

Policy Number:	1.2.6 Principal Annual Review
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Relevant Statutory /

Regulatory Linkages:

Policy Statement (Intent and Scope)

1. The purpose of the annual Principal performance evaluation is:
 - 1.1 To strengthen the Principal-Board relationship so as to allow the Principal and Board to meet mutually-agreed upon strategic goals and clarify responsibilities;
 - 1.2 To provide constructive feedback to the Principal in a timely and evidence-based fashion;
 - 1.3 To allow the Board to determine whether it is appropriately and effectively supporting the Principal; and
 - 1.4 To inform annual decisions on compensation for the Principal.

Responsibility

2. Annual assessment of the Principal’s performance is part of the governance framework of King’s University College and is a key responsibility of the Board of Directors as follows:
 - 2.1 The Board delegates to the Executive Committee responsibility for the development of the Principal’s Annual Performance Plan.
 - 2.2 The Board delegates to the Executive Committee responsibility for the process of conducting the annual performance evaluation and providing a recommendation to the Board with respect to the annual compensation framework.
 - 2.3 Informal confidential performance discussions are held as required throughout the year between the Principal and Board Chair.

Process

3. There are two parts to the Principal's Annual Performance Evaluation process: goal setting through the annual Performance Plan and evaluation.

3.1 Process for Principal's Goal Setting/Performance Plan

- 3.1.1 The Board Chair and Principal meet (in person or by telephone) prior to the start of the fiscal year to discuss a Performance Plan for the coming year. The goals outlined in the Performance Plan should be linked to the strategic plan and to other strategic directions approved subsequently by the Board of Directors. Additional goals may be added that relate to the overall management of the organization and its staff.
- 3.1.2 Following this meeting, the Principal drafts a Performance Plan for the coming year, linked to the strategic plan and other strategic directions approved by the Board, providing it to the Board Chair for feedback.
- 3.1.3 The Board Chair reviews the Performance Plan, discusses as required with the Principal, and presents it to the Executive Committee for its consideration.
- 3.1.4 The Executive Committee meets to consider the Performance Plan, and to recommend its approval to the Board. (Note: at this same meeting, the Executive Committee will consider the Principal's performance evaluation for the previous year, as a separate item on the agenda.)
- 3.1.5 The annual Performance Plan is provided to the Board for approval at its regularly scheduled April meeting.

3.2 Process for Principal's Evaluation:

- 3.2.1 The Principal provides a written confidential self-assessment to the Board Executive Committee. This self-assessment is central to the performance evaluation process.

3.2.2 The Principal's Self-Assessment relates directly to the mutually-agreed on goals developed by the Principal as part of the Performance Plan that was approved by the Board of Directors in the previous year. Other information that may be included is:

3.2.2.1 Achievements or aspects of the past year that have been especially rewarding;

3.2.2.2 Any challenges that have arisen in the past year, and efforts that have been made to resolve these;

3.2.2.3 Relevant information about relationships with students, staff, Board members, faculty, alumni and other stakeholders;

3.2.2.4 Any personal matters that may be strengthening or providing challenges to the work of the Principal;

3.2.2.5 Proposed professional development in the coming year.

3.2.3 The Principal provides the Board Executive Committee with a list of potential names of up to twenty (20) people to provide input into a 360 review. These will normally include participants selected from student leaders, faculty, senior staff, alumni, community leaders and stakeholder or partner groups.

3.2.4 The Board Executive Committee will select up to twenty (20) names and contact individuals to provide input into a 360 review using a common set of questions. The draft questions are to be discussed with the Principal and modified by the Executive Committee if they agree with the Principal's comments. If they do not agree with the Principal's comments on the questions to be used in the 360 review, the Principal, at their discretion, can cite their concerns and/or alternatives in their final response to the results of the 360 review that is to be attached to the Executive Committee's report to the Board.

3.2.5 A 360 review of the Principal will not occur in the year of a Principal's renewal.

3.2.6 In any given year, the Board Executive Committee may choose to request an external party to conduct a more formalized 360 feedback process.

3.2.7 In any given year, the Board Executive Committee may request a formal compensation review to be conducted by an external party.

3.2.8 A meeting of the Executive Committee will be held to consider the following:

- a. The Principal's self-assessment;
- b. Results of the 360 feedback ensuring confidentiality for each engaged informant to the process;
- c. Recommendation to the Board of a discretionary performance bonus for the past year; and
- d. Recommendation to the Board of a compensation framework for the coming year.

At the discretion of the Executive Committee, the Principal may be asked to join all or part of this meeting.

3.2.9 Following the meeting, the Board Chair will provide feedback from the Executive Committee to the Principal. The Principal will be provided the opportunity to formally respond to the input received in the 360 process and the Principal's response will form part of the Executive Committee's report to the Board.

3.2.10 At its next regularly scheduled meeting, the Board will meet *in camera* to discuss the Principal's performance evaluation. The Board will be provided in advance with the Principal's self-evaluation.

The meeting will be structured as follows:

- e. The Board receives for approval the annual Performance Plan for the coming year, as recommended by the Executive Committee.
- f. The Board Chair provides the Board with the feedback from the Executive Committee on the performance evaluation for the previous year, summarizing the discussion of the Executive Committee and results of the 360 feedback process.
- g. The Principal joins the Board to discuss his/her self-assessment. The Board has an opportunity to ask questions about the self-assessment. It may also discuss the Principal's Performance Plan for the coming year.

- h. The Principal leaves, allowing the Board to have an *in camera* discussion of the results of the performance evaluation process.
 - i. The Board considers the recommendation of the Executive Committee with respect to the performance evaluation and approves any performance bonus for the previous year and salary increase for the coming year.
- 3.2.11 Following the Board meeting, the Board Chair will meet with the Principal as soon as possible to summarize the Board's discussion. This will be followed by a written, confidential communication from the Board Chair to the Principal confirming the results of the discussion and any changes to the compensation. Confirmation of any changes to compensation will be provided, in confidence, to the King's University College Director of Human Resources.

3.3 Review of performance evaluation policy

- 3.3.1 The Board shall annually, at the same time as the annual review, evaluate, confirm and ratify the policy and process for the Principal performance appraisal. As part of the Board's review, the Principal is invited to provide comments on the process.
- 3.3.2 Amendments to the Principal's Annual Review Process will be made based on mutual agreement between the Board and the Principal during the Principal's term in office. The Board can amend the process before a new Principal is recruited or when an incumbent Principal is renewed.

3.4 Confidentiality

All materials produced as part of the performance evaluation, including the result of any discussions that form part of this process, are highly confidential. A summary of the Board's decision with respect to compensation will be shared on a confidential basis with the Director of Human Resources of King's University College and will be kept in a secure file.

The Board Chair and Principal must mutually agree on the release of any communications to members, staff or publicly that is related to the performance evaluation process.

Monitoring

The policy will be reviewed a minimum of once every three years or more often as required.