Note: This is drawn from work-in-progress undertaken by Educational Testing Service. On February 20, 2018 Dele Kuku (ETS research project associate at the Rosedale Office in Princeton, NJ) distributed a nationwide email inviting P12 practitioners to comment (via an online survey) on a proposed framework for assessing the readiness of aspiring superintendents for initial certification. The survey can be found at http://www.surveygizmo.com/s3/4192226/School-Superintendent-Assessment-Survey. The researcher can be contacted directly at dkuku@ets.org

# **School Superintendent Assessment FRAMEWORK**

# I. Strategic Leadership

### A. Mission, Vision, and Core Values

The superintendent

- 1. Knows how to develop and articulate the core values that define the district's culture
  - a) Emphasizes the imperative of high expectations and student support
  - b) Advocates for a culture of equity and inclusiveness, caring, and trust
- 2. Understands how to develop a shared understanding of the district's mission, vision, and core values of the school district and the community
  - a) Articulates the purpose of the district to stakeholders
  - b) Develops a shared commitment among stakeholders
  - c) Models the school's core values in all aspects of leadership
- 3. Understands how to engage stakeholders in the development of the district's mission, vision, and core values to promote the academic success and well-being of each student
  - a) Identifies appropriate stakeholders to give voice to diverse perspectives
  - b) Asks critical questions and seeks input from stakeholders
  - c) Uses effective decision-making strategies to build consensus
  - d) Selects appropriate communication methods
  - e) Recognizes and values the contributions of individuals and groups in goal attainment
- 4. Understands how to engage stakeholders in the process of evaluating and adjusting the district's mission, vision, and core values based on effectiveness, changing expectations, and needs of students
  - a) Builds accountability systems to systematically monitor alignment with the district's mission, vision, and core values

### **B.** District and School Improvement

- 1. Knows how to create a culture of continuous improvement to achieve the district's vision, mission, and goals by creating a strategic plan consistent with the district's core values
  - a) Promotes readiness by preparing the schools and community for improvement
  - b) Develops the knowledge, skills, and motivation to succeed in the improvement process
  - c) Instills mutual commitment and accountability to achieve the district's vision, mission, goals, and strategic plan
- 2. Understands how and when to use different strategies for improvement, including transformational, incremental, and adaptive approaches to district and school improvement
- 3. Knows how to engage others in an ongoing process of evidence-based inquiry and strategic planning for continuous school improvement

- a) Develops the capacity of staff to identify emerging trends and finds research for the benefit of the district and school improvement
- b) Develops and promotes leadership among staff for inquiry, experimentation and innovation, and initiating and implementing improvement
- c) Develops the capacity of staff to ensure the implementation and evaluation of improvement processes
- 4. Understands how to develop a system for collecting and analyzing data to inform the district's improvement process
  - a) Uses quantitative and qualitative data to develop rigorous goals
  - b) Develops and maintains data and communication systems to deliver actionable information for district and school improvement
- 5. Understands how to use a system approach to promote coherence when developing strategic plans for district and school improvement
  - a) Analyzes the current status of goals and objectives
  - b) Conducts a needs assessment to determine high-leverage areas of need
  - c) Recognizes the importance of aligning goals with the vision
  - d) Develops a plan of action based on district and school needs
- 6. Understands how to develop a strategic plan to achieve the vision
  - a) Identifies resources (human, financial, technological, facility, community) needed to support the strategic plan
  - b) Articulates the plan to key stakeholders and builds understanding and commitment by stakeholders
- 7. Knows how to manage uncertainty, risk, and the change process to ensure the success of the district's improvement efforts
  - a) Applies various models of the change process to appropriate situations
  - b) Engages school and district leadership in the change process
  - c) Assesses district and school needs to determine appropriate action
  - d) Responds to stakeholder input and barriers to the change process
- 8. Understands how to evaluate and adjust the district's strategic plan based on effectiveness and the changing expectations and needs of students
  - a) Develops an accountability system to monitor progress toward goals
  - b) Collects and analyzes data to adjust programs and practices
  - c) Develops new practices to support areas of need and evaluates current practices to determine efficacy

# II. Instructional Leadership

### A. Curriculum and Instruction

## The superintendent

- 1. Knows how to develop coherent district-level systems of curriculum and instruction that reflect high expectations for student learning, align with academic standards, and are culturally responsive
  - a) Identifies approaches to facilitate the development, design, and delivery of a rigorous curriculum
  - b) Aligns curriculum and instruction within and across grade levels with applicable standards
- 2. Knows how to promote an instructional practice at all schools that is consistent with knowledge of student learning and development, effective pedagogy, and the needs of each student
  - a) Promotes the use of instructional practices that are intellectually challenging and authentic to student experiences
  - b) Promotes curriculum planning that is pedagogically appropriate for diverse learners
- 3. Understands the role of technology in teaching and learning
  - a) Recognizes the importance of technology in supporting teaching and enhancing learning
  - b) Effectively integrates technology across the curriculum for different purposes (e.g., communication, collaboration, organization, research)
- 4. Knows how to focus systems of curriculum to determine and address barriers to student learning and how to implement appropriate intervention plans

### **B.** Assessment and Accountability

- 1. Understands the importance of developing and using district-level and school-level assessments that are based on knowledge of student learning and technical standards of measurement that align with curriculum and instruction to promote student academic success
  - a) Distinguishes among the different forms and types of assessments and their purpose for measuring student learning
  - b) Works with administrators to improve the development and use of appropriate assessments
- 2. Understands how to gather and analyze assessment data to support instructional improvement and monitor student progress
  - a) Identifies relevant data sources for various purposes
  - b) Engages administrators and staff in the appropriate use of data

- c) Applies data-driven decision-making processes to promote continuous improvement
- 3. Understands the importance of monitoring and evaluating curriculum and instructional practices to support student learning and academic success
  - a) Implements coherent systems of evaluation for curriculum and instruction
  - b) Connects student performance to instructional practices
  - c) Evaluates instructional programs and services to support academic success

## III. Climate and Culture Leadership

### A. Equity and Cultural Responsiveness

## The superintendent

- 1. Understands how to ensure students are treated fairly, respectfully, and with an understanding of each student's culture and context
  - a) Recognizes each student's culture as an asset for teaching and learning
  - b) Ensures all student groups have access to rigorous learning opportunities
- 2. Understands how to ensure students have equitable access to effective administrators and staff, learning opportunities, academic and social support, and other resources
  - a) Recruits qualified and competent administrators and staff members who reflect the diversity of the school
  - b) Provides resources to marginalized student groups to minimize or eliminate the achievement gap
  - c) Ensures students are prepared to contribute to a diverse cultural society
- 3. Understands how to develop district policies that address student conduct in a positive, consistent, fair, and unbiased manner
  - a) Reviews district disciplinary policies, procedures, and incidents
  - b) Develops and updates the district student code of conduct
  - c) Works with school leaders to ensure that campus procedures align with district policy and reflect best practice
  - d) Ensures the district policies align to state and federal guidelines
- 4. Understands how to act with equity and cultural competence in all aspects of leadership
  - a) Addresses rather than avoids matters of equity and cultural competence
  - b) Uses effective interpersonal and communication skills in a manner demonstrates an understanding of student and staff cultures
  - c) Acts as an advocate for the success of all students in the district and is open to diverse perspectives
- 5. Understands how to use strategies to address biases and marginalization of students in the district
  - a) Identifies and eliminates deficit-based schooling
  - b) Identifies and addresses low expectations associated with race, language, culture, gender identification, and disability

#### **B.** Climate and Culture for Staff

### The superintendent

1. Understands how to develop workplace conditions that promote effective practice and student learning

- a) Promotes mutual accountability among staff for the success of each student and school
- b) Creates opportunities for collaborative examination of practice, collegial feedback, and collective learning
- c) Encourages staff to develop their learning and effectiveness through reflection, study, and improvement
- d) Promotes the personal and professional health, well-being, and healthy work-life balance of staff
- e) Develops and supports open, productive, caring, and trusting working relationships among leaders and staff
- 2. Understands how to empower and entrust staff with collective responsibility for meeting students' academic, social, emotional, and physical needs in accordance to the district's core values and mission
  - a) Creates a safe and supportive climate for learning and teaching
  - b) Creates an environment in which staff assume collective responsibility for student success
- 3. Understands how to promote a professional culture of engagement and commitment to shared vision, goals, and objectives pertaining to the education of the whole student
  - a) Establishes high expectations for professional work at all levels in the district
  - b) Ensures ethical and equitable practice at all schools in the district
  - c) Creates an atmosphere of trust and open communication with school leadership and within schools in the district
  - d) Facilitates collaboration and collective efficacy within and among schools in the district
  - e) Seeks continuous individual and organizational learning and improvement

## C. Community of Care and Support for Students

- 1. Knows how to cultivate an inclusive, caring, and supportive school district community that promotes the academic success and well-being of each student
  - a) Influences the school and district environment (physical, academic, and social) to positively affect student learning
  - b) Assesses the culture and climate in schools in the district
  - c) Collaborates with school-level personnel to monitor and identify areas of strength and need
  - d) Implements procedures and policies to ensure a safe environment.
- 2. Knows how to create and maintain a safe, caring, and healthy school and district environment that meets that needs of each student
  - a) Integrates the cultures and languages of the school community into the learning environment
  - b) Creates and sustains an environment in which each student is known, accepted, and respected
  - c) Promotes a safe and healthy school and district environment in which all students have a voice

- 3. Understands how to provide coherent systems of academic and social supports, services, extracurricular activities, and accommodations to meet the range of learning needs of each student
  - a) Encourage students to be active and responsible members of the school community
- 4. Understands how to promote relationships (adult-student and student-peer) that value and support academic learning and positive social and emotional development of each student
- 5. Understands how to cultivate and reinforce positive student conduct and engagement in school

# IV. Ethical and Policy Leadership

#### A. Ethical Practice

The superintendent

- 1. Understands how to act ethically and promote ethical and professional relationships and decision making by administrators and staff
  - a) Models and promotes professionalism by exhibiting integrity, fairness, transparency, and trustworthiness in interactions with administrators and staff
  - b) Places students and their well-being at the center of all decision making
  - c) Promotes and practices stewardship of district resources (e.g., financial, physical, time)
- 2. Knows how to promote and safeguard the values of public education, such as democracy, freedom, responsibility, social justice, and diversity
- 3. Understands how to provide moral direction for staff to cultivate a culture of ethical and professional behavior
  - a) Informs administrators and staff of the context of ethical and professional behavior (e.g., equality, equity, honesty, legality, consistency)
  - b) Ensures administrators and staff are trained to maintain high standards for ethical and professional conduct with students
- 4. Knows how to detect, monitor, and respond to ethical issues
  - a) Establishes a safe and secure accountability system
  - b) Identifies, investigates, and addresses potentially unethical behaviors

### B. Policy, Advocacy, and Governance

- 1. Knows how to create and implement policies and procedures that align with the district's mission and vision and ensure student success
  - a) Interprets, creates, and enforces appropriate policies related to district needs
  - b) Works effectively with the district board of education to create, revise, and adopt district policies
  - c) Detects and investigates violations of district policy
- 2. Knows how to ensure that state and federal laws are implemented and incorporated into district and campus policies and procedures (e.g., regarding employment, confidentiality of students and staff, rights of students and staff)
- 3. Knows the roles, functions, and expectations of the superintendent and the district board of education
  - a) Develops and ensures processes that are open, transparent, and accountable

- 4. Knows how to work with the district board of education to develop and maintain an effective partnership
  - a) Communicates and collaborates with members of the district board of education in a variety of contexts
  - b) Applies protocols in order to address issues associated with the concerns and needs of the district board of education and individual board members
  - c) Considers the impact and implications of interactions with members of the district board of education
  - d) Applies appropriate consensus-building strategies to ensure the achievement of the district vision
- 5. Knows procedures for district board of education meetings in accordance with state and federal law
- 6. Knows how to work with the district board of education to advocate for the value of public education

## V. Organizational Leadership

### A. Professional Capacity

The superintendent

- 1. Understands the basic procedures for planning and managing staffing needs
  - a) Ensures an efficient system of recruiting, hiring, supporting, and retaining effective administrators and staff
  - b) Plans for and manages staff turnover and succession, providing opportunities for effective induction and mentoring of new personnel
  - c) Follows basic procedures for staff discipline, remediation, and dismissal (e.g., due process procedures)
  - d) Adheres to major federal laws, regulations, and codes as required for human resource management and consults with appropriate legal staff
- 2. Knows how to develop administrators' and staff members' professional knowledge, skills, and practice through differentiated opportunities for learning and growth
  - a) Identifies research-based professional-development practices and activities for self and staff
  - b) Addresses the varied needs of novice and experienced administrators and staff
  - c) Designs and implements job-embedded, collaborative professional learning opportunities with staff input
- 3. Knows the importance of empowering and motivating administrators and staff to the highest levels of professional practice by promoting a culture of continuous learning and improvement for all staff
  - a) Consistently applies best practices and research-based approaches that support personal and professional growth of all staff
  - b) Develops opportunities, capacity, and support for administrators, teacher leaders, and staff
  - c) Knows appropriate methods and techniques for developing, assessing, and evaluating administrators (e.g., school surveys, data analysis, observation, self-assessment, stakeholder feedback)
- 4. Understands ways to provide actionable feedback about instruction and other professional practices through valid, research-anchored systems of supervision and evaluation to support the development of teachers and staff

## **B.** Operations and Management

The superintendent

1. Is familiar with how to use ethical and accountable systems to develop and manage the district's fiscal resources to support teaching and learning, build professional capacity among staff, and ensure family and community engagement

- a) Applies basic procedures for budgeting, financial record keeping, reporting, and accountability
- b) Follows local, state, and federal requirements for financial management
- c) Identifies the components of financial planning and the process of monitoring financial accounts (e.g., revenue forecast, enrollment, and staffing projections)
- d) Identifies and analyzes relevant data for use in budgetary decision making
- e) Employs strategies for financial planning and management to address future district needs
- f) Seeks and manages federal, state, and local funds within given parameters (e.g., federal title funds, state aid)
- 2. Is familiar with how to acquire and manage physical resources and other resources to align with the district's vision, mission, and goals
  - a) Recognizes how elements of facilities management affect the learning process
  - b) Identifies procedures and personnel for building maintenance, cost analysis, and use of facilities
  - c) Acts consistent with federal laws and regulations associated with facilities management and compliance (e.g., ADA, OSHA)
  - d) Recognizes the role of support services in the school system (e.g., transportation, food services)
  - e) Uses technology to improve the quality and efficiency of operations and management
- 3. Knows how to apply strategies for improving district efficiency, including time management (planning, prioritizing, scheduling, delegating, allocating, monitoring) and organizational structure
  - a) Protects administrators' and staff members' work and student learning from disruption
  - b) Organizes the administrative structure for efficient day-to-day operations (e.g., purchasing, scheduling, transportation, personnel)
  - c) Manages staff resources to ensure that teachers and staff are assigned to roles and responsibilities that optimize their professional capacity to address student learning needs
- 4. Understands how to examine the district crisis-management plan and works with administrators and staff to ensure campus crisis management plans and related training activities are effective and efficient
- 5. Knows how to develop and manage internal and external relationships toward achieving the district's missions and goals
  - a) Develops productive relationships with the central office staff, district board of education, school administrators, collective bargaining units, and state legislators
  - b) Facilitates collaboration among feeder and connecting schools for enrollment management and curricular and instructional articulation
  - c) Develops and administers systems for fair and equitable management of conflict among students, faculty and staff, leaders, families, and community

# VI. Community Leadership

### A. Community Engagement

The superintendent

- 1. Knows how to engage and communicate with families and the community in meaningful, reciprocal, and mutually beneficial ways to support the achievement of district goals
  - a) Uses appropriate two-way communication tools and strategies to engage families and the community in addressing the needs, problems, and accomplishments of the district, schools, and students
  - a) Ensures communication is accessible and welcoming to build and sustain positive, collaborative, and productive relationships with families and the community
  - b) Helps the district community understand local, state, and federal laws, rights, policies, and regulations in order to promote student success
- 2. Knows how to create opportunities for district leadership, schools, and families to partner in support of student learning in and out of school
- 3. Knows how to advocate for the district and for the needs and priorities of students, families, and the community
  - a) Responds to educational concerns, needs, and topics to inform and enhance the community's understanding of and support for important areas of concern
  - b) Ensures a high degree of transparency to build trust among stakeholders
- 4. Knows how to build and sustain productive partnerships with diverse stakeholder groups and the public and private sectors to support the achievement of district goals
  - a) Identifies, accesses, and collaborates with key local, state, and national entities to address educational issues and to support district-related programs
  - b) Identifies individuals, businesses, higher-education institutions, and other relevant groups in the community for potential partnerships
- 5. Knows how to develop a public relations program, that includes the use of social media, to foster community and media relations
  - a) Identifies communication sources and outlets
  - b) Establishes positive working relationships with the media
  - c) Establishes a communication plan
  - d) Establishes collaborative communication channels
  - e) Recognizes and uses various social media platforms purposefully

### **B.** Maximizing Community Resources

- 1. Knows how to work with the community's cultural, social, intellectual, and political resources to promote student learning and school improvement
  - a) Maintains a presence in the community to understand its strengths and needs

- b) Develops productive relationships and engages various district constituents
- 2. Knows how to develop a productive relationship with local colleges and universities as a resource for the school district
- 3. Understands how to make district facilities and resources available for families and the community
- 4. Understands how to identify key strategies for obtaining resources such as grants, shared services, donations, and foundations