of the district superintendent. No process or instrument is completely objective. There will always be some subjectivity, but every evaluation process should foster a fair analysis of the district superintendent's performance.

Consider these things when conducting the district superintendent's evaluation:

- Give the review the time it deserves
- Maintain a respectful, professional process
- Focus on standards and outcomes (not personality)
- Ask the district superintendent to conduct a self-assessment
- Use multiple evidence-based documents when assessing performance
- Identify strengths in performance to build upon
- Address poor results with tact and constructive criticism
- Give recommendations for corrective action where needed
- Go beyond conclusion reporting, consider a problem-solving focus
- Encourage a professional development plan
- Conclude the evaluation by outlining priority objectives for the coming year



THE TIMELINE: THE NYS BOCES DISTRICT SUPERINTENDENT EVALUATION IS AN ONGOING PROCESS WITH A REPEATING CYCLE

SUGGESTED TIMELINE FOR DISTRICT SUPERINTENDENT EVALUATION

SUGGESTED TIMELINE	ACTION
Summer	1. The board develops or confirms the vision, mission, annual goals and core values of the district.
Summer/Early Fall	2. The board and district superintendent collectively define the district superintendent's annual priority objectives in measurable targets to be completed in 12 months based on district goals/long-range plans. 3. The district superintendent's professional development plan is reviewed with the board to support his/her goals for the coming year.
Fall	4. The board and district superintendent review the district superintendent's contract, job description, agree upon the evaluation process (including a request for a district superintendent self-evaluation), instrument, rating method and possible supporting documents/information/data to be used to measure performance. 5. The board files the procedures by September 10 th according to Commissioner's regulations, 8 NYCRR §100.2 (o)(2)(v). 6. The board president and district superintendent review the evaluation process and instrument with new board members.
Quarterly or Early Winter	7. The district superintendent makes interim progress reports to the board on agency goals and district superintendent annual objectives, and/or the board conducts an informal mid-year formative performance assessment.
Spring	8. The district superintendent conducts a self-assessment and gathers supporting evidence and provides it to board members. (Certain data may not be available at the time of the evaluation, therefore, the prior year's data may be used.) 9. Individual board members complete the evaluation instrument considering the district superintendent's self-evaluation and submit their completed instrument to the board president or designee to be compiled, according to district's procedures. 10. Shortly thereafter, board members meet in executive session to discuss their evaluation of the district superintendent and determine the board's official evaluation rating and commentary. 11. The board's official evaluation document(s) is/are shared, clarified and discussed with the district superintendent in executive session. Changes to the evaluation may be made as a result of the discussions. Professional development objectives will be included as a part of the final evaluation comment(s). 12. A copy of the evaluation final performance summary sheet is placed in the district superintendent's personnel file.
Summer	13. Repeat cycle.

Note: New district superintendents not hired at the beginning of the school year may need a different review cycle. See the district superintendent's contract for reference.

PART I

RATING THE NYS BOCES SUPERINTENDENT ON PERFORMANCE STANDARDS

Instructions for rating the performance standards

Individual board members may rate the district superintendent's professional practice as shown in the example below. Board members may place an "X" in the box that best describes the district superintendent's performance in that professional practice area and then determine the overall rating for the standard area based on the HEDI rating scale. Consider the importance of the professional practice if an overall performance rating is not clearly evident.

USE AN "X" TO MARK THE RATING OF EACH AREA

PART I: RATING THE DISTRICT SUPERINTENDENT ON PERFORMANCE STANDARDS

STANDARD 5: ETHICAL LEADERSHIP

The district superintendent promotes the success of every student and every staff member by acting with integrity, fairness and in an ethical manner.

Professional Practice	Highly Effective	Effective	Developing	Ineffective	Possible Data Sources & Documents: <input type="checkbox"/> Parent, component school district, and staff survey data <input type="checkbox"/> Teacher, school executive, and staff retention/turnover data <input type="checkbox"/> Ability to confront conflict and build consensus <input type="checkbox"/> Shared decision making <input type="checkbox"/> Outreach efforts <input type="checkbox"/> School board policies <input type="checkbox"/> Minutes and reports <input type="checkbox"/> Office of Civil Rights data on discipline <input type="checkbox"/> District superintendent's performance goals Additional sources:								
	Continually exceeds the criteria	Consistently meets the criteria	Partially meets the criteria	Does not meet the criteria									
5.1 Demonstrates ethical and professional behavior, inspiring others to higher levels of performance	X												
5.2 Maintains a caring and professional relationship with staff, grounded in shared agency values		X											
5.3 Demonstrates appreciation for, and sensitivity to, the diversity of the agency community, and respects divergent opinions			X										
5.4 Demonstrates efforts to close the achievement gap across all demographics		X											
5.5 Demonstrates a high level of self-awareness and improves upon professional practice		X											
Rating for this standard													
Rating					<table style="font-size: 8px; border-collapse: collapse;"> <tr> <td style="padding: 2px 5px;">HE</td> <td style="padding: 2px 5px;">E</td> <td style="padding: 2px 5px;">D</td> <td style="padding: 2px 5px;">I</td> </tr> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input checked="" type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>	HE	E	D	I	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HE	E	D	I										
<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
Comments: [Identify strengths or recommendations for improvement]													

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STANDARD 1: VISION, CULTURE & INSTRUCTIONAL LEADERSHIP

The district superintendent leads the agency by promoting the success of all students, articulating a vision of learning, developing a positive agency climate, creating and promoting services and demonstrating best practices in instructional programs and staff professional development.

Professional Practice	Highly Effective	Effective	Developing	Ineffective	Possible Data Sources & Documents: <input type="checkbox"/> Agency strategic plan <input type="checkbox"/> Program improvement plan <input type="checkbox"/> Professional development plans based on data (e.g., student performance, teacher working conditions survey) <input type="checkbox"/> Leadership team agenda <input type="checkbox"/> Student performance goals <input type="checkbox"/> BOCES report card <input type="checkbox"/> Number of principal and teacher improvement plans (PIP, TIP) Additional sources:
	Continually exceeds the criteria	Consistently meets the criteria	Partially meets the criteria	Does not meet the criteria	
1.1 Leadership actions, staffing and resources are clearly aligned to a student achievement focused vision, and that vision is evident in the agency culture					
1.2 Demonstrates a deep understanding of quality instruction and consistently promotes effective instructional programs and high expectations for student learning outcomes					
1.3 Agency goals are systemically aligned throughout the agency with a focused plan for student achievement and program improvement supported by resources					
1.4 Leads and supports the use of data informed instruction for administrators, staff and teachers					
1.5 Monitors and reviews the effectiveness of programs, curriculum and instruction and their alignment with state and national standards					
1.6 Ensures that all staff have program-specific professional development that directly enhances their performance and improves student learning and delivery of service					
1.7 Sets self-improvement goals and applies learning from professional development					
					Rating for this standard
Rating					HE E D I <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Comments: (Identify strengths or recommendations for improvement)					

STANDARD 2: OPERATIONS, RESOURCE & PERSONNEL MANAGEMENT

The district superintendent demonstrates the knowledge, skills and ability to effectively manage operations that promote a safe and effective environment for students and staff, ensure the fiscal health of the agency, and implement sound personnel practices.

Professional Practice	Highly Effective	Effective	Developing	Ineffective	Possible Data Sources & Documents: <input type="checkbox"/> Agency strategic plan <input type="checkbox"/> Employee diversity <input type="checkbox"/> Recruitment and retention data <input type="checkbox"/> 360° view of programs <input type="checkbox"/> Technology plan <input type="checkbox"/> 3-5 year financial plan <input type="checkbox"/> External audit <input type="checkbox"/> 3-5 year capital plan <input type="checkbox"/> End of year budget status report <input type="checkbox"/> Staff attendance rates and turnover <input type="checkbox"/> VADIR data <input type="checkbox"/> Construction projects timelines and budgets <input type="checkbox"/> Agency leadership development and succession plan Additional sources:
	Continually exceeds the criteria	Consistently meets the criteria	Partially meets the criteria	Does not meet the criteria	
2.1 Develops and ensures the implementation of procedures and structures to support compliance with local, state and federal laws and regulations					
2.2 Implements personnel procedures, recruitment and employee performance programs to hire and retain the best qualified teachers, support staff, administrators, and other personnel					
2.3 Aligns and adjusts resources accordingly to meet agency priorities and annual goals/objectives operating within budget and fiscal guidelines					
2.4 Guides the process of fiscal planning and budget development and makes recommendations based upon the agency's current fiscal position and future needs					
2.5 Stays informed of facilities use and needs and makes facilities recommendations as needed to the board, promotes safety across the agency, and ensures a facilities management plan is in place for future needs					
2.6 Effectively works with agency bargaining units and actively seeks to improve bargaining outcomes that best serve students, the agency and component districts					
					Rating for this standard
Rating					HE E D I <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Comments: (Identify strengths or recommendations for improvement)					

STANDARD 3: BOARD GOVERNANCE & POLICY

The district superintendent works effectively with the board of education, exhibits a shared understanding of board and district superintendent roles, leads and manages the agency consistent with board policies, and demonstrates the skills to work effectively with the board.

Professional Practice	Highly Effective	Effective	Developing	Ineffective	Possible Data Sources & Documents: <input type="checkbox"/> Timeliness of board packets <input type="checkbox"/> Agency strategic plan <input type="checkbox"/> Board meeting agendas <input type="checkbox"/> External reviews and audits (e.g., budget, child nutrition, transportation) <input type="checkbox"/> Copies of agency procedures and publications (e.g., student codes of conduct, discipline policies, safety procedures) <input type="checkbox"/> Correspondence Additional sources:
	Continually exceeds the criteria	Consistently meets the criteria	Partially meets the criteria	Does not meet the criteria	
3.1 Offers professional advice to the board with appropriate recommendations based on thorough study and analysis					
3.2 Keeps the board regularly informed with data, reports and information which enables them to make effective timely decisions					
3.3 Interprets and executes the intent of board policies, and advises the board on the need for new and/or revised policies					
3.4 Works collaboratively with the board to shape agency vision, mission, and goals with measurable objectives of high expectations for student and staff performance					
3.5 Makes considerable effort to have a positive working relationship with the board, treating all board members fairly and respectfully, and attempts to resolve any serious conflicts with board members					
					Rating for this standard
Rating					HE E D I <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Comments: (Identify strengths or recommendations for improvement)					

STANDARD 4: COMMUNICATION & COUNTY AND STATE RELATIONS

The district superintendent establishes effective communication with students, parents, staff and local and state political leadership and constituent communities and has the knowledge and awareness of different cultures to effectively engage and respond to diverse interests and needs that support the success of all students.

Professional Practice	Highly Effective	Effective	Developing	Ineffective	Possible Data Sources & Documents: <input type="checkbox"/> Survey results from parents and other community leaders <input type="checkbox"/> Policy and procedure documents for internal communications <input type="checkbox"/> Visible support for agency goals and priorities from community leaders and component districts <input type="checkbox"/> Partnership agreements and other documents to support collaborative efforts to achieve agency goals and priorities <input type="checkbox"/> Accounts of program and agency accomplishments in various forms of public media <input type="checkbox"/> Agency website <input type="checkbox"/> Newsletters and other public engagement documents designed to strengthen connections to the component districts <input type="checkbox"/> Membership and participation with county and state organizations <input type="checkbox"/> Community college/university partnerships, collaborative projects, and professional development initiatives <input type="checkbox"/> Attendance at agency and/or program events Additional sources:								
	Continually exceeds the criteria	Consistently meets the criteria	Partially meets the criteria	Does not meet the criteria									
4.1 Communicates key information to all stakeholders in an appropriate and timely manner					Rating for this standard <table style="width: 100%; text-align: center;"> <tr> <td>HE</td> <td>E</td> <td>D</td> <td>I</td> </tr> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </table>	HE	E	D	I	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
HE	E	D	I										
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
4.2 Works collaboratively with staff, and local and state leadership to secure resources and effective partnerships to support agency goals and student success													
4.3 Uses effective public information strategies to communicate and promote a positive image of the agency with stakeholders, media, state and local officials													
4.4 Establishes effective communication within the agency and promotes positive interpersonal relations among staff													
4.5 Creates an atmosphere of trust and respect with staff, stakeholders and component districts													
4.6 Regularly attends agency and regional events to promote the agency													
Rating													
Comments: (Identify strengths or recommendations for improvement)													

STANDARD 5: ETHICAL LEADERSHIP

The district superintendent promotes the success of every student and every staff member by acting with integrity, fairness and in an ethical manner.

Professional Practice	Highly Effective	Effective	Developing	Ineffective	<p>Possible Data Sources & Documents:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Parent, component school district, and staff survey data <input type="checkbox"/> Teacher, school executive, and staff retention/turnover data <input type="checkbox"/> Ability to confront conflict and build consensus <input type="checkbox"/> Shared decision making <input type="checkbox"/> Outreach efforts <input type="checkbox"/> School board policies <input type="checkbox"/> Minutes and reports <input type="checkbox"/> Office of Civil Rights data on discipline <input type="checkbox"/> District superintendent’s performance goals <p>Additional sources:</p>							
	Continually exceeds the criteria	Consistently meets the criteria	Partially meets the criteria	Does not meet the criteria								
5.1 Demonstrates ethical and professional behavior, inspiring others to higher levels of performance												
5.2 Maintains a caring and professional relationship with staff, grounded in shared agency values												
5.3 Demonstrates appreciation for, and sensitivity to, the diversity of the agency community, and respects divergent opinions												
5.4 Demonstrates efforts to close the achievement gap across all demographics												
5.5 Demonstrates a high level of self-awareness and improves upon professional practice												
Rating for this standard												
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HE	E	D	I									
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>									
<p>Comments: (Identify strengths or recommendations for improvement)</p>												

PART II

NYS BOCES

DISTRICT SUPERINTENDENT ANNUAL OBJECTIVES

Instructions for Rating the District Superintendent on Annual Objectives

Indicate progress made related to each stated objective. Include multiple sources of data as supporting evidence for the progress and/or attainment of each objective. If data sources are unknown prior to the executive session with the district superintendent, wait until supporting evidence is available to complete this section.

For the board members' convenience, the district clerk can prepopulate the chart on the following page with the district superintendent's annual objectives.

THE SMART MODEL

Identifying annual objectives with the district superintendent should define student achievement objectives, priorities and issues unique to the agency. Three to five key objectives that follow the SMART model (specific, measurable, achievable, relevant and time-bound). Optimally, the objectives should be aligned with the agency's goals and within the scope of the district superintendent's control. Benchmarks showing progress at certain intervals throughout the year should be reported and applied to each objective.

Specific

- Define expectations
- Avoid generalities and use verbs to start the sentence

Measurable

- Quality, quantity, timeliness and cost

Achievable

- Challenging, but attainable goals

Relevant

- Link the goal to higher level agency goals.

Time-bound

- Set timelines to complete the goal with benchmarks to indicate progress

Note: While it is recommended that annual objectives be developed each year, it is understood that in some instances they may not be developed.

ANNUAL DISTRICT SUPERINTENDENT OBJECTIVES

Objectives and evidence of progress need to be identified before completing this sheet.

ANNUAL DISTRICT SUPERINTENDENT OBJECTIVES (Up to 5)	EVIDENCE OF PROGRESS OR COMPLETION (3-5 Evidence/Data Sources)	Highly Effective	Effective	Developing	Ineffective
		Exceeded Objective	Met Objective	Partially Met Objective	Didn't Meet Objective
1.					
2.					
3.					

ANNUAL DISTRICT SUPERINTENDENT OBJECTIVES

Objectives and evidence of progress need to be identified before completing this sheet.

ANNUAL DISTRICT SUPERINTENDENT OBJECTIVES (Up to 5)	EVIDENCE OF PROGRESS OR COMPLETION (3-5 Evidence/Data Sources)	Highly Effective	Effective	Developing	Ineffective
		Exceeded Objective	Met Objective	Partially Met Objective	Didn't Meet Objective
4.					
5.					
Comments 					

DISTRICT SUPERINTENDENT EVALUATION SUMMARY SHEET

For Part I and Part II

Summary Rating Instructions: To be completed by the individual board member. Place the performance rating for each corresponding standard in the grid to the right.	PART I - Standards:				HE	E	D	I
		1. Vision, Culture & Instructional Leadership (pg. 8)						
	2. Operations, Resource & Personnel Management (pg. 9)							
	3. Board Governance & Policy (pg. 10)							
	4. Communication & County and State Relations (pg. 11)							
	5. Ethical Leadership (pg. 12)							

Summary Rating Instructions: To be completed by the individual board member. Place the performance rating for each objective in the grid to the right.	PART II - Objectives:				HE	E	D	I
		Annual Objective # 1 (pg. 14)						
	Annual Objective # 2 (pg. 14)							
	Annual Objective # 3 (pg. 14)							
	Annual Objective # 4 (pg. 15)							
	Annual Objective # 5 (pg. 15)							

Summary Comments

PART III

DISTRICT SUPERINTENDENT EVALUATION FINAL PERFORMANCE SUMMARY SHEET

District Superintendent's Name: _____ Academic Year: _____

Evaluators (list all board members):

This summary sheet can be used to indicate the collective rating of the district superintendent's performance using the HEDI scale.

<p>Summary Rating Instructions:</p> <p>The board president will tally each board member's ratings for the five standards and objectives and record the totals in the corresponding boxes.</p>	PART I - Standards:				HE	E	D	I
	1. Vision, Culture & Instructional Leadership							
	2. Operations, Resource & Personnel Management							
	3. Board Governance & Policy							
	4. Communication & County and State Relations							
	5. Ethical Leadership							
	PART II - Objectives:				HE	E	D	I
	Annual Objective # 1							
	Annual Objective # 2							
	Annual Objective # 3							
	Annual Objective # 4							
	Annual Objective # 5							

Note: In general, individual ratings and comments from individual board members are not "final agency determinations" and are therefore not subject to disclosure under the Freedom of Information Law (FOIL). In contrast, any summative rating or comments approved by the entire board would constitute a final agency determination and are subject to disclosure under FOIL.

Board of Education Summary Comments:

Board of Education Recommendations:

District Superintendent Response:

District Superintendent's Signature: _____ Date: _____

Board President's Signature: _____ Date: _____

Note: Signing this evaluation indicates that the evaluation has been reviewed and results discussed with the district superintendent, but does not necessarily indicate he or she agrees on all ratings or comments made. The signed District Superintendent Evaluation Final Performance Summary Sheet should be placed in the district superintendent's personnel file.