



**PROCEDURAL GUIDELINES**  
**PRINCIPAL AND VICE-PRINCIPAL PERFORMANCE APPRAISAL**

**SECTION A**

The Principal and Vice-Principal performance appraisal evaluates the different levels of expertise at different stages in a school leader's career as related to the Ontario Leadership Framework for Catholic School Leaders (2013), a resource used throughout the appraisal process to identify practices and competencies that will be their focus for building expertise related to the Core Leadership Capacities (CLCs) and the Personal Leadership Resources (PLRs).

**RESPONSIBILITIES**

**1. Director of Education**

- To ensure compliance with this policy throughout the Board.

**2. Supervisory Officer**

- To conduct the performance appraisal and growth plan processes for Principals and may conduct the performance appraisal and growth plan processes for Vice-Principals.
- To sign and submit the performance appraisal to be retained in the Human Resources Department of the Board.

**3. Principals**

- To conduct the performance appraisal and growth plan processes for Vice-Principals unless the Board determines that the appraisal be conducted by a Supervisory Officer.
- To sign and submit the performance appraisal to be retained in the Human Resources Department of the Board.

**4. Principals and Vice-Principals**

- To consult with their appraisers on the development of Performance Plans and Annual Growth Plans. Meeting between appraiser and appraisee will occur at mutually agreed times and in accordance with the annual performance appraisal calendar as set out by the Board, to discuss progress and possible adjustments and take part in the final reporting process leading to the Summative Report.

- In the intervening non-appraisal years all Principals and Vice-Principals will meet with their supervisor at mutually agreed times in accordance with the annual calendar as set out by the Board to develop, offer support and monitor the progress of their Annual Growth Plan.

## **DEFINITIONS AND KEY COMPONENTS**

### **1. New School Leader**

- A qualified Vice-Principal with no prior school experience as a Vice-Principal in Ontario or elsewhere and a qualified Principal with no prior experience as a Principal in Ontario or elsewhere (a Principal is considered new to the role even if he or she has prior experience as a Vice-Principal in Ontario or elsewhere).

### **2. Experienced Leader**

- For the purposes of a performance appraisal process a Principal/Vice-Principal is considered to be “experienced” once he or she completes one year in their role as a school administrator.

### **3. Goals and Priorities**

- which will form the Performance Plan and Annual Growth Plan and align with and support the goals and priorities of the ministry, the school Board, the school improvement plan, school and community context and personal development goals, the Personal Leadership Resources, the Five Core Leadership Capacities (CLCs) as well as the practices and the competencies described in the Ontario’s Leadership Framework for Catholic School Leaders. One or more goals must focus on improving student achievement and well-being which shall uphold the principles of equity and human rights. (Regulation 234/10 amended February 2018).

### **4. Performance Plan**

- which outlines the goals, strategies, indicators and corresponding competencies developed by the appraisee (Principal and Vice-Principal being appraised) in consultation with appraiser (Supervisory Officer or Principal conducting the appraisal) arising from the school improvement plan, the Board’s strategic direction, ministry priorities and the appraisee’s personal goals, while taking into account school and community context.

## **5. Annual Growth Plan**

- Which provides a vehicle for the appraisee, in consultation with the appraiser, to identify goals and strategies for growth and development based on the practices and competencies that describe effective leadership for Catholic Principals and Vice-Principals in *Putting Ontario's Leadership Framework to Work (OLF)*. The annual growth plan supports the implementation of the performance plan and is required in the intervening years between appraisals to focus support, ongoing dialogue and professional growth.
- The annual growth plan will specify the leadership competencies and practices that will promote a culture that upholds the principles of equity and human rights (Amendments to Reg. 234/10 Principal and Vice-Principal Performance Appraisal, Feb 2018)

## **6. Performance Results**

Which take a wide variety of factors into consideration, including:

- Extent to which the appraisee worked diligently and consistently towards the implementation of strategies identified in the Performance Plan.
- Effectiveness of efforts made to overcome challenges faced in carrying out Performance Plan strategies.
- Effectiveness of efforts to engage others in the delivery of the strategies.
- Actual goals achieved or not achieved and the factors that impacted the achievement of the goals.
- Demonstrated ability and willingness to develop strategies to address goals not achieved.

## **7. Summative Report**

- which documents the appraisal process and becomes a vehicle for the Principal and Vice-Principal to reflect on feedback they receive in order to monitor their own professional growth. The Summative Report includes the completed Performance Plan and Annual Growth Plan, comments from the appraiser and appraisee, and a performance rating of satisfactory or unsatisfactory. The Summative Report provides necessary feedback about strengths and areas for growth, and reviews areas of growth from the previous appraisal or Summative Report.

## **8. Rating Scale**

- of either “satisfactory” or “unsatisfactory” which is used to identify the appraisee’s overall performance.

## **9. Appraisal Meetings**

- which promote professional dialogue between the appraisee and appraiser during the appraisal year. The meetings provide opportunities to support the growth of the appraisee to reflect and collaborate in order to promote professional growth.

## **10. Process for unsatisfactory performance**

- which clearly delineates the steps involved after the appraisee has received an unsatisfactory rating.

## **11. Mentor**

- an experienced Principal or Vice-Principal who acts as a formal mentor to a newly appointed Principal or Vice-Principal. The mentor provides ongoing support, encouragement, coaching and consultation to help the mentee grow in expertise and confidence as a school leader and collaborates with the mentee on the development and implementation of the mentee’s individual learning plans throughout their first two years in the new role.

## **12. Mentees**

- a newly appointed Principal or Vice-Principal in the first two years of their new role, matched with a formal mentor for the purpose of receiving the support, encouragement, coaching and consultation to help them grow in expertise and confidence as school leaders.

## **13. Mentoring Learning Plan**

- is a confidential, individual plan focused on the development of the mentee’s professional knowledge, skill and competencies. Suggested resources for learning plan goal setting may include skills that support the school improvement plan and priorities and the board improvement plan and strategies, the *Five Core Leadership Capacities (CLCs)* as well as the practices and the competencies described in *Putting Ontario’s Leadership Framework to Work*.

## REFERENCES

- Five Core Capacities of Effective Leaders (Ontario Leadership Strategy, Bulletin #1 – Fall 2009)
- Principal/Vice-Principal Annual Planning Cycle (HSCDSB)
- Guideline for Implementation of Mentoring for Newly Appointed School Leaders, August 2009 (MOE)
- The Professional Learning Planner for Principals and Vice-Principals (HSCDSB)
- Ontario Leadership Strategy (P/VP Performance Appraisal Technical Requirements Manual 2013)

## SECTION B

### GUIDELINES – PERFORMANCE APPRAISAL PROCEDURES

#### 1. Performance appraisal of all Principals and Vice-Principals will be completed:

- once every five years;
- if an experienced school administrator is new to the Board then the appraisal is to take place in the first year of employment;
- at the request of either the Principal, Vice-Principal, or Superintendent within the five (5) year cycle.

The requirements of this appraisal model are not intended to interfere with the supervisor's discretionary right to observe the Principal/Vice-Principal's practice, meet with Principal/Vice-Principal to discuss performance, provide feedback to the Principal/Vice-Principal, or support the Principal/Vice-Principal's growth and development at any time.

#### 2. PROCEDURAL STEPS

##### **Newly Appointed Principal/Vice-Principal**

- During the first year following the appointment to the role of Vice-Principal or Principal no formal performance appraisal shall occur. The newly appointed school leader shall develop and implement a growth plan in consultation with, and receive ongoing support from his/her mentor and supervisor to support identified goals and strategies.
- The appraisal shall be done during the second school year following an appointment to the role of Principal or Vice-Principal.

### **Experienced Principal/Vice-Principal (Non-Evaluation Years)**

- The Annual Growth Plan provides a planning focus for the Principal or Vice-Principal's continuous professional learning during the appraisal year and in the intervening years between appraisals.
- On an annual basis the growth plan must be signed by the school leader and his/her Principal/Superintendent and a copy kept for their records. The school leader and his/her Principal/Superintendent should meet in non-evaluation years to discuss the school leader's progress and to update activities and supports for the following year.

### **Experienced Principal/Vice-Principal (Evaluation Year)**

#### **Step 1:**

- a) Within twenty school days (by September 30<sup>th</sup>) after the appraisee commences his or her evaluation year, the appraiser must notify the appraisee that his/her performance will be assessed during that school year.
- b) At the beginning of the school year, the appraisee drafts a performance plan and a growth plan. The performance plan blends together strategic goals, supports, leadership practices and competencies. Essential resources to the development of a performance plan are the *Five Core Leadership Capacities (CLCs)* which are derived from the *Putting Ontario's Leadership Framework to Work* with specific reference to Leadership Framework for Catholic Principals and Vice-Principals.
- c) Performance plan goals are to be written in the SMART (Specific, Measurable, Achievable, Realistic, Timely) format. It is important that the goals identify anticipated progress in student learning, well-being and faith development, are outcome-based and measurable, challenging and achievable. The time frame could be more than one year, but there should be an opportunity for interim measurements to be taken of the progress towards goals that extend beyond the appraisal year. The number of goals should be from two to four and there should be some variety of the types of goals; i.e. a balance between those with quantitative targets and those more suited to qualitative measures (e.g. faith development goal). In addition, two or three competencies will be selected that closely align with and support the performance plan goals.
- d) The annual growth plan should include any developmental activities/strategies the appraisee will undertake along with supports needed to implement both the annual growth and the performance plan.

**Step 2:**

- a) The appraisee meets with the appraiser to dialogue about the draft performance plan, including the goals for the appraisal year, related competencies, and the growth plan, and the role of the appraiser in supporting the appraisee. The appraiser advises if any revisions to the draft plan are considered appropriate and provides final approval of the plans.
- b) The appraiser and appraisee must sign the appraisee's performance plan and growth plan and each of them should retain a copy.
- c) The implementation of the performance plan and growth plan is ongoing and revisions are made where necessary. There is also ongoing dialogue with the appraiser regarding progress and supports.

**Step 3:**

- a) Ongoing dialogue between the appraisee and appraiser regarding progress towards the goals shall occur throughout the year with revisions being made where necessary. In addition, a formal meeting must take place mid-year with the appraiser to discuss the progress towards goals, indicators of success, challenges, effectiveness of the supports, areas of growth identified in previous summative reports, and any additional supports that may be required.

**Step 4:**

- a) A formal meeting with appraiser shall occur in May of the appraisal year to assess performance results, prepare for summative report and performance rating, and to discuss the growth plan for subsequent years between appraisals.

**Step 5:**

- a) The appraiser prepares the summative report and assigns a performance rating. The summative report provides a record of the appraisal process and outcomes including the completed performance plan, comments by the appraiser on strengths and areas for growth and development of specific competencies related to the performance plan, final comments from the appraiser and comments from the appraisee (optional) and the rating. This summative report must be shared at a meeting with the appraisee by May 31<sup>st</sup> of the appraisal year.
- b) The appraiser must determine a performance rating, "satisfactory" or "unsatisfactory" and sign the form. The appraisee must sign the form indicating receipt of the report. A copy of the summative report with both signatures must be kept in the Human Resources Department, for the duration of employment with the Board.

**Step 6:**

- a) Following a successful satisfactory appraisal year: Implementation of growth plan and ongoing dialogue with supervisor about performance and opportunities for growth.

**Unsatisfactory Rating:**

- a) If the performance appraisal rating is “unsatisfactory”, refer to the Board’s independent procedures on “Principal/Vice-Principal Performance Appraisal Unsatisfactory Rating – Procedural Requirements”.

**3. RECORD KEEPING AND DOCUMENTATION**

**Record Keeping**

- a) The Board shall retain all documents used in the Principals’/Vice-Principals’ performance appraisal process (in the personnel file in Human Resources) for the duration of employment.
- b) The annual growth plan in the appraisal year is to be included in the appraisal documentation. It is kept on record in the personnel file by the Board in Human Resources.
- c) A copy of the annual growth plan in the intervening years, must be signed by both the supervisor and the Principal/Vice-Principal, and a signed copy kept by both the supervisor and the Principal/Vice-Principal. The annual growth plan must be kept in the personnel file in Human Resources until the next formal performance appraisal.

**Exchange of Information**

The board when considering employing a Principal/Vice-Principal shall contact the last Board that employed the Principal/Vice-Principal, if any, to request the following:

- copies of any documents relating to the dismissal of the Principal/Vice-Principal;
- copy of the most recent performance appraisal;
- copies of any documents relating to the resignation of the Principal/Vice-Principal while on review status.

**Documents**

- Performance Plan Working Template
- Annual Growth Plan Working Template
- Summative Report Form for Principal and Vice-Principal
- Improvement Plan Working Template



## SECTION C

### **GUIDELINES - UNSATISFACTORY RATING – PROCEDURAL REQUIREMENTS**

1. When an appraisee receives an unsatisfactory performance appraisal rating, additional requirements ensure that the appraisee receives support, guidance and monitoring to assist the appraisee in improving his or her performance within a given period.

#### **2. First Unsatisfactory Appraisal**

Within fifteen (15) school days of determining that a performance appraisal of an appraisee has resulted in an unsatisfactory rating, the appraiser must:

##### **Step 1:**

Notify the Supervisory Officer in the case of a Vice-Principal being appraised by a Principal of the unsatisfactory rating. In the case of a Principal being appraised by a Supervisory Officer, the Director (or Director designate) will be notified of the unsatisfactory rating.

##### **Step 2:**

Meet with the appraisee before the appraisee receives a copy of the summative report.

The meeting will cover the following areas:

- a) articulation of strengths;
- b) potential areas of growth;
- c) support available;
- d) what is lacking in the performance;
- e) what is expected in the areas in which his/her performance is lacking;
- f) seek input from the appraisee as to what steps and actions could help the appraisee improve his/her performance; and
- g) progress made in addressing areas of growth in past summative reports.

##### **Step 3:**

Provide to the appraisee a written summary of the meeting including written notice of the unsatisfactory rating along with a copy of the Summative Report. The report is to be signed, returned to the Board and kept on file in Human Resources. The appraisee may add comments to the report.

**Step 4:**

The appraiser will meet with the appraisee to discuss an improvement plan.

(Appendix 7)

**Step 5:**

The Improvement Plan will include supports, steps and actions that the appraisee should take to improve his or her performance. It will be provided in writing to the appraisee.

**3. Timing of the Second Performance Appraisal**

- a) The interval between the first and second performance appraisal is at the discretion of the appraiser. The second performance appraisal must however be conducted within a period of between forty (40) and eighty (80) school days of the appraiser's giving written notice to the appraisee of the initial unsatisfactory rating, even if the appraisal will take place in the following school year.
- b) When determining the timing of the second performance appraisal, the appraiser must balance the desirability of giving the appraisee a reasonable opportunity to improve his/her performance against the responsibility of providing students with quality education.
- c) The timing of the second performance appraisal may also be extended with the agreement of the appraiser and the appraisee based on their assessment of the impact on the school and the nature of performance elements in need of improvement.
- d) The second appraisal is based on how successfully the appraisee implements the Improvement Plan and attains the goals. If the second appraisal is deemed satisfactory, the appraiser and the appraisee are required to proceed with the implementation of his/her growth plan and ongoing dialogue with his/her supervisor about performance and opportunities for growth.

**4. Second Unsatisfactory Performance Appraisal**

Where an appraisee receives two consecutive performance appraisals with unsatisfactory ratings, the appraisee will be placed on review status and the following procedures will be followed by the appraiser:

**Step 1:**

Notify the Supervisory Officer in the case of a Vice-Principal being appraised by a Principal of the unsatisfactory rating. The Director (or Director Designate) will also be informed. In the case of a Principal being appraised by a Supervisory Officer the Director (or Director Designate) will be notified of the unsatisfactory rating.

**Step 2:**

Meet with the appraisee before the appraisee receives a copy of the summative report. At this meeting the appraiser should clearly articulate to the appraisee his/her strengths, potential areas of growth, as well as the supports available to him/her and explain:

- a) what is lacking in his/her performance;
- b) what is expected of the appraisee in areas in which his/her performance is lacking;
- c) ways, if any, in which his/her performance has changed since the previous performance appraisal;
- d) seek input from the appraisee as to what steps and actions could help the appraisee improve his/her performance.

**Step 3:**

The appraisee may add comments and must sign a copy of the summative report to acknowledge receipt. A copy of the summative report with both signatures must be sent to the Board and kept on record in Human Resources.

**Step 4:**

The appraisee must be given written notice of the unsatisfactory rating, explaining to him/her the reasons for the unsatisfactory rating. This notice should include the details described at the meeting with the appraisee (e.g. what is lacking, expectations).

**Step 5:**

The Board shall place the appraisee on review status and advise the appraisee in writing of that fact.

**Step 6:**

Meet with the appraisee to discuss the Improvement Plan. Provide the appraisee with an Improvement Plan (Appendix 7) that includes supports, steps and actions that the appraisee should take to improve his/her performance.

## **5. Review Status**

An appraiser is put on review status when two consecutive performance appraisals result in an unsatisfactory rating. An appraiser or the appraiser can request an alternative appraiser.

Whenever an appraiser is on review status, the appraiser will:

- a) monitor the appraiser's performance
- b) in the case of a Vice-Principal, consult regularly with the Supervisory Officer and in the case of a Principal, consult the Director (or Director Designate), regarding the appraiser's performance and steps that could be taken to improve it.
- c) provide feedback and recommendations to the appraiser that the appraiser considers might help the appraiser improve his/her performance.

## **6. Timing of a Third Appraisal While on Review Status**

### **Step 1:**

The appraiser must conduct another appraisal within twenty to sixty school days, starting with the day on which the appraiser is advised that he/she is on review status.

### **Step 2:**

If the third performance appraisal results in a satisfactory performance rating, the appraiser immediately ceases to be on review status. The appraiser must advise the appraiser in writing of the fact and provide a copy of the signed summative report with its notice of the latest appraisal rating. The appraiser and appraiser are required to implement the growth plan and ongoing dialogue with the Supervisor about performance and opportunities for growth.

### **Step 3:**

If the third performance appraisal is unsatisfactory, please refer to the termination provisions within the Vice-Principal and Principal's employment services contract for the next steps.

## Appendices

- Principal/Vice-Principal Annual Planning Cycle (HSCDSB) – Appendix 1
- Principals' and Vice-Principals' Growth Plan – Appendix 2
- School and Community Characteristics and Circumstances – Appendix 3
- Principals' and Vice-Principals' Performance Plan – Appendix 4
- Instructions for completing the Summative Report Form for Principals and Vice-Principals – Appendix 5
- Summative Report Form for Principals and Vice-Principals – Appendix 6
- Improvement Plan Working Template – Appendix 7