

3.02B

MERCY EDUCATION PROCEDURE 3.02B PERFORMANCE REVIEW OF PRINCIPALS

Key Steps in the Goal Setting and Appraisal of Principals in Mercy Sponsored Schools

- B01 Mercy Education initiates and manages all elements of Principal Performance Review in Mercy Education Ltd schools.
- B02 Within the Principals' contracts, the review process has major stages including:
- Annual Goal Setting;
 - Formative Appraisal; and
 - Summative Appraisal.
- B03 The usual terms for appointment of a principal for the relevant State Diocesan authorities are stated in §3.01A: Appointment of Principals.
- B04 The appraisal process consists of a cycle which encompasses annual review of leadership goals and articulation of priorities, and both Formative Appraisal and Summative Appraisal. The process of appraisal has three major components:
- (a) annual negotiation, between the Principal and the Chief Executive, of agreed leadership goals encompassing the role of the Principal and School Improvement Plan priorities;
 - (b) a formative appraisal, validated by a visiting Panel.
 - (c) a summative appraisal that will be a factor in informing Mercy Education's decision about a further period of contract.

The designation of a review process as either formative or summative is made according to whether the appraisal is midway within a contract term or in the penultimate year of the contract term.

The appraisals are considered to be a part of an overall review process and not a 'one-off' event.

In Victoria, over the first twelve years of appointment, the principal formative (F) and summative (S) appraisals will occur at Years Three (F), Six (S), Nine (F) and Eleven (S). All other years will include goal-setting processes. In subsequent five-year contracts, formative appraisals will occur at Year Two and summative appraisals at Year Four of the five-year Term.

In Western Australia, over a twelve-year appointment, the principal formative (F) and summative (S) appraisals will occur at Years Two **or** Three (F*), Five (F), Seven (S) and Eleven (S). All other years will include goal-setting processes.

(F) - Due to the First Term contract period of three years in Western Australia, the first formative review will include aspects which will assist Mercy Education's decision about a further period of contract.*

In South Australia, please note that the first appointment as Principal is for two years and a Second Term contract is subject to satisfactory completion of a 12-month period of probation. This will be determined in the Annual Goal Setting process.

Over a twelve-year appointment, the principal formative (F) and summative (S) appraisals will occur at Years Three (F), Six (S), Nine (F) and Eleven (S). All other years will include goal-setting processes.

- B05 The following framework of key leadership areas is used to articulate the annual, agreed leadership goals by which the Principal's performance will be evaluated:
- a. Faith Leadership
 - nurturing the College as a Gospel community which shares in the educative mission of the Church
 - promoting and nurturing the Mercy ethos of the College
 - b. Strategic Leadership
 - identifying and implementing a strategic direction for the College
 - guiding the College through the approved school Review Process
 - monitoring enrolment patterns
 - c. Educational Leadership
 - developing a culture which supports the ongoing professional learning of all staff
 - contributing to and overseeing the development of high quality teaching and learning programs
 - ensuring appropriate educational resources are provided to support the teaching and learning programs
 - d. Organisational Leadership
 - developing, monitoring and reviewing all College policies and procedures
 - facilitating appropriate structures and networks for effective communication and decision-making within the College community

- ensuring that appropriate accountability requirements with external agencies including the Mercy Education Board, Catholic Education Commissions, Catholic Education Offices and Governments are met
- e. Interpersonal Leadership
 - pastoral care and welfare of staff
 - staffing and staff relations
 - pastoral care and welfare of students
 - relationships with parents and the wider College community
- f. Resource Management Leadership
 - financial management
 - management of physical facilities, buildings and grounds
- g. Governance
 - relationship with the Mercy Education Board and Institute and active support and involvement in the Board's program of meetings, seminars and professional development
 - understanding and implementation of Board policies and processes relating to McAuley Property Limited (MPL), legal issues, capital development, financial management and appointment of senior staff
 - working relationship with the Chair and members of College Council
- h. Development of own Leadership Capabilities
 - taking time to focus on personal development
 - undertaking appropriate professional development

B06 Annual Goal Setting

- a. A meeting between the Principal and the Chief Executive will be held in years other than those with Formative and Summative Appraisals, to discuss and negotiate leadership goals by which the Principal's performance will be evaluated.
- b. The annual goal setting meeting will be held at the College, or other meeting venue, and conducted with the Principal by the Chief Executive.
- c. Excluding the first year of goal setting, the Principal will provide a written report to the Chief Executive addressing each of the agreed leadership goals and providing evidence to demonstrate the extent to which each goal has been met.
- d. An account of discussions leading to agreement of the leadership goals, including revised priorities where appropriate, shall be documented and retained by the Principal and the Board.
- e. The Chief Executive shall present a summary of the meeting to Directors of the Board at the next Mercy Education Board meeting. After the presentation to the Board, the Chief Executive shall prepare correspondence to the Principal acknowledging completion of the goal setting stage, affirming the work of the Principal and where appropriate, providing confirmation from the Board relating to revised priorities or future direction of the College.

B07 Formative Appraisal

Formative Appraisal is conducted at the College with the Principal, the Chief Executive to act as Chair, a nominee of the Board who may also be a Director of the Board and a nominee of the Principal.

- a. In the year preceding the appraisal, the Executive Office will commence the implementation of the process by writing to the Principal confirming that an appraisal will be conducted in the following year.
- b. The Chief Executive contacts the Principal to co-ordinate suitable dates to conduct the appraisal process. Usually the process is conducted over one day. The Chief Executive clarifies the appraisal process with the Principal to ensure common understandings.
- c. The Principal is asked to reflect on the agreed leadership goals, achievements and challenges, and to forward the self-reflection report to the Chief Executive, who will distribute it to other members prior to the panel's meeting at the school.
- d. The Principal's self-reflection report will be the focus of the interviews with the Principal and key personnel, selected in consultation with the Principal. . It may be considered appropriate that other members of the College community be invited to submit a written and signed reflection offering comments on their perceptions on the leadership qualities of the Principal. An opportunity to visit particular areas of concern or under consideration for future development at the College should be taken.
- e. The Chief Executive is allocated the responsibility of writing a draft report of the interview phase. Following this, the report will be discussed with other panel members and the Principal, and the report finalised.
The report should include:
 - Date of the appraisal
 - Membership of the panel
 - Outline of the process used
 - A summary of the information obtained from under the headings used in the self-reflection document;
 - A list of commendations based on the information contained in the report;
 - A list of recommendations for the consideration of the Principal.
- f. The Chief Executive reports back to the Board at the next available Board meeting.
- g. Copies of the final report are signed by both parties and remain confidential to the Principal, the Chief Executive, the Board, other personnel directly involved in the review process and the Institute Leadership Team. All other copies produced are shredded.
- h. A concluding letter from the Chief Executive is written to the Principal, expressing appreciation and affirmation and noting any particular directions set for the Principal and for the College over the next two to three year period.

- i. The report of the Formative Appraisal is seen as a working document designed to help guide the setting of leadership goals in the coming period.

B08 Summative Appraisal

Summative Appraisal is conducted at the College with the Principal, the Chief Executive to act as Chair and a nominee of the Board who may also be a Director of the Board and a nominee of the Principal.

- a. The process of Summative Appraisal is similar to Formative Appraisal.
- b. In a Summative Appraisal, there is a greater emphasis on interviewing a broader cross-section of the school community. The Chief Executive, in consultation with the principal, will determine the number and selection of community members to be interviewed.
- c. Summative Appraisal in some contract Terms is linked to the issue of re-appointment of the principal and will be one of the influencing factors for Directors of the Board in determining the offer of a further contract.
- d. In the year preceding the appraisal, the Executive Office will commence the implementation of the process by writing to the Principal confirming that an appraisal will be conducted in the following year.
- e. The Chief Executive contacts the Principal to co-ordinate suitable dates to conduct the appraisal process. The appraisal will be conducted at the school and completed so as to finalise the report no later than the end of August in the penultimate year of the Principal's contract. The Chief Executive clarifies the appraisal process with the Principal to ensure common understandings.
- f. The Principal is asked to reflect on the agreed leadership goals, achievements and challenges, and to complete and forward the self-reflection report to the Chief Executive, who will distribute it to other members prior to the panel's meeting at the school.
- g. Interviews of targeted personnel are conducted by the panel to gain further insight into the performance of the Principal. Selection of interviewees will be planned with the Principal and may include staff, students and parents, most of whom have a close working relationship with the Principal. It may be considered appropriate that other members of the College community be invited to submit a written and signed reflection offering comments on their perceptions on the leadership qualities of the Principal.
- h. The Principal's self-reflection report and comments from the interviews of community members will be the focus of the Panel interview with the Principal and the subsequent report. An opportunity to visit particular areas of concern or under consideration for future development at the College should be taken if desired.

- i. The Chief Executive is allocated the responsibility of writing a draft report of the interview phase, after which, the report will be discussed with the Principal and other panel members, and a final report prepared.
The report should include:
 - Date of the appraisal
 - Membership of the panel
 - Outline of the process used
 - A summary of the information obtained from under the headings used in the self-reflection document
 - A list of commendations based on the information contained in the report
 - A list of recommendations for the consideration of the Principal
- j. At this point it would be timely for the Chief Executive to enquire as to the intentions of the Principal in seeking a further term of principalship at the College.
- k. Copies of the final report shall be signed by both parties and shall remain confidential and only presented to the Mercy Education Board, the Chief Executive, other personnel directly involved in the review process, the Institute Leadership Team and the Principal. All other copies produced shall be shredded.
- l. Directors of the Board consider the Summative Appraisal Report prior to the October Board meeting.
- m. If the Principal wishes to seek re-appointment, the Board invites the Principal to meet with Board members at the October or November Board meeting. The purpose of the meeting is to provide an opportunity for both parties to share open discussions on the performance during the current term of appointment and to hear of the vision and dreams of the Principal for a subsequent term of appointment.
- n. After discussions, Board Directors determine whether to re-appoint or not, and if a favourable decision is made, a motion is required to be passed by the Board to appoint the Principal for a subsequent term. Ratification is then sought from the Institute Leadership Team and the Principal is notified of the positive outcome to re-appoint after ratification and before 30 November in the penultimate year.
- o. A letter of re-appointment and a new contract are prepared.
- p. If a positive recommendation to re-appoint is not reached, local State industrial procedures will be followed.