



School

Dunedin Rudolf Steiner

Learning with head, heart and hands

Principal Annual Performance Agreement and Review Process: Policy and Procedures

POLICY

To ensure high quality education opportunities for the students of the Primary School, the Dunedin Rudolf Steiner School Board in agreement with the Primary School Principal will develop a Principal Annual Performance Agreement each year. This agreement will include:

- A set of annual achievable and future-focused performance objectives for the Principal to work towards that reflect the School's strategic and annual plans;
- Professional Standards as stated in the Primary Principals' Collective Agreement;
- Learning and development objectives for the Principal.

On an annual basis the Board, "in committee", will review the Principal's performance against the Annual Performance Agreement (APA). The Principal Annual Performance and review has both *accountability* and *development* purposes.

Summary of Procedures

Step one (usually April)

A Delegated "Team" (usually Board chair and Personnel portfolio holder on the Board, can be outside advisor as well) is created at a BoT meeting.

Step two (usually April)

The Team meet to discuss what the possible Performance Objectives could be.

Step three (usually April)

The Principal and the "Team" meet to create the APA. (the Performance Objectives, the Learning and Development Objectives, the Special Character Advisor, the determination of "good" performance, and the Review Process).

The Team creates the APA document and gives it to the Principal to be agreed on.

Step four (usually May)

BoT meeting

APA taken to a BoT meeting to be agreed on.

Agreed APA document written up and the Principal given a copy.

Step five (usually August/September)

Principal and the Team have an Interim meeting to discuss progress, and to make a date for the Formal meeting (usually March).

Step six

Preparation for the Formal meeting.

(Usually November) The “Special Character Advisor” is asked to prepare a report for the Formal Review meeting. This report is sent to the Principal and the “Team” 3 weeks before the Formal Review meeting.

If a Survey has been completed this information must be sent to the Principal 3 weeks before the Formal Review meeting.

The Principal prepares a self-appraisal report by filling in the comments section of the APA. This report is sent to the “Team” 2 weeks before the Formal Review meeting.

(Usually February) The “Team” meets, on its own, to look at the Principal’s comments, the Advisor report, and any other information that has been gathered e.g. survey. The Team may then add questions to the Reviewer’s section of the APA but no ratings are put in yet,

Step seven (usually March)

Principal and Team have the Formal Review Meeting where the ratings part of the APA Report is completed together.

Step eight (usually March)

If the Principal is happy with the results of the Formal meeting the APA Report will be sent to the BoT members 2 weeks before the BoT meeting.

Step nine (usually March)

BoT meeting

Principal APA Report presented “in committee”

Final outcome communicated to the Principal

Procedures

The Board delegates at least 2 members of the Board (the “team”) to develop the Annual Performance Agreement (APA) in consultation with the Principal. The same members should be delegated to undertake the Principal Annual Performance Review. The delegation will usually comprise the Board Chairperson and the Board Personnel Portfolio holder. When the Board delegates the management of the process to board members, it retains responsibility and accountability for the actions of the delegates. Proposed wording for the written delegation to be minuted are as follows:

“The Dunedin Rudolf Steiner School Board of Trustees delegates to _____ (the Board Chairperson) and _____ (the Board Personnel Portfolio holder) the management of the process of:

- (i) Developing the Principal Annual Performance Agreement for 20__ in consultation with the Principal (to be presented to the Board before the end of term one), and
- (ii) Determining the Principal Annual Performance review process for 20__ in consultation with the Principal (to be presented to the Board before the end of term one), and
- (iii) Carrying out the Principal Annual Performance review for 20__ (a summary report to be presented to the Board before the end of term four).

The Dunedin Rudolf Steiner School document ‘Principal Annual Performance Agreement and Review Policy and Procedures’ should be applied.”

Creating the Principal’s Annual Performance Agreement.

Determining Objectives to be included in the Principal’s APA.

(Usually start of Term 2 in **April**) The delegated “Team” will meet to discuss what Objectives should be included.

The following should be considered:

- (a) What are the next academic year’s annual goals and objectives?
- (b) Have the previous year’s annual plan objectives been achieved?
- (c) Were there any issues arising from the Principal Annual Performance review that needed attention?
- (d) Have any professional development needs arisen in the process?
- (e) Are there any new external elements that must be addressed (requirements of standards, student monitoring, introduction of curriculum performance standards, etc.)?
- (f) Has there been an ERO Accountability Review that recommends compliance requirements?
- (g) Have staff or community members raised any concerns?
- (h) Are there specific concerns about the performance of the school? Or performance of the Principal?
- (i) Are there aspects of ‘special character’ of the school that need to be addressed?

These notes will inform the meeting with the Principal.

(Usually in May) The delegated "Team" will meet with the Principal.

At this meeting the Team, in consultation with the Principal, will fill in the following sections of the APA. The Performance Objectives, the Learning and development objectives, the determination of "Good" performance and the determination of the Review Process.

It is important that the meeting should allow enough time for the whole process to be completed.

NOTE

Determining Performance Objectives and Learning and Development Objectives:

- i. stated in clear, unambiguous language
- ii. few in number (4 to 8) depending on complexity and/or importance
- iii. measurable or observable
- iv. challenging
- v. job orientated and related to improved school performance
- vi. related to, and consistent with, the school's philosophy and goals
- vii. time bound (i.e. have clear completion dates).

Determining Good performance

- Meeting all objectives and professional standards?
- Meeting all objectives and 80% of professional standards?
- Exceeding all objectives and at least 80% of the professional standards?
- Exceeding 80% of the objectives?
- Meeting one or more critical objectives?

Record this as a clear statement in the Principal Annual Performance Agreement.

Determining the Review process.

The delegated Team, in consultation with the Principal, decide who will be the Special Character Advisor (the Proprietors Trust should be informed and agree to this appointment).

The delegated Team, in consultation with the Principal decide who should be contacted, when, and by whom, in order to determine if the Objectives have been met.

The delegated Team also determines how this information should be collected, and the format in which it should be reported. Evidence may include a survey, self-review, interviews, focus groups, or documentary evidence. It is important that the evidence that is collected is objective and robust.

The Review Process should be recorded in writing as part of the Principal's APA.

Formal approval of the Principal's APA.

(Usually in **May**) The DRAFT Principal Annual Performance Agreement should be presented to the Principal. If the Principal has objections to the agreement or the process so far, the delegated team must consider their views. The delegated Team may choose to accept the Principal's view and modify the documents, or reject them and keep the documents as they stand.

(Usually in **May/June**) The draft APA is taken to the Board for consideration (with any outstanding objections from the Principal attached). It is discussed "in committee" with the Principal removed from the meeting.

Before leaving the meeting the Principal should have the opportunity to comment directly to the Board on any aspects of the agreement.

If the Principal and the Board disagree on any aspect of the APA, the Board, after considering the Principal's put, will either amend the disputed objectives or confirm the unchanged objectives. The Board's decision will be final. See the Primary Principals' Collective Agreement 2019-22 section 4.1.3:

- a. Every endeavour shall be made by the Board and principal to reach agreement on a performance agreement that is acceptable to both of them.
- b. Where this has not been achieved, the Board or the principal may seek professional advice to assist them.
- c. Where a performance agreement acceptable to both parties is not achieved, the decision of the Board in relation to the contents of the performance agreement for that year will be final. In such circumstances the principal shall have the right to attach written comments - including any professional advice obtained under clause 4.1.3(b) above and/or noting any objectives that he/she considers unreasonable - to the performance agreement which shall be considered during the review or other proceedings.

The Principal should receive and sign a copy of the confirmed Principal Annual Performance Agreement, and these documents should be kept in the Principal's file.

Interim assessment

(Usually in **August/September**) There will be one interim meeting, between the Principal and the delegated Team to discuss progress.

If performance is unsatisfactory at the interim meeting, a remedial or competency process should be started.

Preparation for the Formal Review meeting (Usually in Feb).

(Usually in **November**) The Special Character Advisor will be asked by the Team to prepare a report on the Principal's performance with respect to Special Character. The report will be sent to the Principal, and the Team, **three weeks** before the Formal meeting (usually in Feb). The report would include how the Principal has met any special character goals within the APA.

(Usually in **January**) The Principal starts to prepare a self-appraisal report by filling in the comments section of the APA document.

This is to be given to the delegated Team **three weeks before** the Formal Review Meeting.

(Usually in **January**) Supporting information regarding the Principal's performance is gathered by the Team, as specified in the Principal's APA, and sent to the Principal in the agreed format.

This should be provided to the Principal **at least three weeks before** the Formal Review Meeting.

(Usually in **February**) The Team will confirm a date for the Formal Review meeting and send an agenda to the Principal.

Agenda items will include:

- Discussion of Principal's self-appraisal report.
- Consideration of report provided by the Special Character advisor.
- Consideration of information gathered by the Team.
- Discussion of successes, constraints, and difficulties
- A summary of the overall results of the review including whether requirements for 'good performance' have been met.

The Principal may request a support person (a mentor, developer, or confidant) for the Meeting.

If the support person is a Board Trustee, the Board should be conscious of any potential conflict between the two roles and manage accordingly.

Formal Review Meeting (usually in March)

It is important to ensure that the process is conducted without interruption, allows adequate time, and is held in a comfortable environment.

The meeting being undertaken is about:

- acknowledging success and achievements
- providing performance feedback
- recognising where professional development is required
- improving the quality of the day-to-day management of the school
- fulfilling the board's contractual obligations as the employer
- supporting the principal by an established process

During the meeting it is important that the reviewers are focused on the Principal Annual Performance Agreement when discussing performance. The delegated Team must be as specific as possible when giving feedback.

The Principal will be given the opportunity to discuss and comment on each part before a rating is given.

At the close of the meeting the results will be summarised verbally.

After the meeting, the delegated Team will complete the Principal Annual Performance Agreement Report and send it to the Principal. The Principal can accept or dispute the report.

If the Principal disagrees.

If the report is disputed, the Team, will consider the Principal's views before deciding to either amend the report in accordance with the Principal's views, or to let the report stand, with the Principal's comments attached.

Conclusion of the Review process.

(Usually in **March**) The delegated Team will present a summary of the Principal Annual Performance Agreement Process to the Board "in committee". This will be sent to Board members in advance of the meeting in such a way as the confidentiality of the material is preserved.

The Board can decide whether the staff representative should be present.

The Principal may be present at the presentation and does have the opportunity to address the Board.

The Principal will then exit and further discussion may continue among the Board members.

The Report will either be accepted by the BoT or more information may be asked for.

Once the BoT has accepted the Report the Principal will be informed personally and in writing of the final outcome of the BoT meeting.

If performance is unsatisfactory then a remedial or competency process should be started with advice from NZSTA. The Principals Collective Agreement and our Complaints procedure will be followed in this event.

The Principal Annual Performance Agreement Report are confidential to the Principal, the Board, and their agents, unless both parties agree to a wider distribution.

This document

Revisions to this policy and procedures document should be consulted with the Principal. A copy of the final version should be signed by the Principal and Board Chairperson and kept in the Principal's file. The main sources of information for this policy and procedure include the Primary Principals Collective Agreement and the NZSTA resources on Principal Appraisal.

SIGNATURES

Principal

I, _____, have been informed of the Primary School Principal Annual Performance Agreement and Review Policy and Procedures of the Dunedin Rudolf Steiner School Board of Trustees.

Signature _____ Date _____

Board chairperson

Name Daniel Fridberg

Signature Daniel Fridberg Date 22/6/2021