



Northeastern Catholic District School Board

PERFORMANCE APPRAISALS

Principal / Vice-Principal Performance Appraisal

Administrative Procedure Number: APP012

POLICY STATEMENT

The Northeastern Catholic District School Board (NCDSB) is committed to engaging its employees in meaningful discussions about professional growth and development. The purpose of the appraisal process is to facilitate feedback between a supervisor and employee, identify areas of success, and next steps for consideration to enhance and improve professional performance.

REFERENCES

Education Act:

Part XI.1

Regulation 234/10

Performance Appraisal of Principals, Vice-Principals, and Supervisory Officers
Principal and Vice-Principal Performance Appraisal

NCDSB Policy P-7

Performance Appraisals

Principal/Vice-Principal Performance Appraisal: Technical Requirements Manual (2013)

Ontario College of Teachers' *Standards of Practice for the Teaching Profession*.

DEFINITIONS

New School Leader

A qualified vice-principal with no prior experience as a vice-principal in Ontario or elsewhere; or 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.

Experienced School Leader

Principals and/or vice-principals are considered to be “experienced” once they complete one year in their role.

PROCEDURES

1.0 General

- 1.1 The *Education Act* and related regulations shall be referred to first for all matters relating to Principal/Vice-Principal Performance Appraisals.
- 1.2 The provisions of the *Principal/Vice-Principal Performance Appraisal Technical Requirements Manual, 2013* will be used as the guiding resource for matters relating to the performance appraisal of principals and vice-principals.
- 1.3 A standard process will be applied as consistently as possible across the district school board.
- 1.4 Principals and Vice-Principals must be appraised once every five years.
- 1.5 The performance appraisal process for principals and vice-principals is intended to support and promote professional growth and development.

- 1.6 Supervisory Officers will conduct all performance appraisals for principals and vice-principals of the Board.
- 1.7 The appraisal process consists of a minimum of three meetings throughout the appraisal year, followed by a summative report that includes a performance outcome.

2.0 Roles and Responsibilities

2.1 Supervisory Officers

- 2.1.1 Must conduct performance appraisals of principals and vice-principals during their evaluation year.
- 2.1.2 The following identifies key responsibilities of a supervisory officer when conducting a performance appraisal:
- i) Provide notification to principals or vice-principals of the evaluation within 20 school days after the beginning of the school year;
 - ii) Meet with the appraisee to discuss the development of the Performance Plan and Annual Growth Plan;
 - iii) Sign the principal's/vice-principal's Performance Plan and Annual Growth Plan;
 - iv) Meet with the appraisee to review his/her progress towards achieving the goals contained in the Performance Plan and discuss supports and other information relevant to the Performance Plan;
 - v) Meet with the appraisee at the end of the appraisal process to review the results of the actions taken by the principal/vice-principal to achieve the goals contained in the Performance Plan, discuss other information relevant to the Performance Plan, and review the principals' Annual Growth Plan;
 - vi) Prepare a summative report of the performance appraisal;
 - vii) Provide the principal/vice-principal with a copy of the summative report, signed by the supervisory officer, within 15 school days after the final appraisal meeting;
 - viii) Meet with the principal/vice-principal, upon request, within 10 school days of the principal/vice-principal receiving a copy of the summative report;
 - ix) Provide the board with a copy of the summative report (no sooner than 10 school days after the principal has received a copy) and the Performance Plan as signed by both the supervisory officer and the principal, as well as the principal's Annual Growth Plan for the year and all other documents relied on in conducting the performance appraisal;
 - x) In a year that is not an evaluation year for a principal/vice-principal, meet with the principal/vice-principal to discuss the Annual Growth Plan for the year if he/she requests it.

2.2 Principals

- 2.2.1 The following identifies key responsibilities of a principal/vice-principal as appraisee:
- i) In an evaluation year, develop a Performance Plan that includes goals, the strategies and actions to attain the goals, and the leadership practices and competencies that will assist him/her in achieving the goals, as well as methods and indicators that will be used to measure the achievement of the goals. The Performance Plan will include:
 - One or more goals focused on improving student achievement and well-being, which must take into account the school and board improvement plans and the provincial educational priorities;
 - The actions that will be undertaken during the evaluation year to attain the goals;

- The leadership practices and competencies that will assist in the attainment of the goals;
- The methods by which the principal's/vice-principal's success in attaining the goals are to be measured;
- ii) Meet with the appraiser to review progress and discuss other information relevant to the Performance Plan;
- iii) Complete the results section of the Performance Plan to assist the appraiser in developing the summative report, and meet with the appraiser to review results of the actions taken to achieve the goals contained within the Performance Plan;
- iv) Within 10 school days of receiving the Summative Report, sign and return the Summative Report Form to the supervisory officer to acknowledge receipt;
- v) Within 10 school days of receiving the Summative Report, meet with the appraiser if the appraiser requests a meeting;
- vi) Develop an Annual Growth Plan, in consultation with his/her supervisor;
- vii) Meet with the appraiser to discuss the Annual Growth Plan for a given year if the appraiser requests a meeting;
- viii) Review his/her Annual Growth Plan from the previous year, his/her learning and growth over the previous year, and the summative report from the most recent performance appraisal, if any;
- ix) Update his/her Annual Growth Plan for the current year as necessary;
- x) Sign the Performance Plan in an evaluation year and the Annual Growth Plan each year, and retain a copy.

2.3 Boards

2.3.1 The following identifies key responsibilities of a board:

- i) Ensure that each principal/vice-principal receives at least one performance appraisal during each of his/her evaluation years;
- ii) Ensure that once a principal/vice-principal employed by a board has been placed in the evaluation cycle, each subsequent evaluation year for the principal/vice-principal is preceded by four years that are not evaluation years for the principal/vice-principals;
- iii) Establish and communicate policies for the implementation of a system-wide principal/vice-principal performance appraisal process;
- iv) Provide information regarding the principal/vice-principal performance appraisal process for stakeholder understanding;
- v) Comply with the requirements set by the Ministry of Education, as noted in O. Reg. 234/10, regarding the information noted above and when and how that information is to be provided;
- vi) Ensure that every principal/vice-principal develops in each evaluation year a Performance Plan that includes:
 - One or more goals focused on improving student achievement and well-being, which must take into account the school and board improvement plans and the provincial educational priorities;
 - The actions that will be undertaken during the evaluation year to attain the goals;
 - The leadership practices and competencies that will assist in the attainment of the goals;
 - The methods by which the principal's/vice-principal's success in attaining the goals are to be measured;
- vii) Ensure that every principal/vice-principal develops each year an Annual Growth Plan that includes:

- The leadership practices and competencies that will be the focus of the principal's/vice-principal's professional growth for that year;
 - The professional growth activities that the principal/vice-principal will undertake to assist in developing the leadership practices and competencies;
 - If the principal/vice-principal has developed a Performance Plan, the professional growth activities that will assist him/her in implementing the strategies and actions to achieve the goals identified in the Performance Plan;
- viii) Ensure that, every year, every principal/vice-principal in consultation with his/her supervisor:
- Reviews the principal's/vice-principal's Annual Growth Plan from the previous year, the appraisee's learning and growth over the previous year, and the summative report from the appraisee's most recent performance appraisal
 - Updates the principal's/vice-principal's Annual Growth Plan for the current year, if necessary, taking into account the results of the review;
- ix) Ensure that all timelines provided for in the regular and in the present document, and policies regarding principal/vice-principal performance appraisal, are complied with, and ensure accountability in the event of non-compliance;
- x) Ensure that if a step or process is not completed within the timeline provided for, the step or process is completed by the appropriate person as soon as possible thereafter.

3.0 Scheduling Requirements

- 3.1 Principals must adhere to the scheduling guidelines in accordance with legislative and regulatory requirements.
- 3.2 A board must ensure that every principals/vice-principals it employs is placed on a five-year cycle for performance appraisal. The Office of the Superintendents of Education will be responsible for the development and monitoring of this schedule.
- 3.3 Within 20 school days after the appraisee commences his/her evaluation year, the appraiser must notify the appraisee that it is an evaluation year.
- 3.4 Specific or extenuating circumstances shall be dealt with on an individual basis and in accordance with the legislative or regulatory requirements.
- 3.5 Either the appraisee or appraiser may request an additional performance appraisal. This would restart the evaluation cycle. In the case where the principal/vice-principal makes such a request, the appraiser may refuse to conduct a performance appraisal where he/she reasonable believes that the performance appraisal will not lead to improvement in the appraisee's performance.
- 3.6 The requirements of this appraisal model are not intended to interfere with the supervisor's discretionary right to observe the principal's/vice-principal's practice, meet with the principal/vice-principal to discuss performance, provide feedback to the principal/vice-principal, or support the principal's/vice-principal's growth and development at any time.
- 3.7 No formal appraisal will occur for new principals/vice-principals in their first year. However, supervisors are encouraged to provide feedback throughout the first year in the role to assist with their ongoing professional growth and development.

- 3.8 In a principal's/vice-principal's second year of employment, he/she must be appraised and is placed in the five-year evaluation cycle for experienced principals/vice-principals.
- 3.9 Experienced principals/vice-principals who are new to the Board must be appraised in their first year in the role with the Board.
- 3.10 Provisions for principal/vice-principal secondment and/or leaves on the evaluation cycle shall be in accordance with the technical manual.

4.0 The Performance Plan

- 4.1 The Performance Plan is developed by principals/vice-principals in each evaluation year in order to demonstrate how they intend to achieve identified goals. The elements in the Performance Plan must be considered by the appraiser when conducting an appraisal of the appraisee's performance.
- 4.2 The principal/vice-principal Performance Plan must include:
- i) One or more goals focused on improving student achievement and well-being, taking into account the school's improvement plan, the board's improvement plan, and provincial educational priorities;
 - ii) Actions that he/she will take during the evaluation year to attain the identified goals;
 - iii) The leadership practices and competencies that will assist him/her in attaining the goals;
 - iv) The methods by which his/her success in attaining the goals are to be measured;
 - v) A description of the results of his/her actions taken during the school year to attain the goals, added before the third appraisal meeting.
- 4.3 Both parties must sign the Performance Plan and each retain a copy.

5.0 The Annual Growth Plan

- 5.1 The Annual Learning Plan (ALP) provides a vehicle to plan the principal's/vice-principal's professional learning during the appraisal year and in the intervening years between appraisals.
- 5.2 In an evaluation year, the principal/vice-principal uses the Annual Growth Plan to assist him/her in attaining the goals stated in the Performance Plan. In a non-evaluation year, the principal/vice-principal refers to the results and recommendations from the most recent performance appraisal in reviewing or updating the Annual Growth Plan.
- 5.3 In the development of the Annual Growth Plan, the appraisee must include:
- i) The leadership practices and competencies that will be the focus of his/her performance growth for that year;
 - ii) The professional growth activities that he principal/vice-principal will undertake to assist him/her in developing the leadership practices and competencies;
 - iii) The professional growth activities that will assist him/her in attaining the goals identified in the Performance Plan in an evaluation year.
- 5.4 Every principal/vice-principal, in consultation with the supervisory officer, reviews and updates as necessary, the Annual Growth Plan.
- 5.5 In a non-evaluation year, either party may request to meet to discuss the appraisee's progress and to update activities and supports for the following year.

5.6 Both parties must sign the Annual Growth Plan each year and both must retain a copy for their records.

6.0 Appraisal Meetings

6.1 Appraisal meetings are an essential component of the appraisal process, and at a minimum the appraiser and appraisee must meet three times during the appraisal year, as outlined below:

- i) First Meeting – jointly develop the Performance Plan and review and update the Annual Growth Plan.
- ii) Second Meeting – jointly discuss the progress of the appraisee towards achieving the goals outlined in the Performance Plan, discuss any other information or supports relevant to the Performance Plan, and revise it as necessary.
- iii) Third Meeting – the parties review the results of the actions taken by the appraisee to achieve the goals in the Performance Plan, and review and update the Annual Growth Plan if necessary.

7.0 The Summative Report

7.1 This document provides a record of the appraisal process and outcomes, including comments by the appraiser on the strengths and areas for growth and development of specific leadership practices, competencies, and personal leadership resources related to the Performance Plan.

7.2 Additionally, the document details the performance rating, and explanation for the rating by the appraiser, and final comments from the appraiser, and optionally, from the appraisee.

7.3 The appraiser must provide the appraisee with a copy of the summative report within 15 school days of the third meeting.

7.4 The appraisee must sign the form indicating receipt of the report and return it to the appraiser within 10 school days of receiving the report.

7.5 Before the summative report is sent to the board, if either the appraisee or the appraiser requests a meeting to discuss the performance appraisal, the meeting will occur within 10 school days after the appraisee receives a copy of the summative report.

7.6 The appraiser must provide the board with a copy of the signed summative report as well as the Performance Plan and Annual Growth Plan and all other documents relied on in conducting the appraisal.

8.0 Performance Rating and Subsequent Procedures

8.1 The appraiser determines the rating of *Satisfactory* or *Unsatisfactory*, by reviewing the implementation of the Performance Plan as well as the achievement of the performance goals and by considering the factors below:

- i) The extent to which the appraisee worked diligently and consistently towards the implementation of the actions identified in the Performance Plan.
- ii) The effectiveness of efforts made to overcome challenges faced by the appraisee in carrying out the actions identified in the Performance Plan.
- iii) The efforts made by the appraisee to engage teachers and others in the development and goals and implementation of the actions identified in the Performance Plan.
- iv) The actual goals achieved, or not achieved by the appraisee.
- v) The rationale provided by the appraisee for goals not achieved.

- vi) The demonstrated ability and willingness of the appraisee to implement actions to address the goals not achieved.

9.0 Procedural Requirements Following an *Unsatisfactory* Rating

9.1 First *Unsatisfactory* appraisal rating

When an appraisee receives an *Unsatisfactory* performance rating, additional requirements ensure that the appraisee receives support, guidance, and monitoring to assist the appraisee in improving his/her performance within a given period.

9.2 Within 15 school days of the appraisee receiving a summative report stating that he/she received an *Unsatisfactory* rating on the appraisal, the appraiser must:

- i) explain the reasons for the *Unsatisfactory* rating to the appraisee;
- ii) explain what is lacking in his/her performance;
- iii) explain what is expected of the appraisee in areas in which performance is lacking;
- iv) seek input from the appraisee as to what steps and actions could help to improve performance, and the timelines for carrying out steps and actions;
- v) prepare a written Improvement Plan for the appraisee, setting out steps and actions that the appraisee should take to improve performance and the timelines for carrying out the steps and action, taking into account the input from the appraisee;
- vi) provide the appraisee and the director of education with a copy of the summative report and of any other documentation relied on in conducting the performance appraisal;
- vii) provide the appraisee and the director of education with:
 - a) a brief summary in writing of the explanations for the *Unsatisfactory* rating, as stated above;
 - b) a copy of the written Improvement Plan;
- viii) meet with the appraisee to discuss the Improvement Plan.

9.3 The appraisee must sign the Improvement Plan to acknowledge receipt, the appraiser must also sign the Improvement Plan, and each of them must retain a copy.

9.4 Timing of a second appraisal following the first *Unsatisfactory* appraisal rating

9.4.1 The interval between the first and second performance appraisals will be at the discretion of the supervisory officer conducting the second performance appraisal.

9.4.2 The appraiser must complete the process and assign a rating to the appraisee no sooner than 40 school days and no later than than 80 school days from the day the appraisee is given a copy of the initial summative report (the first *Unsatisfactory* rating).

9.4.3 In exercising his/her discretion as to the timing of the second performance appraisal and in deciding whether to agree to an adjustment of the timeline, the appraiser must balance the desirability of giving the appraisee a reasonable opportunity to improve he/her performance against the best interest of the school.

9.4.4 If the second appraisal is deemed Satisfactory, the appraiser and appraisee will follow the process in accordance with receiving a Satisfactory rating.

9.5 Second *Unsatisfactory* appraisal rating

9.5.1 Within 15 school days of the appraisee receiving the summative report stating that he/she received an *Unsatisfactory* rating on the second appraisal, the appraiser must:

- i) explain the reasons for the Unsatisfactory rating to the appraisee;
- ii) place the appraisee on review status and advise the appraisee and the director of education in writing of that fact;
- iii) explain to the appraisee what is lacking in his/her performance;
- iv) explain to the appraisee what is expected of the appraisee in areas in which his/her performance is lacking;
- v) explain to the appraisee the ways, if any, in which his/her performance has changed since the previous performance appraisal;
- vi) seek input from the appraisee as to what steps and actions could help the appraisee improve his/her performance and the timelines for carrying out the steps and actions;
- vii) consult with the director of education before preparing the Improvement Plan;
- viii) prepare a written Improvement Plan for the appraisee, setting out the steps and actions that he/she should take to improve his/her performance and the timelines for carrying out the steps and actions, taking into account input from the appraisee;
- ix) provide the appraisee and the director of education with:
 - a) a copy of the summative report and of any other documentation relied on in conducting the performance appraisal;
 - b) a brief summary in writing of the reasons for the Unsatisfactory rating as outlined above;
 - c) a copy of the written Improvement Plan;
 - x) meet with the appraisee to discuss the Improvement Plan.

9.5.2 The appraisee must sign the Improvement Plan to acknowledge receipt, the appraiser must also sign the Improvement Plan, and each of them must retain a copy.

10.0 Review Status

10.1 An appraisee is put on review status when two consecutive performance appraisals result in an Unsatisfactory rating. Whenever an appraisee is on review status, the appraiser will:

- i) Monitor the appraisee's performance;
- ii) Consult regularly with the director of education regarding the appraisee's performance and actions that could be taken to improve it;
- iii) Provide feedback and recommendations to the appraisee that the appraiser believes could help the appraisee improve his/her performance.

10.2 Timing of a third appraisal while on review status

10.2.1 The interval between the second and third performance appraisal will be at the discretion of the supervisory officer.

10.2.2 The appraiser must complete the process and assign a rating to the appraisee no sooner than 20 school days and no later than 60 school days from the day the appraisee is advised that he/she is on review status.

10.2.3 The timelines can be adjusted by mutual agreement by both parties, but there must be a balance with a reasonable opportunity for performance improvement and the best interests of the school.

10.3 Recommendation to proceed to other actions without a third appraisal

- 10.3.1 If, at any time during the 60 school days starting with the day the appraisee is advised that he/she is on review status, the supervisory officer determines that the delay necessitated by conducting a performance appraisal is inconsistent with protecting the best interests of the school, the appraiser will refrain from conducting the performance appraisal and must recommend to the board of trustees, through the director of education, that the principal/vice-principal be reassigned to other duties or have his/her employment terminated, or that other appropriate action be taken.
- 10.3.2 Such recommendations will be jointly made by the appraiser and the appropriate supervisory officer, and will include a written statement and be accompanied by all documentation relied upon throughout the performance appraisal.
- 10.3.3 Following the recommendation, a determination is made by the board of trustees through the director of education.

10.4 Results of the Third Performance Appraisal

10.4.1 Satisfactory rating

- i) If the third performance appraisal results in a Satisfactory performance rating, the appraisee immediately ceases to be on review status. The appraiser must notify the director of education in writing of that fact, and provide a copy of the signed summative report with its notice of the latest approval rating.
- ii) The appraiser and the appraisee are required to follow the process outlined for the receipt of a Satisfactory rating.

10.4.2 Third Unsatisfactory appraisal rating

- i) If the third performance appraisal results in an Unsatisfactory performance rating, the supervisory officer must promptly notify the board, through the director of education, in writing that the performance appraisal has resulted in a third consecutive Unsatisfactory rating and recommend to the board of trustees that the principal/vice-principal be reassigned to other duties or have his/her employment terminated.
- ii) The notice and recommendation must be accompanied by a copy of the third summative report and copies of all documents relied on in conducting the first, second, and third performance appraisals.
- iii) The appraiser must promptly provide the appraisee with a copy of the notice and recommendation and copies of all documents relied on in conducting the first, second, and third performance appraisals.

10.4.3 Determination by the board of trustees

Within 60 calendar days (not school days) of receiving the recommendation, and taking into consideration all of the documents relied upon throughout the performance appraisals, the board will make a determination regarding the rating.

10.4.4 Submission to the board of trustees

A board must not terminate the employment of a principal/vice-principal without first giving the principal/vice-principal reasonable information about the reasons for the termination and an opportunity to make submissions to the board.

11.0 Record Keeping and Documentation

11.1 Every board must retain the documents used in the principal/vice-principal performance appraisal process for at least six years from the date of each summative report related to each appraisal.

11.2 A copy of the principal/vice-principal Summative Report Form, the Performance Plan, and Annual Growth Plan for the evaluation year and all other documents relied on in conducting the performance appraisal must be included in the documentation kept on record by the board.

11.3 Filing Requirements

- i) The supervisory officer will forward a copy of all required documentation to the Human Resources Department.
- ii) The signed summative report will be placed in the personnel file of the teacher, within the Human Resources Department of the board.
- iii) The Education Program Officer will update files accordingly and ensure the schedule is maintained for the five-year TPA cycle.

11.4 Exchange of Information Among Schools and Board

11.4.1 A board that is considering employing a principal/vice-principal must contact the last board that employed the principal/vice-principal, if any, to request the following documents:

- i) Copies of all documents relating to the last performance appraisal of the person that are in the possession of the board if that appraisal resulted in an *Unsatisfactory* rating;
- ii) Copies of any documents relating to the termination of the employment of the person that are in the possession of the board and that, in the opinion of the board, may be relevant to the decision of the requesting board;
- iii) Copies of any documents relating to the resignation of the person while on review status that are in the possession of the board and that, in the opinion of the board, may be relevant to the decision of the requesting board.

11.4.2 A board that receives a request from another board for documents relating to a principal's/vice-principal's employment must promptly inform the requesting board whether there are any of the above documents to provide in response to the request and, if so, must promptly provide the documents.

11.4.3 It is not the intent of Ontario Regulation 234/10 to limit rights otherwise available to a board to obtain or give information relating to prospective or past employees.

12.0 RELATED FORMS AND LETTERS

In accordance with the *Principal/Vice-Principal Performance Appraisal: Technical Requirements Manual* (2013)

Director of Education:

Tricia Stephanie Welty

Date:

March 2021