

APPENDIX A

Employee Assistance Program

The District and the Union agree to establish effective July 1, 2005, an Employee Assistance Program under the following terms and conditions:

- I. Dobbs Ferry School District and the DFAA mutually agree that alcoholism, alcohol and drug abuse, financial problems and other behavioral/medical problems, which may affect job performance, are subject to the Employee Assistance Program. The District shall not bring charges of insubordination for an administrator's refusal to use the Employee Assistance Program.
- II. It is mutually agreed to initiate an Employee Assistance Program in order to:
 1. Identify the problem at the earliest possible stage.
 2. Motivate the employee to seek help.
 3. Direct the employee toward the best assistance possible.
- III. To coordinate this program and to implement this policy, the DFAA and the District agree to utilize an Employee Assistance Committee. This Committee shall consist of one representative from each of the bargaining units. The District may appoint as many representatives to the committee as labor has. This committee would not be involved in any of the activities of the program requiring direct involvement in cases, unless requested by the school district Employee Assistance Coordinator. The responsibilities of the Employee Assistance Committee are as follows:
 - A. To insure that all clinical records which are kept in connection with this program are maintained in a separate file marked "Confidential Patient Information" in accordance with Federal Regulations (42 CFR Part 2).
 - B. To approve the selection of the district Employee Assistance Coordinator with advice from Longview Associates, Inc.
 - C. To insure the neutrality of the district level Employee Assistance Coordinator in all matters which pertain to this program.
 - D. To review the effectiveness of the district level Employee Assistance Coordinator to insure that satisfactory referral and follow-up services are maintained.
 - E. To review annually the program's effectiveness of the program.

- F. To assist in implementation of a district level training program for managers and Local Bargaining Unit representatives.
 - G. To engage in other District/Local Bargaining Unit approved activities which will be beneficial to the program, including prevention education.
- IV. Any employee who seeks assistance on a voluntary or involuntary basis will not jeopardize his or her job security or promotional opportunities. No information obtained from or about an employee as a result of his or her participation in the program shall be made available to be used for any purpose by either party.
 - V. It will be the responsibility of the employee to comply with referrals for diagnosis and to cooperate with prescribed therapy.
 - VI. It will be the responsibility of all District Administrators to implement this policy. This responsibility will be limited to assessing job performance and taking appropriate corrective action. Administrators should not make any diagnosis relative to the employee's behavioral/medical problem.
 - VII. Implementation of this policy will not require or result in any special regulations, privileges or exemptions from standard administrative practices applicable to job performance requirements, especially in those instances where the health and safety of students and other employees are concerned.

Appendix B

PRINCIPAL APPR EXAMPLES OF EVIDENCE/ARTIFACTS

Following is a list of mutually agreed upon documents that can be used throughout the evaluation process, including but not limited to, the creation of a portfolio and supporting evidence:

Domain 1: An education leader promotes the success of every student by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by all stakeholders.

Examples of Evidence/Artifacts

- Building goals
- Faculty meeting agendas
- Staff memos
- Letters/e-mails to parents and students
- Department, grade level and/or team meeting agendas
- Scheduled collaboration and common planning time
- Instructional data compiled for staff
- Public presentations
- Monthly reports
- School report card
- Parent meeting agendas
- Building-wide discipline plan
- Character education programs
- Guidance plan
- Student recognition programs
- Student orientation assemblies and lessons
- New entrant orientation program

Domain 2: An education leader promotes the success of every student by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth.

Examples of Evidence/Artifacts

- Recruiting, hiring, and retaining quality staff
- Staff recognition
- Teacher and administrator observations and evaluations
- Teacher observation schedule
- Tenure/Career Increment recommendations
- Recommendations for continued employment
- Supervision of teacher APPR plans
- Observation and evaluation of non-certified staff (clerical, security, food service, teaching assistants, cafeteria aides, hall monitors, individual aides, etc.)
- Child study/RTI teams and meetings
- Motivational assemblies, speakers, and programs
- Building planning and calendar
- Professional development program agendas and products
- Staff development plan and calendar
- Demonstration plans and lessons
- Provide teachers with opportunities to observe best practices
- Observation schedules
- Administrative council meeting agendas
- Faculty meeting agendas
- Administrative calendar
- Attend local, state and/or professional conferences
- Professional reading library for staff
- Supportive notes from staff or community
- Student recognition of academics and athletics
- Art and Music awards programs and competitions
- Honor society
- Guidance plan and program
- Identification and placement of ELL and Students with Disabilities
- Student agenda book
- Registration procedures
- Character education programs
- Records management procedures
- College application process
- Honor roll
- Commencement exercise
- Student activities (homecoming, prom, dinners, dances, field trips, etc.)
- Interscholastic athletic programs
- Intramural athletic programs

- After school programs
- School newspaper
- Yearbooks
- Student mentor program

Domain 3: An education leader promotes the success of every student by ensuring management of the organization, operation, and resources for a safe, efficient, and effective learning environment.

Examples of Evidence/Artifacts

- Master schedule
- Supervisory schedules
- Class rosters
- Staff memos
- Assessment preparation and planning
- Proctor schedules
- Administration, scoring and reporting of state assessments; Regents examinations, mid-term examinations, ACT, SAT, AP and NYSESLAT
- Analyses of data and application to instruction
- Transportation schedule and roster
- Class size reports
- Staffing projections
- Calendar planning
- Budget development (equipment, supplies, technology, textbooks, shared services, etc.)
- BEDS report
- VADIR report
- AIS programs
- Substitute coverage
- Cabinet meetings
- General faculty and staff meeting agendas
- Department meeting agendas
- Grade level meeting agendas
- Team meeting agendas
- Faculty meeting agendas
- Monthly reports
- School safety and emergency plan
- Crisis management team meetings
- Phone log and email
- School security plan
- Staff memos
- Student orientation documents

- Teacher handbook
- Substitute handbook
- Student agenda book
- New teacher orientation and induction program
- Student disciplinary hearings
- Suspension reports
- Infection prevention, letters, email, telephone
- Parent portal communication
- School report cards
- Open school nights
- Meet the teacher nights
- Parent teacher conference days
- Progress reports
- Report cards
- Emergency telephone system

Domain 4: An education leader promotes the success of every student by collaborating with faculty and community members, responding to diverse community interests and needs, and mobilizing community resources.

Examples of Evidence/Artifacts

- Compact Committee agendas
- PTSA and/or PTA meeting agendas and programs
- Shared decision making team meetings and products
- Collaboration with higher education
- Career day programs, other school events and parent volunteer opportunities
- Class parent and support programs
- Social worker outreach programs
- Thanksgiving and other culturally relevant civic celebrations
- Recognition and celebration of important cultural events of all stakeholders

Domain 5: An education leader promotes the success of every student by acting with integrity, fairness and in an ethical manner.

Examples of Evidence/Artifacts

- Vadir report and case studies
- Student handbook policy and procedures
- Teacher handbook policy and procedures
- Student recognition and character programs
- Athletic awards
- Programs promoting tolerance and acceptance of all

- Character education assemblies and ongoing motivational programs
- Recognition and celebration of diversity
- Adherence to broad education policies

Domain 6: An education leader promotes the success of every student by understanding, responding to, and influencing the political, social, economic, legal, and cultural context.

Examples of Evidence/Artifacts

- Guide staff disaggregating data
- Log community resources
- District curriculum committee
- Demographic and academic data collection and review
- Superintendent's administrative council
- Ad hoc committee participation
- Implement new Commissioner's regulations and guidelines

Appendix C

Principals – Other Measures of Effectiveness and Composite Scores

Principal Practice Rubric:

The District will use The Multi Dimensional Principal Performance Rubric to measure principal effectiveness aligned to the ISSLC 2008 Leadership Standards.

School Visits, Evidence and Artifacts:

Multiple school visits which will include one unannounced visit will be conducted by District level administrators all of whom have received training in the application of the Multi Dimensional Principal Performance rubric.

Following the school visits, principals will receive written feedback regarding components of the rubric. Probationary principals will be visited a minimum of 3 times each school year. Tenured principals will be visited a minimum of 2 times each school year.

In addition to information gathered by the supervisor during the school visits, a review of evidence and artifacts collected over the course of the school year and presented to the Superintendent by the Principal will inform the evaluation process.

Scoring

NYSED regulations require that each principal be evaluated annually on the 2008 ISLLC Leadership Standards using an approved rubric. To accomplish this, the District has chosen Multi-Dimensional Principal Performance Rubric. This portion of a principal's overall composite score is worth 60 points that must be distributed across the rubric.

The Multi-Dimensional Principal Performance Rubric is divided into 6 Domains and a goal setting element:

- Domain 1: Shared Vision of Learning
- Domain 2: School Culture and Instructional Program
- Domain 3: Safe, Efficient, Effective Learning Environment
- Domain 4: Community
- Domain 5: integrity, Fairness, Ethics
- Domain 6: Political, Social, Economic, Legal and Cultural Context
- Other: Goal Setting and Attainment

Each Domain and the Goal Setting element of the Multi-Dimensional Principal Performance Rubric contain multiple components. The available 60 points will be divided as follows:

Multi-Dimensional Principal Performance Rubric	
	Points
Domain 1: Shared Vision of Learning (8 points)	
• Culture	3

• Sustainability	3
Domain 2: School Culture and Instructional Program (20 points)	
• Culture	3
• Instructional Program	4
• Capacity Building	3
• Sustainability	4
• Strategic Planning Process	3
Domain 3: Safe, Efficient,, Effective Learning Environment (16 points)	
• Capacity Building	4
• Culture	3
• Sustainability	3
• Instructional Program	4
Domain 4: Community (6.5 points)	
• Strategic Planning Process: Inquiry	2
• Culture	1.5
• Sustainability	2
Domain 5: Integrity, Farness, ethics (7.5 points)	
• Sustainability	3
• Culture	2.5
Domain 6: Political, Social, Economic, Legal and Cultural Context (2 pts)	
• Sustainability	1
• Culture	1
Other : Goal Setting and Attainment	
• Uncovering Goals	2.5
• Strategic Planning	2.5
• Taking Action	2.5
• Evaluating Attainment	2.5
Total Points	60

At the end of the evaluation cycle of each school year the evaluator will rate each component of the **Multi-Dimensional Principal Performance Rubric** as follows:

- 4 Highly Effective
- 3 Effective
- 2 Developing
- 1 Ineffective

Multi-Dimensional Principal Performance Rubric				
	Highly Effective	Effective	Developing	Ineffective
Domain 1: Shared Vision of Learning	6			
• Culture	3	2.85	2.55	0
• Sustainability	3	2.85	2.55	0
Domain 2: School Culture and Instructional Program	17			
• Culture	3	2.85	2.55	0
• Instructional Program	4	3.8	3.4	0
• Capacity Building	3	2.85	2.55	0
• Sustainability	4	3.8	3.4	0
• Strategic Planning Process	3	2.85	2.55	0
Domain 3: Safe, Efficient, Effective Learning Environment	14			
• Capacity Building	4	3.8	3.4	0
• Culture	3	2.85	2.55	0
• Sustainability	3	2.85	2.55	0
• Instructional Program	4	3.8	3.4	0
Domain 4: Community	5.5			
• Strategic Planning Process: Inquiry	2	1.9	1.7	0
• Culture	1.5	1.43	1.28	0
• Sustainability	2	1.9	1.7	0
Domain 5: Integrity, Fairness, Ethics	5.5			
• Sustainability	3	2.85	2.55	0
• Culture	2.5	2.38	2.13	0
Domain 6: Political, Social, Economic, Legal and Cultural Context	2			
• Sustainability	1	.95	.85	0
• Culture	1	.95	.85	0
Other: Goal Setting and Attainment	10			
• Uncovering Goals	2.5	2.4	2.1	0
• Strategic Planning	2.5	2.4	2.1	0
• Taking Action	2.5	2.4	2.1	0

• Evaluating Attainment	2.5	2.4	2.1	0
TOTAL POINTS	60			

The total rubric score will be calculated using the points received for each component and will represent the overall Other Measures HEDI score.

The following scoring bands will apply to the Multiple Measures of Principal Effectiveness component:

Rating	Teacher Effectiveness Score
Highly Effective	57.01 -60
Effective	53.01-57
Developing	47.01-53
Ineffective	0 - 47

Composite Scores:

A principal's final evaluation rating is the total of the three components outlined in NYSED APPR regulations: growth/value added measures (25%), locally selected measures (15%) and multiple measures of effectiveness (60%). Scoring bands for the growth/value added measures component and the locally selected measures are set by the state. The following scoring bands will determine principals' ratings for the 2012-13 school year.

	Value Added Measure (25%)	Locally Selected Measure (15%)	Multiple Measures of Effectiveness (60%)	Overall Composite Score (100%)
Highly Effective	22-25	14-15	57.01-60	91-100
Effective	10-21	8-13	53.01-57	75-90
Developing	3-9	3-7	47.01-53	65-74
Ineffective	0-2	0-2	0 - 47	0-64

Appendix D

Appeals Process – Principals

Appeals Process

- A. A principal who receives an ineffective rating on his/her APPR shall be entitled to appeal his/her APPR rating based upon a paper submission to an appointed designee of the Superintendent of Schools, who shall be trained in accordance with the requirements of statute and regulations and also possesses an appropriate administrative certification.
- B. The appeal must be brought in writing, specifying the area(s) of concern, but limited to those matters that may be appealed as prescribed in Section 3012-c of the Education Law. Further, a principal who is placed on a Principal Improvement Plan (PIP) shall have a corresponding right to appeal concerns regarding the PIP in accordance with the requirements set forth in Section 3012-c of the Education Law.
- C. An appeal of an evaluation or a PIP must be commenced within fourteen calendar days of the presentation of the document to the principal or else the right to appeal shall be deemed waived in all regards. This period shall be tolled for any days during said fourteen day period that the principal is on vacation. In the case of a PIP appeal, there shall be a second fourteen calendar day period for a PIP appeal following the end date of the PIP, and in the event that an appeal is not timely filed by the fourteenth calendar day following the end date of the PIP, the right to such an appeal shall be deemed waived in all regards. This period shall be tolled for any days during said fourteen day period that the principal is on vacation.
- D. The Superintendent's administrative designee shall respond to the appeal with a written answer granting the appeal and directing further administrative action or deny the appeal. Such decision shall be made within fourteen calendar days of the receipt of the appeal.
- E. The Superintendent's administrative designee shall make his or her decision in writing regarding the further appeal within fourteen calendar days of receipt of that appeal. The decision of the Superintendent, so long as the decision is made within the timeframe set forth in this paragraph, shall be final and binding in all regards and shall not be subject to review at arbitration, before any administrative agency, or in any court of law.
- F. 1. Notwithstanding the above, in the event that a tenured principal has received two consecutive ineffective APPR evaluation ratings, the appeal shall be to an arbitrator selected on a rotating basis from the following list, based on order and reasonable timeframe of

availability: Bonnie Siber-Weinstock, Ira Lobel, and Jeffrey Selchick who shall make a final and binding decision upon the appeal of the APPR evaluation and/or the PIP. The documentation to be furnished to the arbitrator on behalf of the tenured principal and by the District shall be exchanged between the tenured principal and the administration on an immediate basis at the time of submission to the arbitrator. In the event that either party has a question regarding the authenticity of such documentation, the same shall be presented in writing immediately to the arbitrator and copied to the other party for the arbitrator's review and consideration. The Arbitrator shall review the evidence underlying the observations of the principal along with all other evidence submitted by the principal prior to rendering a decision. In the event that the district then proceeds to a probable cause finding under Section 3020-a of the Education Law, and determines to conduct such a hearing, the arbitrator who ruled upon the appeal shall be jointly selected by the principal and the district to be the Section 3020-a hearing officer. Notwithstanding the aforementioned language, nothing herein shall be construed as limiting the right of the employee to challenge any evaluation including the second consecutive ineffective annual composite APPR evaluation in any proceeding brought pursuant to Education Law Section 3020-a or an alternative disciplinary arbitration to the extent allowed by law. It is expected that the cost of said Section 3020-a hearing shall be paid for in accordance with the provision of the Education Law. In the event that the SED will not appoint one of the arbitrators listed above as the Section 3020-a Hearing Officer, then, the matter shall proceed as a disciplinary arbitration, the outcome of which shall be final and binding upon both parties. In that event, the District shall bear the hearing costs of the arbitrator and stenographic service and the tenured principal shall be entitled to pay rights during the pendency of the arbitration to the same extent as provided for under Section 3020-a of the Education Law.

2. In order to take advantage of the procedure outlined in F-1 above, the tenured principal must consent to the use of the arbitration panel should the District proceed to find probable cause under Section 3020-a of the Education Law. If the tenured principal is unwilling to do so, the second tier appeal shall be heard by the Superintendent of Schools.

Appendix E

Principal Improvement Plan

- A. The Principal Improvement Plan (PIP) for a principal who is rated ineffective or developing through an annual professional performance review (APPR) shall be comprised of the following elements:
1. The Principal Improvement Plan (PIP) is designed to address a specific area or areas in need of improvement, drawn from the evaluation criteria set forth in the MPPR Rubric. The purpose of the PIP is to assist principals to work to their fullest potential. The PIP provides assistance and provides feedback to the principal and establishes a timeline for assessing its overall effectiveness.
 2. For a principal who received a composite APPR rating of *ineffective or developing*, the PIP must be in place within fourteen (14) days after receiving the administrator's evaluation or July 15th, whichever comes first.
 3. The length of a PIP for a tenured principal shall range between three (3) months – five (5) month in duration, but not longer than through the end of the school year, as determined by the District.
 4. The principal must be offered the opportunity for a peer mentor chosen by the Association. The principal will select the mentor, with the approval of the Superintendent and the Association President. All dealings between the mentor and the principal will be confidential.
 5. After the issuance of the PIP, the Superintendent will meet with the building principal at least once every four weeks to review his or her progress regarding the areas identified in the PIP. If progress is not being made the Superintendent shall notify the principal of this in writing and make constructive suggestions on how to address the concerns raised. At the conclusion of the PIP, the Superintendent shall issue a written

statement that reflects upon the quality of the artifacts as well as the evidence gathered through observations. At any point during the agreed-upon duration of the PIP, the Superintendent will confer with the principal to assess the intervention and the level of improvement. Once the goals have been met, the Superintendent may decide to terminate the PIP; a written acknowledgement to that effect shall be signed by the Superintendent of Schools.

6. If the tenured principal is rated as *developing or ineffective* after the year of the first PIP, a new plan will be developed for the ensuing school year by the principal and the Superintendent in the collaboration with the Association according to these guidelines for the subsequent school year. A second consecutive ineffective evaluation may lead to an expedited 3020-a proceeding brought pursuant to Education Law Section 3012-c.

The Principal Improvement Plan (PIP) must consist of the following:

- I. **Specific Area for Improvement:** Identify specific areas in need of improvement. Develop specific, behaviorally written goals for the principal to accomplish during the period for the Plan.
- II. **Expected Outcomes of the PIP:** Identify specific recommendations for what the principal is expected to do to improve in the identified areas. Delineate specific, realistic, achievable activities for the principal.
- III. **Resources:** Identify specific resources available to assist the principal to improve performance. Examples: colleagues, course, mentor, workshops, peer visits, materials, conferences, et al.
- IV. **Evidence of Achievement:** Identify how progress will be measured and assessed. Specify next steps to be taken based upon whether the principal is successful, partially successful or unsuccessful in efforts to improve performance.
- V. **Timeline:** The length of a PIP for a tenured principal shall range between three (3) months – five (5) month in duration, but no than through the end of the school year, as determined by the District. A specific timeline shall be added for implementation of the various components of the PIP and for final completion of the PIP. The district shall identify dates for preparation of written documentation regarding completion of the Plan.

