PERFORMANCE ASSESSMENTS: FEEDBACK FOR GROWTH

USING PERFORMANCE ASSESSMENTS

TO EMPOWER LEADERS

TO CONTINUE GROWING AND LEAD EFFECTIVELY

SOHO STRATEGIES LLC

STRATEGIC RESOURCES FOR PROGRESSIVE LEADERS

AGENDA

* Authorizers, Board Duties and Governance

* Different Kinds of Assessments

* The 360 Performance Review Process

* Growing Leadership Capacity

* Steps to Strengthening Leadership Accountability

AUTHORIZERS, BOARD DUTIES and GOVERNANCE

* Where does the performance assessment or evaluation of the CEO/Principal fit in?

Authorizers

New York City Department of Education

New York State Department of Education

The State University of New York - SUNY

Authorizers

New York City Department of Education*

Accountability Framework – Key Questions
1. Is the school an academic success?
2. Is the school effective and well run?
3. Is the school financially viable?

Under Essential Question #2: Operational Stability
* School has a formal process for evaluating progress against charter goals.
* Board has a formalized governance structure including lines of accountability for the board, school leadership and all staff.

*2017-18

Authorizers

New York State Department of Education

Framework
* Education Success
* Organizational Soundness
* Faithfulness to Charter and Law

Benchmark 6: Board Oversight and Governance

#5. The board utilizes a performance-based evaluation process for evaluating school leadership, itself, partners and providers.

*2017

Authorizers

The State University of New York – SUNY (2012)

The Charter School Performance Framework. *Renewal Questions …*
1. Is the School an Academic Success?
2. Is the School an Effective, Viable Organization?
3. Is the School Fiscally Sound?
4. If the School's Charter is Renewed, What are its Plans for the Term of the Next Charter Period, and are they Reasonable, Feasible and Achievable?

Benchmark 2D: Board Oversight. *The following elements are generally present …*

* The board regularly evaluates its own performance and that of the school leaders and the management company (if applicable), holding them accountable for student achievement.

*2012

Board Duties

* **Duty of Care** – the reasonable care that an ordinarily prudent person would exercise in a like position and under similar circumstances.

* **Duty of Loyalty** – to act in good faith and in a manner that is in the interests of the school rather than one's own interests or the interests of another person or organization.

* **Duty of Obedience** – an unwavering commitment to the mission and goals of the school, and to ensuring the school is operating in compliance with the law.

Sources: Association of Governing Boards & The Bridgespan Group

DIFFERENT KIND OF ASSESSMENTS

* Should performance assessments be linked to compensation reviews?

* What are some examples of different types of assessments?

Assessments

A performance appraisal (also known as a review or evaluation) is a method by which an employee's work performance is documented and evaluated.

Short list of types:

- Management by Objective
- Behavioral Checklist
- Psychological Appraisal
- 360 Degree Appraisal

Assessments

Management by Objective: Using this method of performance appraisal, the Board and the principal agree upon specific and obtainable goals (preferably 'SMART' goals) with a set deadline. With this method, the Board can define success and failure easily.

Behavioral Appraisal: This assessment measures the principal based on his/her behaviors – what does he/she do at work, what actions does he/she take to fulfill responsibilities and achieve goals.

Psychological (Trait Focused) Appraisal: This appraisal method evaluates the the principal's intellect, emotional stability, analytical skills and other psychological traits. This method makes it easy for the Board to assess if the principal is a 'good fit' for the school and its staff.

360 PERFORMANCE REVIEW

* PURPOSE – Why?

* OBJECTIVES – What?

* TIMING – When?

* PROCESS – How?

* ANALYSIS – Now, what's next?

360: Purpose

* **INDIVIDUAL:** To promote greater leadership self-awareness and growth

* **LEADERSHIP TEAM:** To promote leadership learning, collaboration and performance accountability

* **ORGANIZATION:** To demonstrate a school's or institution's commitment to promoting a 'culture of feedback' for constructive growth

360: Objectives

* **To clarify leadership strengths**

* **To reveal blind spots and areas for improvement**

* **To identify gaps between expectations and performance**

360: Objectives

* **To assess alignment between:**
  - Words & Deeds
  - Values & Behaviors
  - Self-awareness & External Perceptions
  - Strategic Priorities & Tactical Plans
  - Organizational Lifecycle & Leadership Evolution

* **To support leadership growth**

360: Timing

* **To determine if a 360 review process would provide value to the individual, the team and the organization, consider the following:**

  ◆ Is the leader new to the organization? Is it too soon?
  ◆ Has the organization recently experienced a major restructuring or transitional overhaul?
  ◆ Is there a toxic or negative-morale problem that is pervasive throughout the school or institution?
  ◆ If a 360 performance review was used previously, how was the process experienced within the organization?
  ◆ Does the school have the resources (managerial time and funds) to develop and institutionalize a customized 360?

360: Process

* Preparation

* Participants

* Tools

* Implementation

* Analysis & Follow up

360: Process ~ Preparation

* **To establish context and 'take a snapshot' of the school's current reality, review and assess the following:**

  ◆ A school's current position in its lifecycle

  ◆ The school's mission/values/aspirations

 ◆ The school's goals & metrics – for both the school and for the leader – and *progress to date*

360: Process ~ Preparation

* **To better understand the challenges, expectations and perceptions** the school and its leaders are facing and/or hold, interview the following prior to starting the development of the tools (list assumes the beneficiary is the CEO/Principal/Head of School):

  ◆ Board Chair, Executive Committee or Board-designated Agent

  ◆ CEO/Principal/Head of School

  ◆ Optional: Representative of the Authorizing Body

  ◆ Optional: Representative of Majority Donor/Funder

  ◆ Optional: Senior-level School Leaders

360: Process ~ Participants

* List of participants invited to engage in the 360 review process are agreed upon by the beneficiary and the supervising authority (e.g. CMO's CEO, Board Chair, etc.).

* Participants, or raters, selected typically include the following:
  * "Self" (Beneficiary of the 360 Review)
  * Board of Directors
  * Supervisor (if not the Board's role)
  * Direct Reports
  * Indirect Reports
  * Parents
  * External Stakeholders (e.g. Donors, Community Leaders, etc.)

360: Process ~ Participants
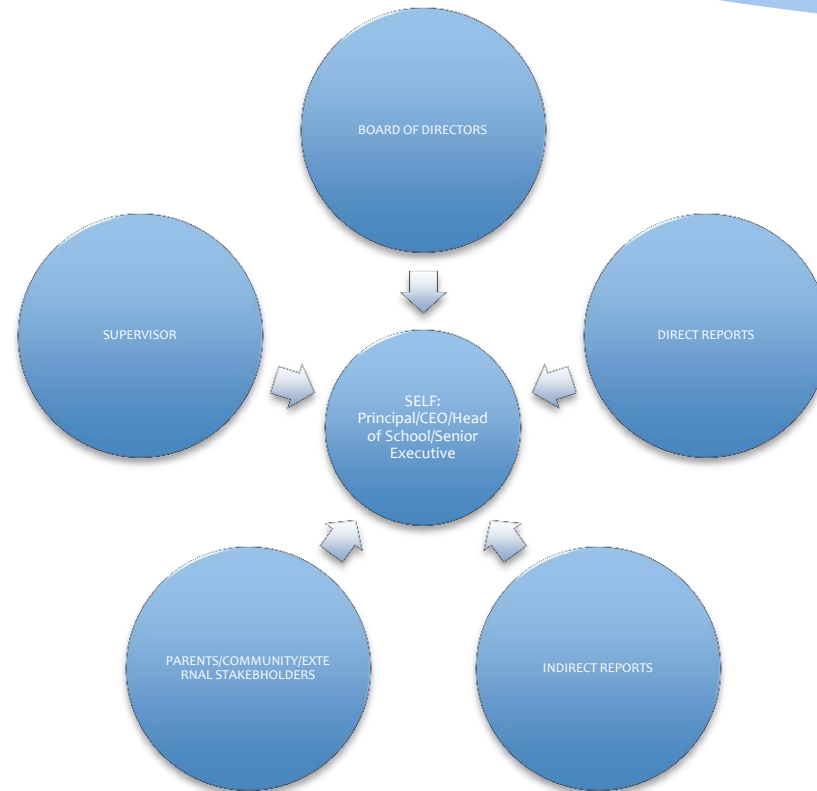
360: Process ~ Tools

* **To invite candid, anonymous feedback** about a leader's performance, skills and behaviors**, surveys include questions and content customized** to each category of participants.

* The exception is the **self-assessment survey tool**, which includes segments representing every category of participants.

* The type of the **actual survey tool** is determined by the participants' preferred technology. (i.e. Word Document, Excel, SurveyMonkey.)

360: Process ~ Tools

* **Example of Survey Rating Scale**

- 5 -**Role Model:** Leader demonstrates extraordinary skill and/or fulfills a responsibility in an excellent manner without exception. Considered in top 5% of comparable leaders.

- 4 -**Exceptional:** Leader consistently exceeds expectations and is an exemplar for meeting this standard and/or fulfilling this responsibility. Considered in top 15% of comparable leaders.

- 3 -**Proficient:** Leader meets expectations most of the time and is solid in meeting this standard and/or fulfilling this responsibility.

- 2 -**Building:** Leader meets this standard and/or fulfills this responsibility some of the time but does so inconsistently.

- 1 -**Needs Development:** Leader does not meet expectations for meeting this standard and/or fulfilling this responsibility. Professional coaching and development is needed to address this capacity challenge.

360: Process ~ Tools

* **Examples of Survey Content Rated**

  - **Self-confident:** Knows when to lead, when to manage and when to get out of the way.

  - **Accountable:** Receives constructive input and/or feedback regarding his/her behavior or decisions with an open mind.

  - **Resilient:** Demonstrates the ability to cope effectively with setbacks and move forward in a positive manner.

  - **Adaptability:** Demonstrates agility in his/her ability to change course when new information or unexpected circumstances warrant such a change.

360: Process ~ Implementation

* **Establish a timeline with deadlines that are reasonable** yet paced to move the process from start to finish in four to eight weeks (depending on the number of participant categories and actual number of participants).

* **Engage the participants from the outset** by reviewing with them how the process will work, how their anonymity will be respected and what to look for following the conclusion of the process to lay the foundation for building trust and respect for this type of activity going forward.

* **Develop survey tools that are easy to use and time efficient,** that gather strategically selected quantitative and qualitative data points, and are tailored to the participants' technological preferences to increase the level of valuable participation.

360: Analysis & Follow up

* **Fundamental Analysis** includes:

  ◆ Summation of the quantitative and qualitative data

  ◆ Identification of the trend lines within and across the categories of participants

  ◆ Removal of any indicators from the narrative comments that could compromise the anonymity of the participants/raters

360: Analysis & Follow up

* **In-depth Analysis** includes:

  ◆ Description of the leader's top three to five strengths and challenges

  ◆ Assessment of critical gaps between organizational needs and leadership competencies

  ◆ Professional development strategies recommended to encourage leadership growth

360: Analysis & Follow up

* **Example of Quantitative Data Analysis:**

  ▪ The staff surveys (Section 1.B. Leadership and Management Responsibilities) indicate that the staff's overall assessment of the Principal's performance ranges from 2.1 to 3.6; Principal's range in the same section is 3.0 to 5.0.

  ▪ The board surveys (Section 1.C: Stewardship and Leadership) indicate an overall assessment of the Principal's performance is 3.0 to 4.3; Principal's range in the same section is 2.0 to 4.0.

  ▪ The parent surveys (Section 1.D: Community Responsibilities) indicate that the parents' overall assessment of the Principal's performance is 4.8 to 5.0; Principal's range in the same section is 3.0 to 4.0.

360: Analysis & Follow up

* **Example of Qualitative Analysis:**

  ▪ *Key Strengths and Accomplishments*
    • The Principal has lived and exhibited the energy, commitment and passion needed to lead students, teachers and families to building a successful school.
  ▪ *School Challenges*
    • To review and improve the school's testing process to ensure the integrity of the data.
  ▪ *Individual Challenges*
    • To deepen his/her knowledge of key educational fundamentals.

360: Final Considerations

* **Timing** is one of the most important factors in determining if a 360 Performance Review process would be a valuable endeavor.

* **Trust** in the process and confidence in the review facilitator are essential requirements to ensure the review analysis is valuable and respected.

* **Using the review analysis** should be done thoughtfully and cautiously. If it is to be a contributing factor in determining performance and compensation matters, it is best accomplished when the review analysis is used in conjunction with other measureable activities, e.g. students' performance metrics, authorizer's goals/metrics, etc.

GROWING LEADERSHIP CAPACITY

* How can the results of a 360-performance assessment guide the professional development strategy for the CEO/Principal?

STRENTHENING LEADERSHIP ACCOUNTABILITY

* What are the basic steps a board should take to hold the CEO/Principal accountable in a supportive and productive manner?

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Executive Evaluations and Accountability Practices

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