



MSEI POLICY 8.0

8.2 GUIDELINES FOR THE PROCESS OF APPRAISAL OF DEPUTY PRINCIPALS IN MERCY SPONSORED SCHOOLS

1. PREAMBLE

The development of the Deputy Principal appraisal process was the result of a series of consultations between key stakeholders in Mercy schools, including Deputy Principals, Principals, members of the MSEI Board and Principals and Deputy Principals of Mercy co-sponsored schools.

While the consultative process involved key stakeholders, it must be acknowledged that a variety of systems and sharing of experience from other appraisal processes has contributed to this final process. In particular, documents referenced include:

- Victorian Catholic Secondary Deputy Principals Negotiating Document;
- Assessment of Catholic School Leaders - *South Australian Commission for Catholic Schools*;
- Principal Appraisal Program - *CEO Diocese of Sandhurst*;
- Appraisal for Professional Development: Self Review- *Vaughan Support Services*;
- Various role descriptions provided by Deputy Principals.

2. PROCESS

The three components in the appraisal process for Deputy Principals are:

- Annual review;
- Formative appraisal;
- Summative appraisal.

Annual review

The Annual Review process is not part of the MSEI process, but forms part of the Victorian Catholic Schools and Catholic Education Offices Award and Certified Agreement. The annual review program for Deputy Principals is described within the Certified Agreement under *Appendix 3: Deputy Principal Classification Structure and Incremental Progression, Clause 5: Annual Review Meeting/ Annual Written Report*.

3. TYPES OF APPRAISAL

FORMATIVE APPRAISAL

A. Purpose of the Formative Appraisal

The formative appraisal is conducted in the **third** year of appointment. In the context of the Deputy Principal's role description, its purpose is to affirm the skills demonstrated and the achievements made by the Deputy Principal, and to recommend ways in which performance could be enhanced. Goals for professional learning may also be discussed with the Deputy Principal as part of this process, as may adjustments to the Deputy Principal's role description. The latter are to be taken up with the Principal. However in the second and/or subsequent contract the formative appraisal process is negotiable. It could be replaced by a goal setting and action plan or the Annual Review Meeting.



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B. Panel members

- Nominee of the MSEI Board (Chair of Panel)
- Nominee of the Deputy Principal
- Principal

C. Phases

Preparation phase

- In the year prior, the MSEI Executive Officer notifies the Deputy Principal in writing that a process of appraisal of his/her performance will be conducted in the following year. At this time, the name of the Board nominee on the appraisal panel is communicated and the Deputy Principal is requested to consider his/her nominee to the panel.
- In the year of appraisal, the MSEI Board nominee on the panel contacts the Principal to initiate the appraisal process. The process will be conducted at the school.
- At this time of initial contact, the MSEI Board nominee clarifies the process with the Principal to ensure common understandings (**Refer Appendix 4.1**). By this stage, other members of the panel should be known.
- The Principal liaises with the panel members and the Deputy Principal to set the dates for appraisal and to arrange a suitable time for a preliminary meeting.
- Panel members are given a copy of the role description of the Deputy Principal prior to the meeting to examine and to identify areas of questioning required.

Preliminary meeting

- The preliminary meeting, of normally up to two hours duration, may be held at the school or by teleconference.
- In consultation with the Deputy Principal, panel members agree on the entire process and select and modify where appropriate, a suitable survey instrument (**Refer Appendix 4.2**). Agreement is reached in determining which groups of staff and how many staff - based on school structure and the particular role of the Deputy Principal, would be most informed to best respond to the survey. A discussion is held to determine how to distribute and collect surveys to/from the selected personnel. (For practical reasons, this step may be managed by the Principal).
- Panel members and deputy principal agree on the number and particular members of staff to be invited for an interview by the panel during the interview phase.

Self-reflection Report

- The Deputy Principal is asked to complete and then distribute the self-reflection report to panel members prior to the interview phase. The purpose of the self-reflection report (**Refer Appendix 4.3**) is for the Deputy Principal to describe his/her perceptions on how, based on the role description, he/she has performed. Such perceptions should address, but not be limited to, the key areas of leadership outlined in the proforma provided.



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Interview phase (Full day at the school)

- Panel members convene at the school and consider the Self-reflection Report and survey results. Interviews of targeted personnel are conducted by the panel to gain further insight into the performance of the Deputy Principal.
- A panel interview is conducted with the Deputy Principal to share information and views and to listen to and discuss the Self-reflection Report. Panel members may also use this opportunity to investigate further, any matter that may have been raised in the surveys or during staff interviews.

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Draft Report prepared and distributed

- Chair of the panel considers all information and material presented and prepares a draft report for panel members' consideration. The report should include a listing of commendations and recommendations. After the appraisal panel has agreed on its final draft this copy will be forwarded to the Deputy principal for perusal and comment.
- Panel members offer comment and feedback to the panel chair (email can be effective in this phase).
- A copy of the amended draft report is forwarded to the Deputy Principal for consideration and comment.

Meeting with panel members and Deputy Principal (At the School)

- Members of the panel meet with the Deputy Principal to discuss and finalise the draft report.

Final report

- Copies of the final report are forwarded to the Deputy Principal, panel members and the MSEI Executive Officer for distribution to Board members.

Concluding stage

- In consultation with the Principal, the Deputy Principal sets new goals and renews his/her personal professional development plan or action plan in light of the commendations and recommendations identified in the report. Consideration may be given to the appointment of a professional mentor where this is deemed appropriate. It is recommended that issues relating to the role description and workload of the Deputy Principal be also addressed at this time.
- The nominee of the Board is invited to the next MSEI Board meeting to speak to the final report.



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SUMMATIVE APPRAISAL

A. Purpose of the Summative Appraisal

The Summative Appraisal is to take place in the final year of the term period. Its purpose is to evaluate the performance of the Deputy Principal over the period of the appointment, taking particular account of the progress made towards the adoption of the recommendations and goals in the report of the Formative Appraisal, and being mindful of any adjustments to the role description which may have taken place after the Formative Appraisal. The Summative Appraisal report is one matter that may inform the Principal in consideration of re-appointment of the Deputy Principal for a further term.

B. Panel members

- Nominee of the MSEI Board (Chair of Panel)
- Nominee of the Deputy Principal
- The Principal or his/her Nominee

C. Phases

Preparation phase

- In the year prior, the MSEI Executive Officer notifies the Deputy Principal in writing that a process of summative appraisal of his/her performance will be conducted in the following year. At this time, the name of the Board nominee on the appraisal panel is communicated and the Principal and Deputy Principal are requested to consider their nominees to the panel.
- In the year of appraisal, the MSEI Board nominee on the panel contacts the Principal to initiate the appraisal process. The process will be conducted at the school.
- At this time of initial contact, the MSEI Board nominee clarifies the process with the principal to ensure common understandings (**Refer Appendix 4.1**). By this stage, other members of the panel should be known.
- The Principal liaises with the panel members and the Deputy Principal to set the dates for appraisal and to arrange a suitable time for a preliminary meeting.
- Panel members are given a copy of the role description of the Deputy Principal and copies of previous appraisal report(s) prior to the meeting to examine and to identify areas of questioning required.

Preliminary meeting

- The preliminary meeting, of normally up to two hours duration, may be held at the school or by teleconference.
- In consultation with the Deputy Principal, panel members agree on the number and particular members of staff to be invited for an interview by the panel during the interview phase. Please note that survey is not used in this component of the appraisal process.



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Self-reflection Report

- The Deputy Principal is asked to complete and then distribute the self-reflection report to panel members prior to the interview phase. The purpose of the self-reflection report (**Refer Appendix 4.3**) is for the Deputy Principal to describe his/her perceptions on how, based on the role description and on goals and plans set following the earlier formative appraisal, he/she has performed. The focus of the self-reflection and subsequent interview with the Deputy Principal should be on learnings and perceived improvements in performance since the previous formative appraisal.

Interview phase (Full day at the school)

- Panel members convene at the school and consider the self-reflection report and previous appraisal report(s). Interviews of targeted personnel, including the Principal, are conducted by the panel to gain further insight into the performance of the Deputy Principal, especially in relationship to the fulfilment of the recommended actions and goals from the Formative Appraisal report(s).
- A panel interview is conducted with the Deputy Principal to share information and views and to listen to and discuss the self-reflection report. Panel members may also use this opportunity to investigate further, any matter that may have been raised during interviews.

Draft report prepared and distributed

- Chair of the panel considers all information and material presented and prepares a draft report for panel members' consideration. The report should include a listing of commendations and recommendations. The Principal and Deputy Principal should also receive a copy of the report for consideration and comment. See suggested amendment above.
- Panel members offer comment and feedback to the panel chair (email can be effective in this phase);
- A copy of the amended draft report is forwarded to the Deputy Principal for consideration and comment.

Meeting with panel members and Deputy Principal (At the School)

- Members of the panel meet with the Deputy Principal to discuss and finalise the draft report.

Final report

- Chair of the panel finalises the report and copies of the final report are forwarded to the Deputy Principal, panel members and the MSEI Executive Officer for distribution to Board members.
- Chair of the panel discusses with the Principal the findings of the final report. The Chair, on behalf of the panel, might be asked to make a recommendation regarding re-appointment of the Deputy Principal.



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Concluding stage

- The nominee of the Board is invited to the next MSEI Board meeting to speak to the final report.
- The Principal will deliberate on the matter of re-appointment for a further based on the past performance of the Deputy Principal and within the context of the deputy's role description. Consideration of the outcomes of annual review meetings and the commendations and recommendations from past formative appraisals and the current summative appraisal report, will inform the Principal's decision. The final decision made by the Principal is to be forwarded to MSEI for Board approval, and if involving an offer of re-appointment, sent on to the Congregation Council by the Executive Officer seeking ratification. If the Deputy Principal is re-appointed an action plan should be developed on the recommendation in the report and consideration also be given to the appointment of a professional mentor

4. SUPPORTING PROFORMA

- A. Guidelines for the Chair of the Appraisal Panel
- B. Overview and copy of Survey Instruments
- C. Overview and copy of the Self Reflection Report



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APPENDIX A

GUIDELINES FOR THE CHAIR OF THE APPRAISAL PANEL

It is the responsibility of the Chair of the Appraisal panel to:

- A1. Communicate via letter, email or in person with the principal, the Deputy Principal and the members of the Deputy Principal appraisal panel to determine the timeline, dates and times for the various stages of the appraisal process;
- A2. Meet or communicate by teleconference with the Principal and the Deputy Principal prior to the commencement of the appraisal process to ensure that an appropriate selection is made of people to be surveyed and/or interviewed;
- A3. Arrange with the Principal for the necessary documentation, proformas etc. to be made available to those being surveyed and for any changes to the school timetable which may be necessary for the conduct of interviews to be organised in advance;
- A4. Discuss with other members of the panel prior to the interview, the structure of the interviews and the questions that might be asked;
- A5. Welcome the interviewees, introduce the panel, outline the purpose and process of the appraisal, giving an assurance of confidentiality, and bring the interview to a conclusion with an expression of appreciation;
- A6. Draft the appraisal report, the format of which will include:
 - Date of the appraisal;
 - Membership of the panel;
 - Outline of the process used;
 - A summary of the information obtained from surveys and interviews, under the headings used in the survey instrument and 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 Deputy Principal.
- A7. Circulate the draft report to the other members of the panel for amendment;
- A8. Submit the report to the person being appraised for comment prior to its finalisation;
- A9. Meet with the Deputy Principal to discuss the draft report and make any subsequent changes arising from the discussion;
- A10. Clarify the status of the report and its confidentiality to the Deputy Principal and the Principal;
- A11. Submit the final report to the Principal, the Deputy Principal and to the MSEI Executive Officer for presentation to the Board.



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APPENDIX B

SURVEY INSTRUMENTS

PURPOSE OF THE DEPUTY PRINCIPAL SURVEY

The purpose of the survey is to provide an opportunity for colleagues of the Deputy Principal to comment on their perceptions of the Deputy Principal's performance in relation to the role description. The survey will be distributed to selected members of the college community, as discussed and agreed to by the Deputy Principal and members of the appraisal panel.

CONFIDENTIALITY

Results of the survey will remain confidential and will assist the panel in determining the Deputy Principal's ability to fulfil his/her role.

KEY AREAS

Key areas covered by the survey are:

- Religious Dimension of the school;
- Leadership;
- Curriculum;
- Relationships;
- Staff;
- Organisation.

AMENDMENTS

To focus more closely on particular aspects of the role description, amendments may be made to the key areas of the survey if agreement between the Deputy Principal and panel members is reached.

SAMPLES OF SURVEY INSTRUMENTS

Copies of sample survey instruments may be viewed and accessed at:

<http://www.msei.org.au/proformas>



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APPENDIX C

SELF REFLECTION REPORT

PURPOSE OF THE SELF REFLECTION REPORT

The purpose of the self-reflection report is for the Deputy Principal to document his/her perceptions of past performance in relation to the role description. He/she is asked to reflect on their work in each of the key areas identified, highlighting strengths and relationships, noting challenges encountered and expressing their vision for the next few years. Such perceptions should address, but not be limited to, the key areas of leadership outlined below.

DESCRIPTION OF THE SELF REFLECTION REPORT

The proforma of the Report is presented to allow reflection in three stages:

- Strengths and skills possessed by the Deputy Principal in relation to past performance;
- Achievements accomplished and challenges encountered;
- Ideas for change and vision for future years.

Key Areas for reflection in the three stages include:

- The Religious Dimension of the College;
- Leadership style and communication - written and spoken;
- Curriculum and educational leadership;
- Pastoral care for students and relationship with parents;
- Relationship with the Principal;
- Provision of support for staff and staff relations;
- Administration and organisation;
- Any other area in relation to the role of the Deputy Principal

COPY OF THE SELF REFLECTION REPORT

A copy of the Self Reflection Report may be viewed and accessed at:

<http://www.msei.org.au/proformas>