



PROCEDURE

Title: **PROCEDURES FOR THE
PERFORMANCE APPRAISAL OF
PRINCIPALS AND VICE PRINCIPALS**

Procedure No.: **3001b**
Effective Date: **2003 Sep. 01**

Department: ORGANIZATIONAL SUPPORT SERVICES
(HUMAN RESOURCES)

Reference(s): - Policy: Supervision of Employees
- O. Reg. 234/10, "Principal and Vice-Principal
Performance Appraisal"
- Principal/Vice-Principal Performance
Appraisal Technical Requirements Manual
2013
- Putting Ontario's Leadership Framework into
Action: A Guide for School & System Leaders
(The Institute for Education Leadership,
2010)
- Principal/Vice-Principal Performance
Appraisal (PPA) Frequently Asked Questions
- Accommodation Procedure
- Equitable Recruitment and Selection of Staff
Policy

Administered By **ORGANIZATIONAL SUPPORT SERVICES
(HUMAN RESOURCES)**

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SUPERVISION PRINCIPALS AND VICE-PRINCIPALS

1.0 INTRODUCTION

The performance appraisal process for Principals and Vice-Principals is intended to support and promote professional growth and development.

2.0 Definitions of New and Experienced Principals and Vice-Principals

- a qualified Vice-Principal with no prior experience as a Vice-Principal in Ontario or elsewhere;
- 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).

Principals and Vice-Principals are considered to be “experienced” once they complete one year in their role.

3.0 Roles and Responsibilities

- a) Principal/Vice-Principal appraisals are to be conducted using the timelines and procedures as outlined in the *Education Act*, Regulations and the document entitled, “Principal/Vice-Principal Performance Appraisal Technical Manual 2013”.
- b) Superintendents shall conduct the performance appraisals for Principals and may conduct the performance appraisals for Vice-Principals. Principals shall conduct the performance appraisal for Vice-Principals unless alternate arrangements are made with the Superintendent.
- c) Principals/Vice-Principals shall develop Performance Plans and Annual Growth Plans in consultation with their appraiser, meet with the appraiser during the evaluation year to discuss progress and next steps and take part in the final reporting process leading to the summative report.

4.0 Scheduling Requirements

- a) Commencing in their second year in the role, each Principal/Vice-Principal shall be appraised and assigned a five-year cycle for performance appraisal. This means that there will be four non-evaluation years between each evaluation year. Within 20 school days after the appraisee commences their evaluation year, the appraiser must notify the appraisee that it is an evaluation year.
- b) An experienced Principal/Vice-Principal new to the Board must be appraised in the first year they are employed by the Board.
- c) Performance appraisals of a Principal/Vice-Principal that are additional to those required may be conducted at the discretion of the Superintendent, if it is advisable to do so in light of circumstances relating to the performance of the Principal/Vice-Principal.

4.1 Provisions Where a Principal/Vice-Principal Is Seconded to Another Board

The following rules apply to every Principal/Vice-Principal who is seconded to a Principal/Vice-Principal position in the Ontario public education system (including demonstration schools) during a five-year cycle:

- The year that is scheduled as an evaluation year for the Principal/Vice-Principal during the cycle does not change.
- The board from which the Principal/Vice-Principal is seconded must advise the board to which the Principal/Vice-Principal is seconded of the appraisee's position in the five-year cycle.
- The board to which the Principal/Vice-Principal is seconded must ensure that all performance appraisals of the Principal/Vice-Principal that are required during the period the Principal/Vice-Principal is on secondment to the board are carried out.

If a performance appraisal of a seconded experienced Principal/Vice-Principal results in a performance rating of *Unsatisfactory*, the following rules apply:

- The secondment agreement is terminated and the performance appraisal is deemed not to have been conducted except for the purposes of terminating the secondment agreement.
- The Principal's/Vice-Principal's five-year cycle restarts on the termination of the secondment agreement, and the first year Appraiser returns to the board is an evaluation year.
- The board to which the Principal/Vice-Principal returns must ensure that a Performance Plan is developed within 40 school days following the Principal's/Vice-Principal's return from the leave, and an appraisal must take place between 120 and 140 school days after the Principal's/Vice-Principal's return, even if the appraisal will take place in the following school year.

4.2 Effect of Certain Absences on the Evaluation Cycle

When a board schedules a Principal/Vice-Principal for an appraisal according to the appraisal process for Principals/Vice-Principals, the following periods must not be counted as part of the evaluation cycle:

- a period during which the Principal/Vice-Principal is on an extended leave that has been approved by the board;
- a period when the Principal/Vice-Principal is on secondment to a position other than that of Principal/Vice-Principal;
- a period when the Principal/Vice-Principal is on secondment to a Principal/Vice-Principal position outside the Ontario publicly funded education system.

4.3 Timing of Appraisal When a Principal/Vice-Principal Returns From an Extended Leave

When a Principal/Vice-Principal returns to a board after an extended leave, the five-year evaluation cycle continues from where it left off. For example, if the appraisee left at the end of year two of the cycle, then the third year of the evaluation cycle would resume on their return.

If a Principal/Vice-Principal is on an extended leave during all or part of a year that is scheduled as an evaluation year, the year that the Principal/Vice-Principal returns from the leave is an evaluation year. Notice that the year is an evaluation year must be given to the Principal/Vice-Principal within 20 days after their return.

5.0 Delegation to an Alternative Appraiser

A duty or power of a Supervisory Officer may be performed or exercised by a **different Supervisory Officer, Associate Director, or Director of Education.**

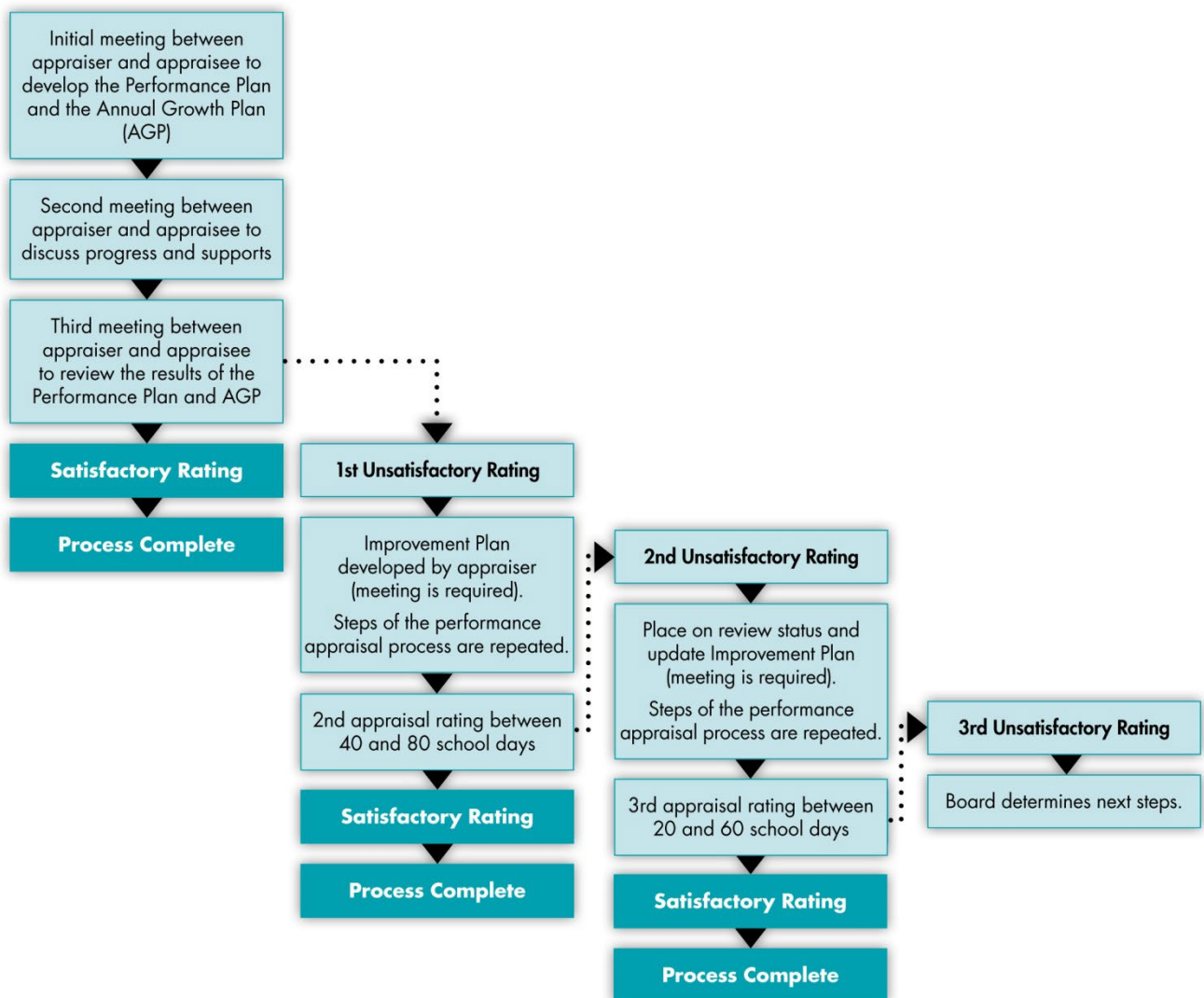
5.1 An appraisee may request an alternate appraiser.

The request for an alternate appraiser must be made in writing to the current appraiser's superior, outlining the basis for the request.

As the roles and expectations for appraisers are clearly delineated in the P/VP Performance Appraisal Technical Requirements manual, 2013, such a request would only be granted in exceptional circumstances as decided by the appraiser's superior.

6.0 The Appraisal Process

Principals and Vice-Principals are required to participate in an appraisal once every five years. The appraisal process consists of a minimum of three meetings throughout the appraisal year, followed by a summative report that includes a performance rating. In the event of an *Unsatisfactory* rating, the appraisal process as outlined is repeated, as noted in the following chart.



7.0 Appraisal Meetings

Purpose

Appraisal meetings are an essential component of the appraisal process. They ensure that expectations are clearly articulated and that the appraisee has the support and guidance that they need, and foster a climate of trust and collaboration within which the requirements of the appraisal process can be completed. Appraisal meetings should be seen as an integral part of the ongoing professional dialogue between Principals, Vice-Principals, and Supervisory Officers.

Requirements

At a minimum, the appraiser and appraisee must meet three times during the appraisal year, as outlined below.

First meeting: the appraiser and appraisee will develop the Performance Plan and review and update the Annual Growth Plan.

Second meeting: the appraiser and appraisee will 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.

Third meeting: the appraiser and appraisee will review the results of the actions taken by the appraisee to achieve the goals in the Performance Plan, discuss information relevant to the Performance Plan, and review and update the Annual Growth Plan if necessary.

8.0 The Annual Growth Plan

Purpose

The Annual Growth Plan provides a vehicle to plan the Principal's or Vice-Principal's professional learning during the appraisal year and in the intervening years between appraisals. Developing and maintaining this annual plan provides appraisers and appraisees with an opportunity to collaborate and engage in meaningful discussions about the appraisee's personal growth goals and priorities. It also provides an opportunity for discussion about the supports that may be needed to achieve goals.

In an evaluation year, the Principal/Vice-Principal uses the Annual Growth Plan to assist them 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.

Requirements

School boards are required to ensure that every Principal/Vice-Principal develops an Annual Growth Plan each year that includes leadership practices and competencies that will be the focus for that year.

Professional growth activities identified in the Annual Growth Plan will assist the appraisee in developing these practices and competencies and will support the implementation of strategies and actions to achieve the goals identified in the Performance Plan.

9.0 The Performance Plan

Purpose

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 plan includes goals, strategies and actions, and practices and competencies, as well as methods and indicators to measure attainment of the goals. The elements of the Performance Plan must be considered by the appraiser when conducting an appraisal of the appraisee's performance. The Performance Plan also includes a description of the results, which will help inform the performance rating.

Requirements

School boards are required to ensure that every Principal/Vice-Principal develops a Performance Plan in each evaluation year in consultation with the appraiser.

10.0 The Summative Report and Rating

Purpose

The summative report provides a record of the appraisal process and outcomes, including comments by the appraiser on strengths and areas for growth and development of specific practices and competencies related to the Performance Plan, the performance rating, an explanation for the rating by the appraiser, and final comments from the appraiser and, optionally, from the appraisee.

Requirements

The summative report prepared by the appraiser must include the appraiser's evaluation of the appraisee, the overall performance rating of the appraisee (either *Satisfactory* or *Unsatisfactory*), and an explanation for the rating. The appraiser must provide the appraisee with a copy of the summative report within 15 school days of the third meeting. The Summative Report Form for Principals and Vice-Principals is a Ministry-approved form that must be used to document the performance appraisal.

The appraisee may include comments on the Summative Report Form if they wish.

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.

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.

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 (no sooner than 10 school days after the appraisee has received a copy).

The appraiser determines the rating, *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.

Determining the Rating

When determining a rating, the appraiser must consider the following factors:

- the extent to which the appraisee worked diligently and consistently towards the implementation of the actions identified in the Performance Plan
- the effectiveness of efforts made to overcome challenges faced by the appraisee in carrying out the actions identified in the Performance Plan
- the efforts made by the appraisee to engage teachers and others in the development of the goals and implementation of the actions identified in the Performance Plan
- the actual goals achieved, or not achieved, by the appraisee
- the rationale provided by the appraisee for goals not achieved
- the demonstrated ability and willingness of the appraisee to implement actions to

address the goals not achieved

10.1 Procedural Requirements Following a Summative Report

The appraisee may add comments and must sign a copy of the summative report to acknowledge receipt and return the signed copy to the appraiser within 10 days of receiving it.

The appraisee or the appraiser may request a meeting to discuss the performance appraisal within 10 school days after the appraisee receives a copy of the summative report. In the case of an *Unsatisfactory* rating additional steps are required.

A copy of the summative report with both signatures must be sent to the board (no sooner than 10 school days after the appraisee has received a copy) and kept on record.

10.2 Procedural Requirements Following an Unsatisfactory Rating

10.2.1 First Unsatisfactory appraisal rating

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 their performance within a given period.

Within 15 school days of the appraisee receiving the summative report stating that they received an *Unsatisfactory* rating on an appraisal, the appraiser must:

- explain the reasons for the *Unsatisfactory* rating to the appraisee;
- explain what is lacking in their performance;
- explain what is expected of the appraisee in areas in which their performance is lacking;
- seek input from the appraisee as to what steps and actions could help them to improve their performance, and the timelines for carrying out the steps and actions;
- prepare a written Improvement Plan [available on the Electronic Forms on the Employee Portal] for the appraisee, setting out steps and actions that the appraisee should take to improve their performance and the timelines for carrying out the steps and actions, taking into account input from the appraisee;
- provide the appraisee and the Director of Education (or the appropriate Supervisory Officer in the case of a Vice-Principal) with a copy of the summative report and of any other document relied on in conducting the performance appraisal;
- provide the appraisee and the Director of Education (or the appropriate Supervisory Officer in the case of a Vice-Principal) with:
 - i) a brief summary in writing of the explanations for the *Unsatisfactory* rating, as stated above;
 - ii) a copy of the written Improvement Plan;

- meet with the appraisee to discuss the Improvement Plan.

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. The appraiser must conduct a second performance appraisal.

Timing of a second appraisal following the first Unsatisfactory appraisal rating

The interval between the first and second performance appraisals will be at the discretion of the Supervisory Officer or Principal conducting the second performance appraisal, within the timeline outlined below. In conducting the second appraisal, the appraiser must follow the steps of the regular appraisal process. The appraiser must complete the process and assign a rating to the appraisee no sooner than 40 school days and no later than 80 school days from the day the appraisee is given a copy of the initial summative report.

If necessary, however, this timeline may be adjusted by mutual agreement of the appraiser and the appraisee.

In exercising their 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 their performance against the best interests of the school.

If the second appraisal is deemed *Satisfactory*, the appraiser and appraisee are required to follow the process outlined in section “The Summative Report and Rating”.

10.2.2 Second Unsatisfactory appraisal rating

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

- explain the reasons for the *Unsatisfactory* rating to the appraisee;
- place the appraisee on review status and advise the appraisee and the Director of Education (or the appropriate Supervisory Officer in the case of a Vice-Principal) in writing of that fact;
- explain to the appraisee what is lacking in their performance;
- explain to the appraisee what is expected of the appraisee in areas in which their performance is lacking;
- explain to the appraisee the ways, if any, in which their performance has changed since the previous performance appraisal;
- seek input from the appraisee as to what steps and actions could help the appraisee improve their performance and the timelines for carrying out the steps and actions;
- consult with the Director of Education (or the appropriate Supervisory Officer in the case of a Vice-Principal) before preparing the Improvement Plan;

- prepare a written Improvement Plan for the appraisee, setting out steps and actions that they should take to improve their performance and the timelines for carrying out the steps and actions, taking into account input from the appraisee;
- provide the appraisee and the Director of Education (and in the case of a Vice-Principal, the appropriate Supervisory Officer) with:
 - a copy of the summative report and of any other document relied on in conducting the performance appraisal (no sooner than 10 school days after the appraisee has received a copy);
 - a brief summary in writing of the reasons for the *Unsatisfactory* rating as outlined above;
 - a copy of the written Improvement Plan;
- meet with the appraisee to discuss the Improvement Plan.

The appraisee must sign the Improvement Plan to acknowledge receipt. The appraiser must also sign the Improvement Plan. Each of them must retain a copy.

Review status

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:

- monitor the appraisee's performance;
- in the case of a Principal, consult regularly with the Director of Education (or with the Supervisory Officer in the case of a Vice-Principal) regarding the appraisee's performance and actions that could be taken to improve it;
- provide feedback and recommendations to the appraisee that the appraiser believes could help the appraisee improve his or her performance.

Timing of a third appraisal while on review status

The interval between the second and third performance appraisals will be at the discretion of the Supervisory Officer or Principal conducting the third performance appraisal, within the timeline outlined below. In conducting the third appraisal, the appraiser must follow the steps of the regular appraisal process. 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 they are on review status. If necessary, however, this timeline may be adjusted by mutual agreement of the appraiser and the appraisee.

In exercising their discretion as to the timing of the third 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 their performance against the best interests of the school.

Recommendation to proceed to other actions without a third appraisal

If, at any time during the 60 school days starting with the day the appraisee is advised that they are on review status, the Supervisory Officer (or the Principal and the appropriate Supervisory Officer in the case of a Vice-Principal) 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 appraisal and must recommend to the Board of Trustees that the Principal/Vice-Principal be reassigned to other duties or have their employment terminated, or that other appropriate actions be taken.

The recommendation must include a statement that, in the opinion of the appraiser, the delay necessitated by conducting a performance appraisal is inconsistent with protecting the best interests of the school.

Where a Principal is the appraiser, this opinion must be made jointly with the appropriate Supervisory Officer.

The notice and recommendation must be accompanied by copies of all documents relied on in conducting the first and second performance appraisals. The appraiser must promptly provide the appraisee with a copy of the notice and recommendation and all documents relied on in conducting the first and second performance appraisals.

Following the recommendation, a determination is made by the Board of Trustees as outlined below in relation to a third *Unsatisfactory* rating.

Results of the Third Performance Appraisal

Satisfactory rating

If the third performance appraisal results in a *Satisfactory* performance rating, the appraisee immediately ceases to be on review status. The appraiser must advise the appraisee and Director of Education (and appropriate Supervisory Officer in the case of a Vice-Principal) in writing of that fact, and provide a copy of the signed summative report with its notice of the latest appraisal rating.

The appraiser and appraisee are required to follow the process outlined in section 10.0.

10.2.3 Third Unsatisfactory appraisal rating

If the third performance appraisal results in an *Unsatisfactory* performance rating, the Supervisory Officer (in the case of a Principal) or the Principal and Supervisory Officer (in the case of a Vice-Principal) must promptly notify the board 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 their employment terminated, or that other appropriate actions be taken.

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. 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.

11.0 Additional Appraisals

A Principal/Vice-Principal may request an additional appraisal at any time. An appraiser may decline to conduct the appraisal.

An Appraiser may conduct additional appraisals if they consider it advisable to do so in light of circumstances related to performance.

12.0 Principals/Vice-Principals Experiencing Difficulties

If a Principal/Vice-Principal is experiencing difficulties performing their job in accordance with normal professional expectations, the Supervisory Officer may undertake an immediate review of the Principal/Vice-Principal's job performance. Their review is separate and distinct from the Performance Appraisal process and is outlined in procedure 3001g

13.0 APPENDICES

FORMS AVAILABLE ON THE ELECTRONIC FORMS ON THE EMPLOYEE PORTAL:

APPENDIX A ANNUAL GROWTH PLAN FOR PRINCIPALS AND VICE-PRINCIPAL

APPENDIX B IMPROVEMENT PLAN FOR PRINCIPALS AND VICE-PRINCIPALS

APPENDIX C PERFORMANCE PLAN FOR PRINCIPALS AND VICE-PRINCIPALS

APPENDIX D SUMMATIVE REPORT FORM FOR PRINCIPALS AND VICE-PRINCIPALS



TVDSB PRINCIPAL/VICE-PRINCIPAL ANNUAL GROWTH PLAN

School:

Name:

Year:

Areas for Professional Leadership Growth based on OLF/System Improvement
***Must include a component of EQUITY**

Growth Strategies:
Professional development activities and leadership actions

Target Dates for Completion

Evidence of Impact and Next Steps

Reviewed by: Role: Date:



IMPROVEMENT PLAN for Principals /Vice-Principals

Appraisee Position (check one): Principal ☐ Vice-Principal ☐

Last Name

First Name

Appraiser Position (check one): Supervisory Officer ☐ Principal ☐

Last Name

First Name

Name of School

Name of Board

Appraisal Year

Element of Criteria for Rating (page 22, “Determining the Rating”)	Explanation of Concern	Practices and Competencies Needing Attention (from the Ontario Leadership Framework)	Action to be Taken (developed by appraiser in consultation with appraisee)	Indicators of Success (developed by appraiser in consultation with appraisee)	To be Completed by
The extent to which the appraisee worked diligently and consistently towards the implementation of actions identified in the Performance Plan					
The effectiveness of efforts made to overcome challenges faced by the appraisee in carrying out the actions identified in the Performance Plan					

The efforts made by the appraisee to engage teachers and others in the development of the goals and implementation of the actions identified in the Performance Plan					
The actual goals achieved or not achieved by the appraisee					
The rationale provided by the appraisee for goals not achieved					
The demonstrated ability and willingness of the appraisee to implement actions to address the goals not achieved					

Learning needs of appraisee to carry out Improvement Plan (to be developed by appraiser, in consultation with appraisee)

Need	Strategies and supports to be provided

Supervisory Officer's / Principal's Signature

Date

Principal's / Vice-Principal's signature indicates the receipt of the Improvement Plan.

Principal's / Vice-Principal's Signature

Date



PERFORMANCE PLAN FOR PRINCIPALS/VICE-PRINCIPALS

School: Name: Year:

School and Community Characteristics/Circumstances



****Please use a different colour font for each update**

Principal's/ Vice-Principal's Goals		Strategies to Achieve Goals		Connection to OLF		Indicators		Evidence of Impact and Next Steps
	➔		➔		➔		➔	

Reviewed by: Role: Date:



SUMMATIVE REPORT FORM FOR PRINCIPALS AND VICE-PRINCIPALS

Appraisee Position (check one):

Principal ☐

Vice-Principal ☐

Last Name

First Name

Appraiser Position (check one):

Supervisory Officer ☐

Principal ☐

Last Name

First Name

Name of School

Name of Board

Appraisal Year

Practices and competencies from the Performance Plan that have contributed strongly to the principal's / vice-principal's overall performance.

Practices and competencies from the Performance Plan that could be strengthened for further growth and development.

Summative Comments

The supervisory officer / principal will provide a summative comment on the principal's / vice-principal's performance based on the results outlined in the Performance Plan.

Supervisory Officer's / Principal's summative comments on the appraisal:

The principal/vice-principal may wish to comment on the appraisal.

Principal's / Vice-Principal's comments (optional):

Overall Rating

Check the appropriate box:

☐ Satisfactory performance

☐ Unsatisfactory performance

Supervisory Officer's / Principal's Signature

Date

Principal's / Vice-Principal's signature indicates the receipt of the Summative Report.

Principal's / Vice-Principal's Signature

Date