

**Principal/
Vice-Principal
Performance
Appraisal**

TECHNICAL REQUIREMENTS MANUAL • 2013

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Une publication équivalente est disponible en français sous le titre suivant : *Évaluation du rendement des directions d'école et des directions adjointes : Guide des exigences et des modalités, 2013.*

This publication is available on the Ministry of Education's website, at www.ontario.ca/edu.

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Preface

Principal/Vice-Principal Performance Appraisal: Technical Requirements Manual 2013 supersedes *Principal/Vice-Principal Performance Appraisal: Technical Requirements Manual 2012*. **The manual has been updated to reflect changes to the Ontario Leadership Framework in 2013. As the OLF continues to evolve over time, the manual is updated periodically to reflect changes to the OLF.**

Research shows that school leadership is second only to teaching in having an impact on student achievement. The progress and success of all students in Ontario is contingent on effective leadership throughout the system to guide and support teaching and learning in Ontario schools.

Principal/vice-principal performance appraisal, as set out in Ontario Regulation 234/10, was implemented across the province in 2010. It is focused on supporting principals and vice-principals in setting and attaining the following goals to:

- ◆ strengthen their leadership practice by focusing on student achievement and well-being;
- ◆ focus on leadership growth and ensure professional accountability grounded in a commitment to school and district improvement.

The principal/vice-principal performance appraisal fosters leadership development by providing opportunities for principals and vice-principals to:

- ◆ engage with their supervisors in frequent and meaningful dialogue about their performance;
- ◆ consider the supports they need in order to achieve their performance goals;
- ◆ identify ways in which they can enhance their professional growth.

Regular opportunities for focused conversation with supervisors can provide the feedback necessary for leaders to improve their practice. Collaborating in a spirit of trust is a key condition for the success of the appraisal process.

The development of a process for principal/vice-principal performance appraisal was informed by input from key stakeholder groups through an initial pilot project in twelve district school boards¹ and subsequent voluntary implementation across the province. A work team of representatives from principal, supervisory officer, and director associations provided ongoing advice to further develop and implement the principal/vice-principal performance appraisal model across the province.

This performance appraisal model was developed in consultation with the Principal/Vice-Principal and Terms and Conditions Work Group; the Minister's Principal Reference Group; and leadership experts from district school boards, academia, and the organizations listed below. The model was informed by results of the evaluation of the 2007–08 initial pilot.

Contributing Organizations

- Association des directions et directions adjointes des écoles franco-ontariennes
- Association des gestionnaires de l'éducation franco-ontarienne
- Catholic Principals' Council of Ontario
- Conseil ontarien des directrices et directeurs de l'éducation de langue française
- Council of Ontario Directors of Education
- English Catholic Council of Directors of Education
- Ontario Catholic Supervisory Officers' Association
- Ontario Principals' Council
- Ontario Public Supervisory Officials' Association

1. The term *district school board* or *school board* is used throughout this document in the same sense as *district* is used in other leadership-related ministry documents.

Introduction

1

This manual has been developed as a resource. Users should refer to the Education Act and related regulations for the details of the governing legislation. In the event of any legal questions emerging from application of the act and accompanying regulations, boards should refer to their own legal counsel.

Reach Every Student: Energizing Ontario Education (2008) identified school leadership as a key supporting condition for meeting the province’s core education priorities:

- ◆ high levels of student achievement
- ◆ reduced gaps in student achievement
- ◆ increased public confidence in publicly funded education

Principals and vice-principals play a critical role in focusing decisions and actions on improving student achievement and well-being. They set directions, build relationships, develop people and the organization, work to improve the instructional program, and secure accountability. Their effectiveness as leaders is critical to the success and sustainability of system-wide improvement. School leadership matters.

“The principal of the future must lead a complex learning organization by helping to establish new cultures in schools that have deep capacities to engage in continuous problem solving and improvement.”

(Fullan, 2003, p. 28)

Context: The Ontario Leadership Strategy

To strengthen school and system leadership in Ontario, the Ministry of Education reviewed the research and consulted with education partners to create the Ontario Leadership Strategy (OLS), a coordinated and strategic approach to leadership development. The strategy, launched in 2008, is a comprehensive plan of action designed to support student achievement and well-being by attracting and developing skilled and passionate school and system leaders. It promotes a collaborative approach in which schools, boards, education associations, and the ministry work in partnership. The strategy has evolved since it was launched and will continue to be refined through ongoing research and consultation.

The goals of the Ontario Leadership Strategy are to:

1. attract the right people to leadership roles;
2. develop personal leadership resources in individuals and promote effective leadership practices to have the greatest possible impact on student achievement and well-being;
3. develop leadership capacity and coherence in organizations to strengthen their ability to deliver on education priorities.

The Board Leadership Development Strategy: A Key Component of the OLS

As part of the Ontario Leadership Strategy, the ministry provides each board with funding and support to develop and implement a Board Leadership Development Strategy (BLDS). The goals of the BLDS mirror the goals of the OLS.

To achieve these goals, the BLDS targets school leaders, system leaders, and all those within the board who aspire to take on leadership roles of any type, whether on the academic or the business side of the organization. Since the launch of the BLDS, boards have been supported by the ministry in implementing a variety of initiatives to attract and develop leaders, including principal/vice-principal performance appraisal (PPA) and mentoring for newly appointed school and system leaders.

The principal/vice-principal performance appraisal process, an essential component of the BLDS, is designed to ensure that school leaders are well supported in their growth and development. The appraisal process streamlines board practices and focuses efforts to achieve goals by providing formal and informal opportunities for feedback, dialogue, and ongoing professional learning.

Principal and vice-principal participation in the performance appraisal process is a legal requirement, as set out in Part XI.1, “Performance Appraisal of Principals, Vice-Principals and Supervisory Officers”, of the Education Act, and in Ontario Regulation (O. Reg.) 234/10, “Principal and Vice-Principal Performance Appraisal” (available at www.e-laws.gov.on.ca).

1.1.2 The Ontario Leadership Framework

The Ontario Leadership Framework (OLF) provides the underpinnings for the approach adopted in the principal/vice-principal performance appraisal process. The Ontario Leadership Framework was first introduced in 2006 and has evolved to reflect the latest research on leadership.

The OLF describes what good leadership looks like, based on evidence of what makes the most difference to student achievement and well-being. It is designed to:

- ◆ facilitate a shared vision of leadership in schools and boards
- ◆ promote a common language that fosters an understanding of leadership and what it means to be a school or system leader
- ◆ identify the practices, actions, and traits or personal characteristics that describe effective leadership
- ◆ guide the design and implementation of professional learning and development for school and system leaders
- ◆ identify the characteristics of highly performing schools and systems through the K–12 School Effectiveness Framework (SEF) and the District Effectiveness Framework (DEF)
- ◆ aid in the recruitment, development, selection, and retention of school and system leaders

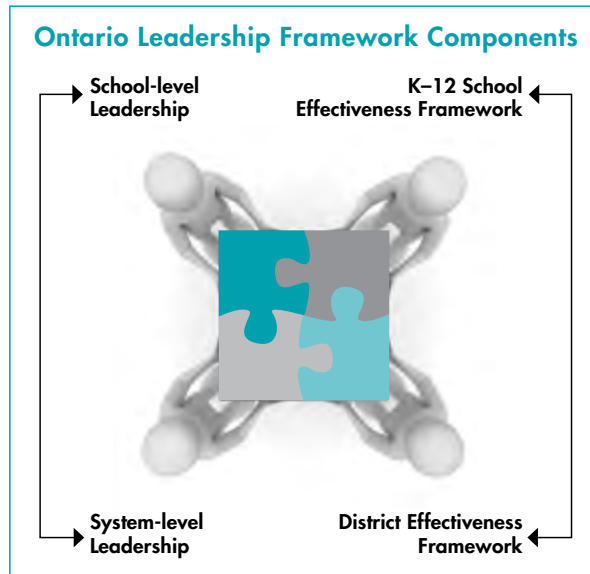
The OLF is a resource that can assist educators in building coherence and aligning practices across schools and boards. The framework is not a checklist but rather a tool for discussion. Discussion of the OLF practices provides opportunities for educators to determine areas of strength and areas for growth. The framework provides aspiring leaders at both the school and board levels with important insights about what they will need to learn to be successful. For those already in leadership positions, it serves as a valuable tool for self-reflection and self-assessment. Finally, the framework also supports the work of those responsible for recruiting, selecting, developing and retaining new leaders.

Key components of the OLF include the following.

- ◆ **School-level Leadership Practices.** Identifies 21 key practices, organized in five domains, for formal and informal leaders in schools. As before, the five Core Leadership Capacities – setting goals, aligning resources with priorities, promoting collaborative learning cultures, using data, and engaging in courageous conversations – are seen as fundamental to all leadership practice.
- ◆ **Characteristics of Effective Schools: The K–12 School Effectiveness Framework (K–12 SEF).** Identifies evidence-based indicators of successful practice in six components of effective schools. Created in 2010 and revised in 2013 by the ministry’s Student Achievement Division, the K–12 SEF is key to the work of schools and boards. It is a companion piece to the OLF, included as one of its components to show the link between school-level leadership and school effectiveness.
- ◆ **Characteristics of Successful School Systems: A District Effectiveness Framework (DEF).** Describes features of school systems, in four domains, that make positive contributions to growth in student achievement and well-being.
- ◆ **System-level Leadership Practices.** Identifies a set of unique practices required of system-level leaders (academic and business), in four domains matching those in the DEF, that enhance the school-level practices.
- ◆ **Personal Leadership Resources (PLRs).** Describes a set of personal attributes, in three categories (cognitive, social, and psychological), found to be key to the effective enactment of leadership practices at both the school and system level.

“If we see an increase in the best practices and our case studies show that the practices work and student achievement is increasing over the long haul, time and again, then we can be confident about the difference that leadership practice is making. Leadership has made the difference in Ontario – it’s undeniable – we can trace it, feel it, see it.”

(Michael Fullan, at the Ontario Leadership Congress, April 2012)



See section 2.3.2.3 for details on using the OLF to support the development of the Performance Plan and the Annual Growth Plan.

1.2

Purpose of the Technical Requirements Manual

The purpose of this manual is to inform supervisory officers, principals, and vice-principals about the requirements of the performance appraisal process for principals and vice-principals. This manual has been developed to provide a clear and concise overview of the components of the principal/vice-principal appraisal process and the tools that can be used in conducting appraisals.

1.3

Organization of the Technical Requirements Manual

This manual has been designed as a resource. Users should refer to the Education Act and related regulations for the details of the governing legislation. In the event of any legal questions emerging from application of the act and accompanying regulations, boards should refer to their own legal counsel.

The *Principal/Vice-Principal Performance Appraisal: Technical Requirements Manual* is organized into the following sections:

Section 1: Introduction provides an overview of the performance appraisal process for principals and vice-principals, including the key components of the performance appraisal process.

Section 2: Implementation provides an overview of the roles and responsibilities of all those who play key roles in the appraisal process and describes the processes and procedures associated with the appraisal process.

Section 3: Appendices include leadership competencies based on the practices laid out in the OLF; the Performance Plan Working Template; the Annual Growth Plan Working Template; the ministry-approved Summative Report Form for Principals and Vice-Principals; and the Improvement Plan Working Template.

The leadership practices for public and Catholic school leaders set out in the OLF are available as separate PDFs that can be accessed at the Institute for Education Leadership website, at <http://live.iel.immix.ca/content/framework>.

1.4

Additional Resources

Additional resources complement the requirements manual and highlight effective practices for implementing the principal/vice-principal performance appraisal process.

Additional resources will be updated and posted on the Ministry of Education's website, at www.ontario.ca/eduleadership.

1.5

Principal/Vice-Principal Performance Appraisal

The province-wide principal/vice-principal performance appraisal process is based on extensive research and practice and is designed to help principals/vice-principals – both new and experienced – achieve their full potential as school leaders.

Performance appraisals and Annual Growth Plans foster leadership development by providing opportunities for principals and vice-principals to have a meaningful dialogue with their supervisors about their performance, articulate the supports they need to achieve their goals, and undergo professional growth. Performance appraisal also supports mentoring for newly appointed school leaders by identifying strengths and areas for growth and development, thereby providing a focus for mentoring efforts and conversations. Finally, performance appraisal helps to increase public confidence by demonstrating that schools are led by highly qualified and capable professionals.

During the performance appraisal process, the principal/vice-principal being appraised develops one or more professional goals that support the improvement of student achievement and well-being and take into account the board's improvement plan, the school improvement plan, and provincial education priorities. Goals may also be based on the school community and local context, as well as the personal development goals of the principal/vice-principal being appraised. Professional dialogue between the appraiser (the supervisory officer or principal conducting the appraisal) and the appraisee (the principal or vice-principal being appraised) will inform the articulation of goals in the Performance Plan. In the case of vice-principal appraisal, the principal will work with him or her to determine how to link the work of the vice-principal with the school improvement plan in meaningful ways that allow the vice-principal to assume leadership responsibility for goals that support the school plan.

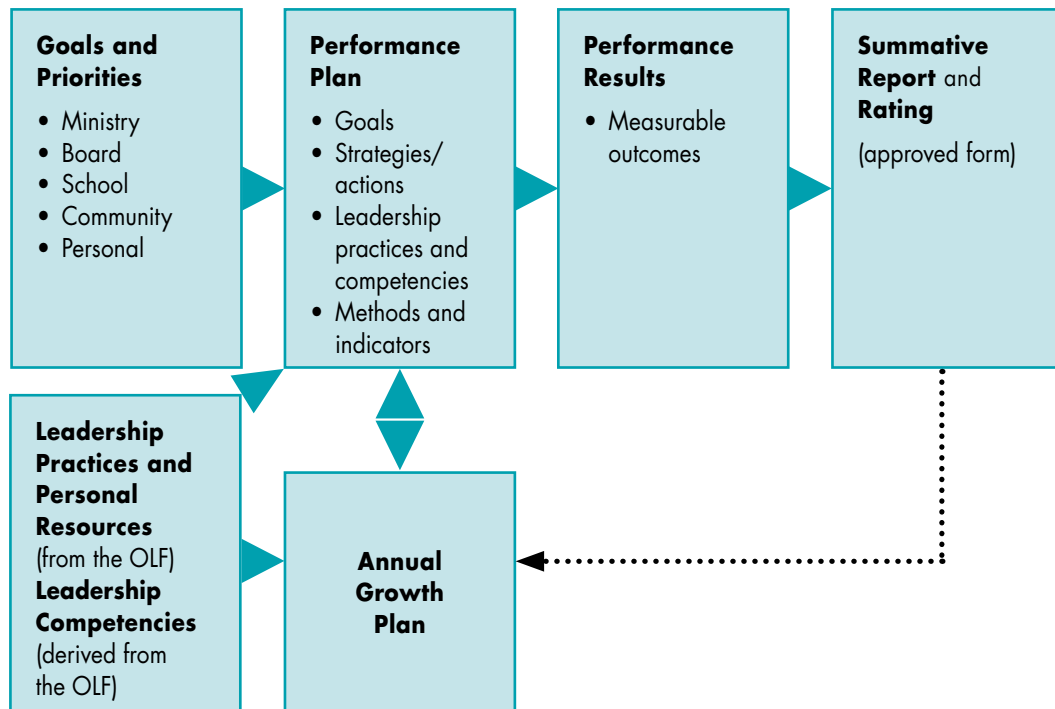
Effective Practice

The principal/vice-principal performance appraisal model described in this manual is goal-oriented. The best outcomes are made possible in a climate of sharing, trust, and support. Such a climate provides the ideal context for effective principal and vice-principal appraisal – appraisal that supports an approach to leadership focused on improving student achievement and well-being.

1.6

Key Components of the Principal/Vice-Principal Performance Appraisal

The performance appraisal process for principals and vice-principals is intended to support and promote professional growth and development. When all the components are implemented in a coherent way, linked to school improvement goals, and connected to ongoing professional learning, the process becomes fully integrated into the daily work that school leaders do. The key components of the performance appraisal model for principals and vice-principals are as follows:



- ◆ **Goals and priorities** inform the Performance Plan and Annual Growth Plan, reflecting the goals and priorities of the ministry, the school board, and the school improvement plan. Development of goals and priorities should take into consideration the school and local community context and personal development goals, as well as the leadership practices laid out in the OLF and the leadership competencies derived from the OLF (Appendix A).
- ◆ A **Performance Plan** outlines goals, strategies/actions, methods and indicators, and corresponding leadership practices and competencies (Appendix A). It is developed by the appraisee in consultation with the appraiser, taking into account the school improvement plan, the board's improvement plan, and ministry priorities. Other considerations could include personal development goals as well as the school and community context. The Performance Plan is developed in an evaluation year.

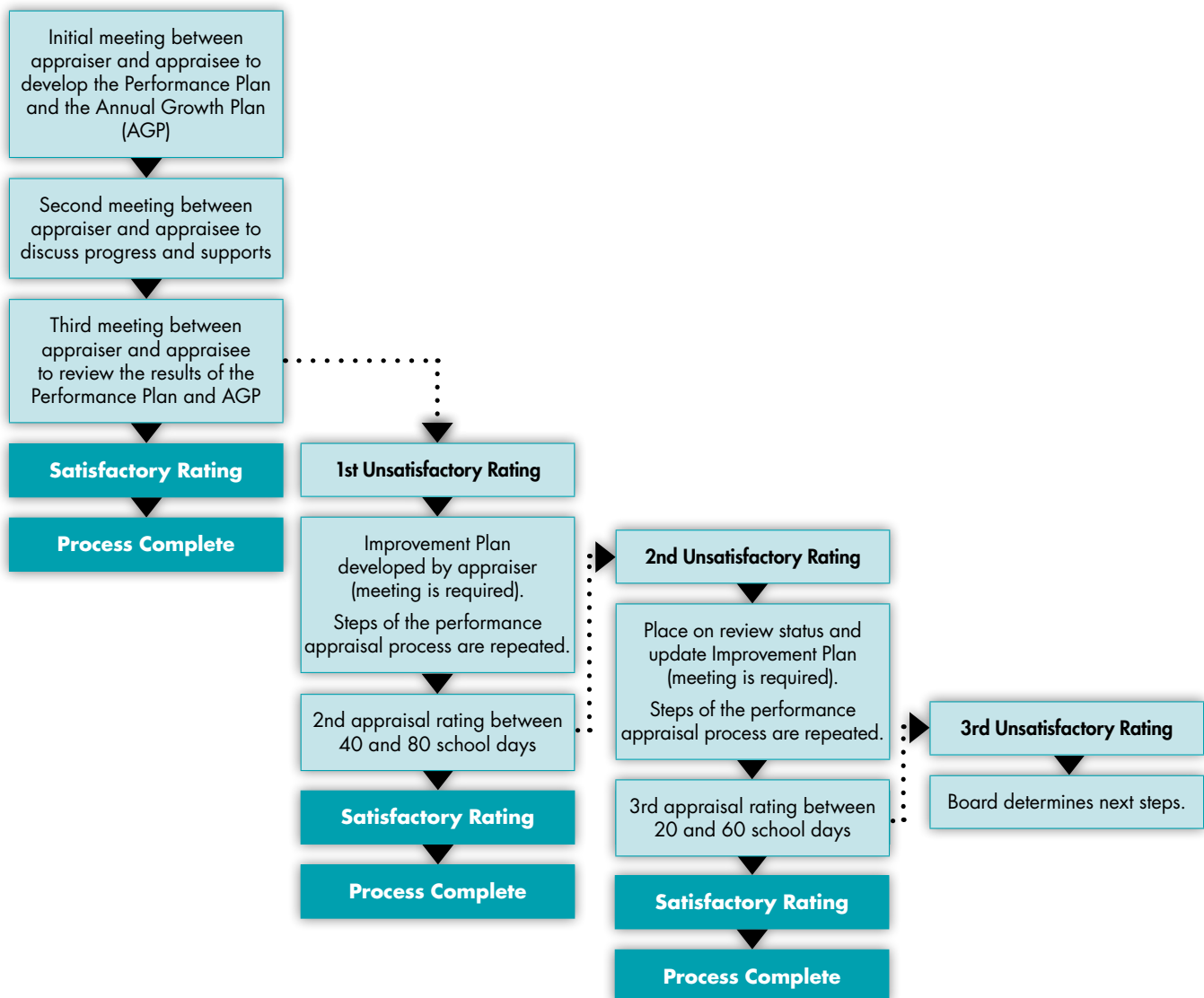
- ◆ An **Annual Growth Plan** provides a vehicle for the appraisee, in consultation with the appraiser, to identify strategies and actions for growth and development aimed at strengthening the appraisee's enactment of the leadership practices and competencies (Appendix A). As the appraisee and appraiser select leadership practices and competencies to focus on for the year, they may also choose personal leadership resources (PLRs) from the OLF, where appropriate, to support the enactment of the practices. The Annual Growth Plan supports the implementation of the Performance Plan in appraisal years and is used in the intervening years to support ongoing dialogue and growth.
- ◆ **Performance results** are the measurable outcomes of the appraisee's work towards the goals set initially, and inform the appraiser's summative report and rating. When assessing the performance results, an appraiser must take a wide variety of factors into consideration, including:
 - 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 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.
- ◆ A **summative report** is used to document the results of the appraisal process and becomes a tool to assist principals/vice-principals in reflecting on feedback they receive in order to monitor their own growth. The summative report includes an overall performance rating, comments related to the leadership practices and competencies (Appendix A) that contributed to the principal's/vice-principal's overall performance, practices and competencies that could be strengthened in the future, and a summative comment based on results. The appraisee may also add comments to the summative report. The Summative Report Form for Principals and Vice-Principals is a ministry-approved form, as mandated by O. Reg. 234/10, that provides a consistent approach to documenting the appraisal process.
- ◆ A **rating** of *Satisfactory* or *Unsatisfactory* is assigned with regard to the performance of the principal/vice-principal based on the results of the performance appraisal.

Another key component of the process is the **appraisal meeting**. Appraisal meetings promote professional dialogue between the appraisee and the appraiser. The meetings provide opportunities for reflection and collaboration to support and promote professional growth and development.

In addition, the **process to address unsatisfactory performance** clearly delineates the steps involved after the appraisee has received an *Unsatisfactory* rating and includes the development of an Improvement Plan by the appraiser in consultation with the appraisee.

1.7 The Appraisal Process at a Glance

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, as outlined in the diagram below. In the event of an *Unsatisfactory* rating, the appraisal process as outlined is repeated, including the three required meetings.



1.8

Suggested Annual Timeline and Calendar

Appraisers have flexibility to establish appraisal schedules in a way that balances the total number of appraisals over the year. A differentiated calendar for the appraisal process is suggested for new and experienced school leaders.

Calendar	Newly Appointed Principal/Vice-Principal (Prior to Evaluation Year)	Experienced Principal/Vice-Principal in an Evaluation Year
Early fall	<p>Development of Annual Growth Plan in consultation with supervisor.</p> <p>Annual Growth Plan goals may also be discussed with a mentor.</p> <p>Mentoring and support may be provided by a mentor.</p>	<p>(Prior to Evaluation Period) Development of Performance Plan and Annual Growth Plan.</p> <p>(Formal Evaluation Period Begins) First meeting with appraiser to discuss Performance Plan, including goals for appraisal year.</p> <p>Implementation of Performance Plan and Annual Growth Plan; ongoing discussions with appraiser regarding progress and supports.</p>
Early winter	<p>Ongoing implementation of Annual Growth Plan; informal feedback from supervisor.</p>	<p>Second meeting with appraiser to discuss progress towards goals, indicators of success, challenges, and additional supports that may be required.</p>
Winter/early spring	<p>Updates to Annual Growth Plan.</p> <p>Future development of Performance Plan begins to be considered.</p>	<p>Third meeting with appraiser to review and update performance results and discuss Annual Growth Plan.</p> <p>Summative report prepared and performance rating assigned by appraiser. Summative report and rating provided to appraisee.</p> <p>Additional steps are required if the appraisal resulted in a performance rating that is <i>Unsatisfactory</i>.</p>

Implementation

2

2.1 Roles and Responsibilities

2.1.1 Overview

In the context of the school and school board as professional learning communities, directors of education, supervisory officers, principals, and vice-principals all play key roles in the performance appraisal process. While fulfilling their responsibilities, they also promote collaboration and mutual respect. This sets a tone that enables principals and vice-principals to focus on agreed-upon performance goals and carry out the strategies and actions to achieve them.

“The quality of the conduct of principal evaluation may be more important than its content. Strong, trusting, and collaborative relationships between principals and their district office evaluators is especially critical to the success of the evaluation process.”

(Davis, Kearney & Sanders, 2011, p. 35)

Directors of education conduct the performance appraisals where it is determined that it is appropriate for them to do so.

Supervisory officers conduct the performance appraisal for principals and may conduct the performance appraisal for vice-principals.

Principals appraise vice-principals, unless the board determines that the appraisal will be conducted by a supervisory officer.

Principals and vice-principals, as appraisees, develop Performance Plans and Annual Growth Plans in consultation with their appraiser, meet with the appraiser during the evaluation year to discuss progress and possible adjustments, and take part in the final reporting process leading to the summative report.

School boards establish and communicate policies for the implementation of system-wide principal and vice-principal performance appraisal and provide the necessary training and administrative support.

2.1.2 Definitions of New and Experienced School Leaders

The performance appraisal process is intended for principals and vice-principals who are fully qualified² in the role in which their performance will be appraised.

A new school leader may be defined as:

- ◆ 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 (refer to section 2.2.2.2, “Transition of a Newly Appointed Principal/Vice-Principal”).

2.1.3 The Role of Supervisory Officers as Appraisers

The following is a checklist of key responsibilities of the supervisory officer in conducting a performance appraisal of a principal.

A supervisory officer must:

- conduct performance appraisals of principals during their evaluation year (refer to section 2.2, “Scheduling Requirements”);
- within 20 school days after the beginning of a year that is scheduled as an evaluation year for the principal, notify the principal that the year is an evaluation year (refer to section 2.2, “Scheduling Requirements”);

2. “Fully qualified” means holding principal’s qualifications according to O. Reg. 176/10, being assigned to a permanent position as a principal or vice-principal, and being no longer a member of a teachers’ federation.

- ❑ meet with the appraisee to discuss the development of the Performance Plan and Annual Growth Plan (refer to section 2.5, “Appraisal Meetings”);
- ❑ sign the principal’s Performance Plan and Annual Growth Plan and retain a copy (refer to section 2.3, “The Performance Plan”, and section 2.4, “The Annual Growth Plan”);
- ❑ meet with the appraisee to review his or her progress towards achieving the goals contained in his or her Performance Plan and discuss supports and other information relevant to the Performance Plan (refer to section 2.5, “Appraisal Meetings”);
- ❑ meet with the appraisee at the end of the appraisal process to review the results of the actions taken by the principal to achieve the goals contained in his or her Performance Plan, discuss other information relevant to the Performance Plan, and review the principal’s Annual Growth Plan (refer to section 2.5, “Appraisal Meetings”);
- ❑ prepare a summative report of the performance appraisal (refer to section 2.6, “The Summative Report”, and section 2.7, “Performance Rating and Subsequent Procedures”);
- ❑ provide the principal with a copy of the summative report, signed by the supervisory officer, within 15 school days after the final appraisal meeting (refer to section 2.6, “The Summative Report”);
- ❑ meet with the principal, if he or she makes a request to meet, within 10 school days of the principal’s receiving a copy of the summative report (refer to section 2.6, “The Summative Report”);
- ❑ 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 (refer to section 2.6, “The Summative Report”);
- ❑ in a year that is not an evaluation year for a principal, meet with the principal to discuss the Annual Growth Plan for the year if he or she requests it (refer to section 2.4, “The Annual Growth Plan”).

Where the appraisal process results in a performance rating that is *Unsatisfactory*, the supervisory officer will have additional responsibilities (refer to section 2.7.2.3, “Procedural Requirements Following an *Unsatisfactory* Rating”).

A supervisory officer may:

- ❑ request a meeting with the principal within 10 school days of the principal's receiving a copy of the summative report;
- ❑ request a meeting with the principal to discuss the Annual Growth Plan in a non-evaluation year;
- ❑ conduct performance appraisals of a principal that are additional to those required, if the supervisory officer considers it advisable to do so in light of circumstances relating to the performance of the principal;
- ❑ consider requests from the principal for additional appraisals, and may refuse those requests where he or she reasonably believes that it is unlikely that the performance appraisal will lead to improvement in the principal's performance.

2.1.4 The Role of Principals as Appraisers

It is expected that principals will appraise vice-principals. The board may decide to have a supervisory officer conduct the appraisal.

The following is a checklist of key responsibilities of the principal in conducting a performance appraisal of a vice-principal.

A principal must:

- ❑ conduct performance appraisals of vice-principals during their evaluation year (refer to section 2.2, "Scheduling Requirements");
- ❑ within 20 school days after the beginning of a year that is scheduled as an evaluation year for the vice-principal, notify the vice-principal that the year is an evaluation year (refer to section 2.2, "Scheduling Requirements");
- ❑ meet with the appraisee to discuss the development of the Performance Plan and Annual Growth Plan (refer to section 2.5, "Appraisal Meetings");
- ❑ sign the vice-principal's Performance Plan and Annual Growth Plan and retain a copy (refer to section 2.3, "The Performance Plan", and section 2.4, "The Annual Growth Plan");
- ❑ meet with the appraisee to review his or her progress towards achieving the goals contained in his or her Performance Plan and discuss supports and other information relevant to the Performance Plan (refer to section 2.5, "Appraisal Meetings");

- ❑ meet with the appraisee at the end of the appraisal process to review the results of the actions taken by the vice-principal to achieve the goals contained in his or her Performance Plan, discuss other information relevant to the Performance Plan, and review the vice-principal's Annual Growth Plan (refer to section 2.5, "Appraisal Meetings");
- ❑ prepare a summative report of the performance appraisal (refer to section 2.6, "The Summative Report", and section 2.7, "Performance Rating and Subsequent Procedures");
- ❑ provide the vice-principal with a copy of the summative report, signed by the principal, within 15 school days after the final appraisal meeting (refer to section 2.6, "The Summative Report");
- ❑ within 10 school days of the vice-principal receiving a copy of the summative report, meet with the vice-principal if he or she makes a request to meet (refer to section 2.6, "The Summative Report");
- ❑ provide the board with a copy of the summative report (no sooner than 10 school days after the principal has received a copy), the Performance Plan signed by both the principal and the vice-principal, the vice-principal's Annual Growth Plan for the year, and all other documents relied on in conducting the performance appraisal (refer to section 2.6, "The Summative Report");
- ❑ in a year that is not an evaluation year for a vice-principal, meet with the vice-principal to discuss the Annual Growth Plan for the year if he or she requests it (refer to section 2.4, "The Annual Growth Plan").

Where the appraisal process results in a performance rating that is *Unsatisfactory*, the principal will have additional responsibilities (refer to section 2.7.2.3, "Procedural Requirements Following an *Unsatisfactory* Rating").

A principal may:

- ❑ request a meeting with the vice-principal within 10 school days of the vice-principal's receiving a copy of the summative report;
- ❑ request a meeting with the vice-principal to discuss the Annual Growth Plan in a non-evaluation year;
- ❑ conduct performance appraisals of a vice-principal that are additional to those required, if the principal considers it advisable to do so in light of circumstances relating to the performance of the vice-principal;
- ❑ consider requests from the vice-principal for additional appraisals, and may refuse those requests where he or she reasonably believes that the performance appraisal will not lead to improvement in the vice-principal's performance.

“The ministry’s ... performance appraisal system is intended to create a type of structured relationship between you and your superintendent that you may not have at the moment. Such a relationship offers opportunities for your superintendent to become part of your school improvement planning activities, including having an influence on your timelines [and] on your own role in school improvement...”

(Leithwood, 2008b, p. 14)

2.1.5 The Role of Principals and Vice-Principals as Appraisees

An appraisee must:

- ❑ 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 (Appendix A) that will assist him or 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 be developed in consultation with the supervisory officer or principal who will be conducting the appraisal (refer to section 2.3, “The Performance Plan”), and this consultation must involve a meeting;
- ❑ meet with the appraiser to review progress and discuss other information relevant to the Performance Plan (refer to section 2.5, “Appraisal Meetings”);
- ❑ 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 in the Performance Plan (refer to section 2.3, “The Performance Plan”);
- ❑ within 10 school days of receiving the Summative Report Form, sign and return the Summative Report Form to the supervisory officer or principal to acknowledge receipt (refer to section 2.6, “The Summative Report”);
- ❑ within 10 school days of receiving the summative report, meet with the appraiser if the appraiser requests a meeting;
- ❑ develop an Annual Growth Plan, in consultation with his or her supervisor (refer to section 2.4, “The Annual Growth Plan”);
- ❑ meet with the appraiser to discuss the Annual Growth Plan for a given year if the appraiser requests a meeting;
- ❑ review his or her Annual Growth Plan from the previous year, his or her learning and growth over the previous year, and the summative report from the most recent performance appraisal, if any;

- ❑ update his or her Annual Growth Plan for the current year as necessary (refer to section 2.4, “The Annual Growth Plan”);
- ❑ sign the Performance Plan in an evaluation year and the Annual Growth Plan each year, and retain a copy.

An appraisee may:

- ❑ discuss possible revisions to the Performance Plan and/or the Annual Growth Plan with the appraiser (refer to section 2.3, “The Performance Plan”, and section 2.4, “The Annual Growth Plan”);
- ❑ within 10 school days of receiving a copy of the summative report, request a meeting with the appraiser to discuss the results of the performance appraisal before a copy of the summative report is sent to the board;
- ❑ add comments to the summative report (refer to section 2.6, “The Summative Report”).

Where the appraisal process results in a performance rating that is *Unsatisfactory*, the principal or vice-principal, as appraisee, will have to complete other requirements (refer to section 2.7.2.3, “Procedural Requirements Following an *Unsatisfactory* Rating”).

An appraisee may request an additional performance appraisal in a year that is not an evaluation year.

2.1.6 The Role of School Boards

It is essential that school boards develop the right climate of collaboration, trust, and support by developing a system-wide planning culture to support all leadership processes. The impact of performance appraisal can be enhanced if boards integrate it into a broader leadership development plan.

“... good evaluation centers on powerful conversations between a principal and her manager about how to continually improve practice and ... get better results. This ... requires evaluators to be in schools a lot – working with principals to set good goals, observing practice, and giving feedback.”

(New Leaders, 2012, p. 3)

A board must:

- ❑ ensure that each principal/vice-principal receives at least one performance appraisal during each of his or her evaluation years (refer to section 2.2, “Scheduling Requirements”);

- ❑ 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-principal (refer to section 2.2, “Scheduling Requirements”);
- ❑ establish and communicate policies for the implementation of a system-wide principal/vice-principal performance appraisal process (refer to section 2.2, “Scheduling Requirements”);
- ❑ provide information regarding the principal/vice-principal performance appraisal process to principals, vice-principals, supervisory officers, teachers, parents, students, and the chairs of school councils (refer to section 2.2, “Scheduling Requirements”, and section 2.3, “The Performance Plan”);
- ❑ comply with the requirements set by the Minister of Education, as noted in O. Reg. 234/10, regarding the information noted above and when and how that information is to be provided;
- ❑ 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:
 - i) the school’s improvement plan;
 - ii) the board’s improvement plan;
 - iii) provincial educational priorities;
 - the actions that a principal will take during the evaluation year to attain the goals;
 - the leadership practices and competencies (Appendix A) that will assist the principal in attaining the goals;
 - the methods by which a principal’s success in attaining the goals are to be measured;
- ❑ ensure that every principal/vice-principal develops each year an Annual Growth Plan that includes:
 - the leadership practices and competencies (Appendix A) 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 him or her in developing leadership practices and competencies;
 - if the principal/vice-principal has developed a Performance Plan, the professional growth activities that will assist him or her in implementing the strategies and actions to achieve the goals identified in the Performance Plan;

- ensure that, every year, every principal/vice-principal in consultation with his or 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;
- ensure that all timelines provided for in the regulation 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;
- 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 (O. Reg. 234/10, s. 42(3)).

Where the appraisal process results in a performance rating that is *Unsatisfactory*, the board will have additional responsibilities (refer to section 2.7.2.3, “Procedural Requirements Following an *Unsatisfactory* Rating”).

A board may establish additional requirements for the performance appraisal process for the principals/vice-principals it employs, as provided for in Part XI.1, “Performance Appraisal of Principals, Vice-Principals and Supervisory Officers”, of the Education Act, as long as those additional requirements are not inconsistent with the requirements of the performance appraisal process for principals/vice-principals set out in the Education Act and O. Reg. 234/10, s. 42(3).

Effective Practice

Supervisory officers who are involved with principal/vice-principal appraisal will find it helpful to refer to the practices in each domain of the OLF that relate to their role in supporting the principal/vice-principal performance appraisal process.

2.2 Scheduling Requirements

2.2.1 Purpose

A board's approach to principal/vice-principal performance appraisal sets the tone for much of its professional culture. The scheduling requirements necessitate careful planning and organization and an approach that conveys to everyone that appraisal is an essential component of school improvement rather than an isolated event. Integral to the process is open communication between the appraiser and appraisee in identifying next steps and supports tailored to the appraisee's continuous growth and development.

2.2.2 Requirements

The information that follows is a summary of the requirements related to the performance appraisal process for principals/vice-principals (see section 1.8, "Suggested Annual Timeline and Calendar").

Boards have the flexibility to set the cycle for principals/vice-principals in a way that balances the number of appraisals to be done each year. Every board must place each experienced principal/vice-principal on 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 his or her evaluation year, the appraiser must notify the appraisee that it is an evaluation year.

2.2.2.1 Additional Performance Appraisals

If at any point the appraiser considers it advisable to do so in light of circumstances related to the appraisee's performance, he or she may conduct an appraisal of an appraisee during a non-evaluation year. This action would restart the appraisee's five-year cycle. For example, if the appraisal year is scheduled for 2013, the next evaluation year would be 2018. However, if the appraiser conducts an additional appraisal in 2015, the next evaluation year would be 2020.

During a non-evaluation year, an appraisee may request an additional performance appraisal. This would restart the evaluation cycle, so that for an appraisee who was appraised in 2013 but requested and received another evaluation in 2015, the next evaluation year would be 2020. The appraiser may refuse to conduct a performance appraisal where he or she reasonably believes that the performance appraisal will not lead to improvement in the appraisee's performance.

Effective Practice

An appraisee may request an additional appraisal to obtain input on his or her performance in a non-evaluation year, or to support a transfer or promotional opportunity. The appraiser is encouraged to facilitate these requests.

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.

2.2.2.2 Transition of a Newly Appointed Principal/Vice-Principal

A principal/vice-principal is no longer considered a new principal/vice-principal once he or she completes one year in the role. In his or her second year of employment, he or she must be appraised and is placed in the five-year evaluation cycle for experienced principals/vice-principals.

Effective Practice

Although no formal appraisal can occur for new principals/vice-principals in their first year, supervisors are encouraged to provide feedback to new principals/vice-principals to assist them in their ongoing professional growth and development and help them prepare for their appraisal the following year.

2.2.2.3 Principal/Vice-Principal New to a Board

Boards must ensure that each experienced principal/vice-principal who is new to the board is appraised in the first year that the principal/vice-principal is employed by the board. This does not apply to an individual who is new to the principal/vice-principal role. A principal/vice-principal who is new to the role is appraised in the second year of employment (see section 2.1.2, "Definitions of New and Experienced School Leaders").

2.2.2.4 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 he or she 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.

2.2.2.5 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.

2.2.2.6 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 his or her 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 his or her return.

2.2.2.7 Delegation to an Alternative Appraiser

A duty or power of a supervisory officer may be performed or exercised by a **different supervisory officer** where:

- ◆ the supervisory officer and the director of education agree that a different supervisory officer will perform the duty or exercise the power; or
- ◆ the director of education is of the opinion that the supervisory officer who would ordinarily perform the duty or exercise the power is unable to do so in a timely way because of absence or for some other reason.

A duty or power of a principal may be performed or exercised by the **appropriate supervisory officer** where:

- ◆ the principal and the supervisory officer agree that the supervisory officer will perform the duty or exercise the power; or
- ◆ the supervisory officer is of the opinion that the principal who would ordinarily perform the duty or exercise the power is unable to do so in a timely way because of absence or for some other reason.

A duty or power of a supervisory officer may be performed or exercised by the **director of education** employed by the same board where:

- ◆ the supervisory officer and the director of education agree that the director of education will perform the duty or exercise the power; or

- ◆ the director of education is of the opinion that the supervisory officer who would ordinarily perform the duty or exercise the power is unable to do so in a timely way because of absence or for some other reason.

When a supervisory officer is unable to perform a duty in a timely way, the duty may be carried out by another supervisory officer in the same board. If neither the director of education nor any other supervisory officer employed by the same board is able to perform a duty or exercise a power in a timely way, because of absence or for some other reason, a supervisory officer employed by another board may, by arrangement between the two boards, perform the duty or exercise the power.

2.2.2.8 Impact of Appraisals by Different Individuals

Whether the principal/vice-principal performance is appraised by the same or different individuals at different stages of the appraisal process, the results of each appraisal are valid. It is important that boards ensure that there is continuity and consistency throughout the process.

2.2.2.9 Board Rules in Certain Circumstances

Every board must set out factors that it will consider in determining which supervisory officer is to exercise the powers and perform the duties of a supervisory officer in relation to a principal/vice-principal who:

- ◆ is assigned to more than one school;
- ◆ is not assigned to duties in a school;
- ◆ is assigned to duties in a school as well as to other duties; or
- ◆ moves from one school to another.

Every board must set out factors that it will consider in determining which principal is to exercise the powers and perform the duties of a principal in relation to a vice-principal who:

- ◆ is assigned to more than one school;
- ◆ is not assigned to duties in a school;
- ◆ is assigned to duties in a school as well as to other duties; or
- ◆ moves from one school to another.

2.3

The Performance Plan

2.3.1

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 leadership practices and competencies (Appendix A), 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.

“A key challenge for leader assessment ... is to narrow the focus on the most potent behaviours that can promote better learning outcomes, rather than [on] peripheral concerns of daily management ... A powerful leadership assessment process can direct leaders' attention to these challenges and provide a way to pinpoint where his or her actions are effective or in need of improvement.”

(Wallace Foundation, 2009, p. 5)

2.3.2

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. The Performance Plan template provided in this manual is not a mandatory form. Boards may develop their own templates as long as they meet the requirements of O. Reg. 234/10.

The principal/vice-principal Performance Plan must include:

- 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;
- actions that he or she will take during the evaluation year to attain the identified goals;

- ❑ the leadership practices and competencies (Appendix A) that will assist him or her in attaining the goals;
- ❑ the methods by which his or her success in attaining the goals are to be measured;
- ❑ a description of the results of his or her actions taken during the school year to attain the goals, added before the third appraisal meeting (see section 2.5, “Appraisal Meetings”).

In developing the Performance Plan, the appraisee may wish to consider the other factors that will be taken into account when the appraiser assigns the performance rating, such as efforts made to engage teachers and others in the development of the goals and implementation of the actions identified in the Performance Plan (see section 2.7.2.1, “Determining the Rating”).

The appraiser and appraisee must each sign the Performance Plan and must each retain a copy.

Effective Practice

Goals should be written using the SMART model (Specific, Measurable, Achievable, Realistic, Timely). It is important that the goals be outcome-based, measurable, challenging, and achievable. The time frame for achieving the goals could be more than one year, but there should be an opportunity for interim measurements of attainment of goals that extend beyond the appraisal year. There should be variety and balance between both quantitative and qualitative methods when measuring the extent to which goals are being achieved.

Professional dialogue between the appraiser and appraisee will assist with the articulation of goals in the Performance Plan. In the case of vice-principal appraisal, the principal will work with the vice-principal to determine how to link the work of the vice-principal with the school improvement plan in meaningful ways that allow the vice-principal to assume leadership responsibility for goals that support the school improvement plan. (See www.ontario.ca/eduleadership for additional resources.)

The Performance Plan can assist school leaders in focusing on goals that are critical to enhancing student achievement and well-being, while knowing they have the support of their supervisory officer (or principal, as appraiser, in the case of vice-principals).

2.3.2.1 Goals

Setting goals is one of the most important components of an effective appraisal process. Working with their immediate supervisors, principals/vice-principals will develop goals that are focused on improving student achievement and well-being, taking into account the school improvement plan, the board improvement plan, and provincial educational priorities. The Performance Plan could also include personal development goals as well as goals that take into account the school and community context (for example, the student demographics). In addition, principals/vice-principals are encouraged to collect input from staff (such as teachers and education assistants), parents, and students that are linked to their goals. (See Appendix B: Performance Plan Working Template.)

Goals should be measurable and attainable within the evaluation year. If a principal/vice-principal sets a multi-year goal, there should be measurable targets for the evaluation year. It is expected that developing goals will include assembling pertinent data concerning the performance of students and any other information that will assist with “charting the course”. The initial data collected could provide important benchmarks that could be used in the determination of a performance rating at year’s end.

2.3.2.2 Strategies/Actions

In determining the actions (including strategies to be implemented) required to achieve each goal, the principal/vice-principal will consider the leadership practices outlined in the OLF and the leadership competencies derived from it (Appendix A). The principal/vice-principal must identify the actions that he or she will take to realize the stated goals. These actions are commitments that the appraisee makes and for which the appraisee will be held accountable. The actions may include collecting and analysing data, implementing staff engagement strategies, offering professional development to teachers, making changes to delivery of curriculum and instruction, implementing parent and/or community engagement strategies, supporting leadership development of staff, undertaking school culture initiatives, building the capacity for assessment and evaluation as well as an understanding of the use of data, use of differentiation and diversity strategies, and other effective strategies and actions envisioned by the appraisee or appraiser.

Professional dialogue between the appraiser and appraisee will be helpful in determining effective strategies and actions for attaining the goals.

Effective Practice

The appraiser might pose questions to guide the thinking of the appraisee, such as:

- How will you involve staff in the identification of school improvement goals and associated strategies?
- How will you encourage staff to apply the strategies outlined in the school improvement plan?
- What will you do to foster collaboration among staff and focus instruction on the areas of greatest student need identified in your school improvement plan?
- What specific actions will you take to monitor the implementation of the agreed-upon strategies and report progress back to staff?
- What will you do if you meet with resistance or if you realize that progress is not being made?

The appraisee and appraiser should refer to the OLF to identify the practices and associated actions that will assist the appraisee in handling issues such as these. For example, from the domain “Developing the Organization to Support Desired Practices”, a relevant key practice is “building collaborative cultures and distributing leadership”. An associated action might be “help develop clarity about goals and roles related to collaborative work”.

The appraisee should also reflect on which of the personal leadership resources (PLRs) from the OLF would be helpful in enacting the identified practices. For example if the appraisee identifies “building trusting relationships with and among staff, students and parents” as a key practice in his or her performance plan, he or she might also focus on developing some of the social resources, such as perceiving emotions and managing emotions.

The appraiser may choose to use *Ideas Into Action: Engaging in Courageous Conversations* (Ontario Ministry of Education, Winter 2010) to guide the discussion. (See www.ontario.ca/eduleadership for additional resources.)

2.3.2.3 Leadership Practices and Competencies

As part of the Performance Plan, the appraisee will need to select the key leadership practices and competencies (Appendix A) that will help the appraisee achieve the goals he or she has identified as the focus of his or her actions. In addition, if the appraisee believes that he or she will need more growth in these areas, these practices and competencies should be included in the Annual Growth Plan (see section 2.4, “The Annual Growth Plan”). The appraiser may want to have a discussion with the appraisee in order to provide suggestions for ways in which the appraisee can further build capacity in the identified leadership practices and competencies.

2.3.2.4 Methods and Indicators

Methods are the ways in which the achievement of a principal/vice-principal's goals will be measured in an evaluation year. These methods must include the use of indicators of success that provide evidence of whether or not goals have been achieved. The indicators should be observable and measurable and should be both qualitative and quantitative. The principal/vice-principal will need to collect baseline data as he or she develops goals and begins to implement strategies and actions in order to have a basis for measuring achievement once a strategy has been carried out. For example, if a strategy of daily writing is implemented to improve student writing skills, then a method could be gathering writing samples and an indicator would be the improvement in the overall quality of student writing samples over the course of the year.

A broad spectrum of qualitative and quantitative methods and indicators can be considered for measuring the attainment of goals in the Performance Plan.

Examples include the following:

- ◆ credit accumulation
- ◆ graduation rates
- ◆ pass rates
- ◆ enrolment in courses
- ◆ safe school indicators – suspension/attendance data
- ◆ survey results
- ◆ PM Benchmarks
- ◆ Developmental Reading Assessment (DRA) scores
- ◆ Comprehension, Attitude, Strategies, Interest (CASI) data
- ◆ Early Development Intervention (EDI) data
- ◆ report card results
- ◆ student feedback/comments
- ◆ self-assessment results
- ◆ pre- and post-test results for specific student performance objectives

“Using data is not separate from planning and from routine decisions in schools. Instead, data are a necessary part of an ongoing process of analysis, insight, new learning and changes in practice.”

(Earl, 2005, p. 8)

- ◆ results of focus on subgroups (e.g., boys, students with special education needs)
- ◆ findings from parent focus group
- ◆ behaviour tracking results
- ◆ office referral data (e.g., absenteeism, bullying)

Professional dialogue between appraiser and appraisee about appropriate methods and indicators that are aligned with the goals will be helpful to the appraisee in determining effective actions and strategies for achieving the stated goals.

2.3.2.5 Results

The results section of the Performance Plan is to be completed by the appraisee near the end of the appraisal process – that is, before the third appraisal meeting takes place. Results show what actually happened in relation to the goals that were set earlier. The results section should include specific, measurable data. Results will be discussed at the third appraisal meeting. The discussion is a critical component of the appraisal process because it promotes professional dialogue, reflective thinking, collaboration, and a supportive environment for the appraisee.

Effective Practice

The performance appraisal model should be lodged in the larger context of school and board improvement, which is focused on improving student learning and well-being. Appraisees are encouraged to provide additional contextual material to explain the achievement or lack of achievement of goals; for example, the appraisee may identify barriers or challenges that were encountered during implementation and suggest how they may be addressed through further training or through different effective strategies and/or a longer time frame to implement changes.

2.4

The Annual Growth Plan

2.4.1

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 him or 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.

2.4.2

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 (Appendix A) that will be the focus for that year. The Annual Growth Plan template provided in this manual is not a mandatory form. Boards may develop their own templates as long as they meet the requirements of O. Reg. 234/10.

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.

“District leaders who create conditions supportive of principals’ work (e.g., meaningful professional development opportunities for both teachers and principals) build widespread, shared beliefs among their school leader colleagues about both the authenticity and feasibility of their strategic district goals. These collective beliefs hold the promise of nurturing collaborative leadership work across districts in networked efforts to improve the quality of teaching and learning in all schools.”

(Leithwood, 2008a, p. 4)

In the development of the Annual Growth Plan, the appraisee must include:

- ❑ the leadership practices and competencies (Appendix A) that will be the focus of his or her professional growth for that year;
- ❑ the professional growth activities that the principal/vice-principal will undertake to assist him or her in developing the leadership practices and competencies (Appendix A);
- ❑ the professional growth activities that will assist him or her in attaining the goals identified in the Performance Plan in an evaluation year.

The board will ensure that every principal/vice-principal, in consultation with the supervisory officer/principal, reviews and updates, as necessary, the Annual Growth Plan taking into account the Annual Growth Plan from the previous year and the learning and growth over the previous year as well as the summative report of the principal/vice-principal's most recent performance appraisal. The appraisee and appraiser must each sign the Annual Growth Plan and each retain a copy.

The appraisee may also consider how he or she might develop selected personal leadership resources (PLRs) to better support the enactment of the practices.

The appraisee may also identify more general areas for growth that are of interest to him or her (see Appendix C: Annual Growth Plan Working Template).

In an evaluation year, the consultation around the Annual Growth Plan must take place as part of the first and third appraisal meetings (refer to section 2.5.2, "Requirements"). In a non-evaluation year, the appraiser and appraisee must meet if either of them requests it.

Effective Practice

A growth-focused appraisal process that emphasizes professional dialogue and collaboration can help foster the relationship building that is essential to leadership development. It is especially important to see the appraisal process as an effective way of supporting experienced principals and vice-principals, as well as helping new principals and vice-principals develop into confident and proficient school leaders.

Both the board and the principal or vice-principal have responsibility for ensuring that professional growth is continuous. The organization considers how it can provide the means for the principal or vice-principal to use his or her personal leadership resources (PLRs) to enact the leadership practices most effectively and how it can assist principals and vice-principals in allocating time to the most important priorities. Since research indicates that school and system leaders draw upon their PLRs to enact the leadership practices effectively, the organization may also want to consider how best to develop the PLRs of its leaders.

There may be a need and/or desire to update the Annual Growth Plan during the appraisal year as a result of the appraisee's ongoing dialogue with the appraiser or as a result of the progress made in achieving the goals indicated in the Performance Plan. Revisions to the Annual Growth Plan at this point should reflect the outcome of this discussion and set the stage for the continuing growth of the appraisee for the rest of the school year.

Effective Practice

The personal leadership resources (PLRs) described in the OLF are key to the growth-focused appraisal process. Research shows that the PLRs are what leaders draw on in order to effectively enact the leadership practices laid out in the framework. Given this link, it is important for both the appraiser and the appraisee to consider the appraisee's use of the PLRs. There are multiple occasions, such as during reflection by the appraisee and conversations between the appraisee and appraiser, when taking the PLRs into account could be helpful.

For example, as the appraisee reflects on the success of the strategies in his or her performance plan, analysing the use of the PLRs might help to explain results. When the principal has successfully built a shared vision for a change in instructional practice, she might realize upon reflection that this positive outcome might be partially due to the skill she has shown in perceiving and managing emotions (social resources) associated with asking teachers to make a difficult change. When the appraiser and a vice-principal appraisee are discussing challenges that the vice-principal has faced in stimulating growth in the professional capacities of staff, they might explore whether the vice-principal has approached the challenge with self-efficacy and resilience (psychological resources) and how the approach may have affected the outcome. As the appraisee considers what leadership practices or competencies (Appendix A) he will focus on in the Annual Growth Plan, his thoughts and feedback from the appraiser about his PLRs could influence the professional learning opportunities that he might choose to pursue. A newly appointed principal or vice-principal might have discussions with a mentor about how to enhance the attributes described in the PLRs.

2.4.2.1 The Annual Growth Plan in Non-Evaluation Years

The appraiser and appraisee must both sign the appraisee's Annual Growth Plan in non-evaluation years, and retain a copy for their records. If either of them requests it, the appraiser and appraisee must meet to discuss the appraisee's progress and to update activities and supports for the following year.

2.4.3

The Annual Growth Plan and the Mentee Learning Plan

The *Board Leadership Development Strategy Manual, 2012* provides ideas for additional support for those who are new to the role.

Mentees may use their Annual Growth Plan as a basis for informing their mentee learning plan, which could include any form of documentation that supports the learning that takes place through mentoring (e.g., learning logs, a learning plan). The mentee learning plan, within the context of mentoring, remains confidential between the mentor and the mentee and is not signed by the supervisor.

The strengths and areas of professional growth and development identified for the principal/vice-principal through the appraisal process, and in particular as outlined in the Annual Growth Plan, can help guide and provide a focus for the mentoring process.

Effective Practice

Principals/vice-principals in their second year in the role are developing their second Annual Growth Plan and their first Performance Plan. If the Performance Plan includes a strategy that requires the collection and analysis of student achievement data, the Annual Growth Plan may reference a need for support in acquiring competency in relevant practices and associated actions identified in the OLF domain “Improving the Instructional Program” – for example, “incorporate the explicit use of data when making decisions that relate to student learning and school improvement”. As a growth strategy, the appraisee might request the opportunity to attend a training session on data analysis to further develop in this area in order to successfully carry out the planned activity (see Appendix C: Annual Growth Plan Working Template). In conversations with the mentor, he or she may also discuss the challenges around needing to “consider staff members’ opinions when initiating actions that affect their work” (in this case, increased use of data) and how developing the social PLRs might help with these challenges.

2.5

Appraisal Meetings

2.5.1

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 he or she needs, 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.

Effective Practice

Meetings between appraiser and appraisee should be mutually scheduled. Ideally, these formal meetings are supplemented by ongoing dialogue between principals, vice-principals, and supervisory officers. Either the appraiser or the appraisee can request additional meetings, and these requests should be honoured by both parties wherever possible.

The appraiser, in the context of this professional dialogue, should inform the appraisee of the factors that will be taken into consideration when determining a performance rating (as described in section 2.7.2.1, “Determining the Rating”).

2.5.2

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.

“Taken as a whole, this evidence indicates that school leaders not only need to provide fairly direct assistance to the instructional improvement efforts of their staff, they also need to build organizational contexts which support and enable such efforts.”

(Leithwood, 2012, p. 7)

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 (refer to section 1.8, “Suggested Annual Timeline and Calendar”, and section 2.4, “The Annual Growth Plan”).

Effective Practice

Professional dialogue and collaboration are a critical part of the appraisal process and an essential part of a healthy school and board culture. The performance appraisal process provides a model to assess principals’ and vice-principals’ performance, related to the achievement of pre-determined goals, in which both the appraiser (supervisory officer or principal) and appraisee (principal or vice-principal) take an active role. This includes the engagement of principals, vice-principals, and supervisory officers in professional dialogue that deepens their understanding of the leadership practices and personal leadership resources of effective leaders as described in the OLF.

Opportunities such as formal mentor training can support supervisory officers, principals, and vice-principals in the acquisition of skills that would complement their role as leaders and increase their understanding of effective practices.

2.6 The Summative Report

2.6.1 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 leadership practices and competencies (see Appendix A), and personal leadership resources 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 (see Appendix D: Summative Report Form for Principals and Vice-Principals).

Effective Practice

Prior to the discussions surrounding the summative report, the appraiser should give consideration to the way in which he or she will share his or her observations with regard to the progress the appraisee has made in achieving the goals as stated in the Performance Plan. It is important that the appraiser, in maintaining the trusting relationship with the appraisee, focus the meeting in a positive way and be sensitive to the impact that the report will have on the appraisee. For further ideas on giving or receiving feedback, see the Principal/Vice-Principal Performance Appraisal Tip Sheet: Receiving and Giving Effective Feedback, available on the Ministry of Education's website, at www.ontario.ca/eduleadership.

2.6.2 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 (refer to Appendix D: Summative Report Form for Principals and Vice-Principals).

The appraisee may include comments on the Summative Report Form if he or she wishes.

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).

Effective Practice

The summative report is an important tool for providing feedback to the appraisee in a manner that motivates him or her to achieve a higher level of performance. It is important that the appraiser's comments focus on strengths and areas for growth, be thoughtful, reflect and promote effective practices, and draw on examples of the principal's/vice-principal's performance. The quality of the appraiser's comments in the summative report provide direction to the appraisee for the evaluation year and in the intervening years between appraisals as he or she reflects upon his or her practice and develops his or her Annual Growth Plan each year. The comments should set a high standard for professional growth and development to support the appraisee in achieving his or her personal growth goals.

2.6.3 Additional Comments on Leadership Practices and Competencies Related to the Performance Plan

As part of the summative report the appraiser must comment on the leadership practices and competencies (Appendix A) that are specifically relevant to the implementation of the goals in the Performance Plan, those that contributed strongly to the success of the plan, and those that could be strengthened for future success.

It is important to note that the leadership practices and competencies (Appendix A) should not be used as a “checklist” when assessing the performance of the appraisee.

2.7 Performance Rating and Subsequent Procedures

2.7.1 Purpose

To provide feedback for growth, the overall assessment includes a rating of the principal's/vice-principal's performance based on the results of the appraisal. This rating determines whether the principal/vice-principal will continue to work with an Annual Growth Plan (in the case of a *Satisfactory* rating) or will supplement the Annual Growth Plan with an Improvement Plan (in the case of an *Unsatisfactory* rating; see Appendix E: Improvement Plan Working Template).

2.7.2 Requirements

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 in section 2.7.2.1, “Determining the Rating”.

2.7.2.1 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

Effective Practice

In determining a rating, it is important that the appraiser look at the Performance Plan holistically while considering circumstances that may have had an impact on the goals set out in the Performance Plan.

The process following a rating should be implemented in the spirit of respect and collaboration and with the firm belief that the appraisee has the ability to grow and develop professionally.

When providing feedback to appraisees regarding their performance, appraisers should also clearly inform appraisees of their strengths and potential areas of growth, as well as the supports available to them.

2.7.2.2 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 (see section 2.7.2.3, “Procedural Requirements Following an *Unsatisfactory* Rating”).

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. (See section 2.6, “The Summative Report”.)

2.7.2.3 Procedural Requirements Following an *Unsatisfactory* Rating

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 his or her performance within a given period.

Effective Practice

The appraisal process, including the procedures following an *Unsatisfactory* rating, is focused on principal/vice-principal growth and development and provides opportunities for the appraisee to meet with his or her appraiser to discuss supports. These conversations may include principal association representatives or other colleagues who can provide both advice and supports.

Within 15 school days of the appraisee receiving the summative report stating that he or she 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 his or her performance;
- ◆ explain what is expected of the appraisee in areas in which his or her performance is lacking;

- ◆ seek input from the appraisee as to what steps and actions could help him or her to improve his or her performance, and the timelines for carrying out the steps and actions;
- ◆ prepare a written Improvement Plan for the appraisee, setting out steps and actions that the appraisee should take to improve his or her performance and the timelines for carrying out the steps and actions, taking into account input from the appraisee (refer to Appendix E: Improvement Plan Working Template);
- ◆ 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 (refer to section 1.7, “The Appraisal Process at a Glance”).

Effective Practice

Before preparing the Improvement Plan in the case of a first *Unsatisfactory* appraisal rating, the appraiser may consult with the appropriate supervisory officer or, in the case of a principal, the director or director designate. In the case of a second *Unsatisfactory* appraisal rating, this consultation is required.

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 (refer to section 1.7, “The Appraisal Process at a Glance”). 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 (refer to section 2.7.2, “Requirements”).

In exercising his or 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 his or her 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 2.7.2.2, “Procedural Requirements Following a Summative Report”.

Second Unsatisfactory appraisal rating

Within 15 school days of the appraisee receiving the summative report stating that he or she 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 his or her performance;
- ◆ explain to the appraisee what is expected of the appraisee in areas in which his or her performance is lacking;
- ◆ explain to the appraisee the ways, if any, in which his or her performance has changed since the previous performance appraisal;
- ◆ seek input from the appraisee as to what steps and actions could help the appraisee improve his or her 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 he or she should take to improve his or her performance and the timelines for carrying out the steps and actions, taking into account input from the appraisee (refer to Appendix E: Improvement Plan Working Template);

- ◆ 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, and 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.

Effective Practice

Some boards have found it an effective practice to have an alternative appraiser at this point. In the case of a vice-principal, a supervisory officer may perform the third appraisal.

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 (refer to section 1.7, “The Appraisal Process at a Glance”). 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 or she is on review status. If necessary, however, this timeline may be adjusted by mutual agreement of the appraiser and the appraisee (refer to section 2.7.2, “Requirements”).

In exercising his or her 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 his or her 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 he or she is 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 his or her 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.

2.7.2.4 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 2.7.2.2, “Procedural Requirements Following a Summative Report”.

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 his or her 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.

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 on in conducting the performance appraisals, the board will make a determination regarding the rating. The board may confirm that the principal’s/vice-principal’s performance was unsatisfactory, and that he or she should be reassigned to other duties or have his or her employment terminated, or that other appropriate actions should be taken. However, the board may instead determine that the principal’s/vice-principal’s performance was satisfactory, in which case he or she would remain in the position that he or she had at the time of the most recent performance appraisal.

The board must comply with any applicable board policies and procedures in making decisions, including those set out in the board’s terms and conditions for the employment of their principals/vice-principals (as per Policy/Program Memorandum 152, specifically with regard to “procedures for discipline, demotion, suspension, and termination for just cause”).

Submission to the board of trustees

A board must not terminate the employment of a principal or 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.

2.8 Record Keeping and Documentation

2.8.1 Purpose

The documentation requirements of the performance appraisal process for principals/vice-principals set out in this section ensure the availability of written records for appraisees and appraisers to refer to when pursuing and monitoring steps for improvement. They also facilitate timely and accountable communications about the status of principal/vice-principal performance appraisals within and between boards in the province.

2.8.2 Requirements

Record keeping

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 appraisal as indicated on the ministry-approved Summative Report Form relating to the appraisal. A copy of the principal/vice-principal Summative Report Form, 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 relating to each performance appraisal.

Exchange of information between schools and boards

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:

- ◆ 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
- ◆ 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
- ◆ 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

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.

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

Appendices:

Tools and Information

3

In the future, additional resources and supports will be updated and posted on the Ministry of Education's website, at www.ontario.ca/eduleadership.

Appendix

A Leadership Competencies

The leadership competencies below have been derived from leadership practices identified in the OLF. Appraisees are to identify the leadership competencies that will assist them in achieving the goals they have chosen for their Performance Plan. They may also find the competencies helpful when working towards the goals in their Annual Growth Plan.

There are five domains of competency, aligned with the five domains of the OLF.

1. **The principal/vice-principal demonstrates competency in setting directions for the school.** This includes demonstrating knowledge about how to build a shared vision for the school, identify specific, shared short-term goals, create high expectations, and communicate the vision and goals. It also includes demonstrating skills in engaging others, building consensus, and communicating effectively.
2. **The principal/vice-principal demonstrates competency in building relationships and developing people.** This includes demonstrating knowledge about how to provide support for staff; build capacity in staff; build relationships with staff, students, and parents; and establish productive

relationships with teacher federation representatives. It also includes demonstrating skills in modelling the school's values and practices, meeting staff needs, treating staff equitably, leading discussions about effective practice, showing respect, building respect among others, and encouraging collaboration among staff.

3. **The principal/vice-principal demonstrates competency in developing the organization to support desired practices.** This includes demonstrating knowledge about how to build collaborative cultures and distribute leadership functions, structure the organization to facilitate collaboration, build productive relationships with families and community, connect the school to the wider environment, maintain a safe and healthy environment, and allocate resources in support of the school's vision and goals. It also includes demonstrating skills in fostering open communication, building trust and mutual respect, engaging staff in decision making, resolving conflict effectively, managing and providing stewardship of resources, promoting positive school climate, making connections outside the school, and making parents feel welcomed, valued, and respected.
4. **The principal/vice-principal demonstrates competency in improving the instructional program.** This includes demonstrating knowledge about how to staff the program, provide instructional support, monitor progress in student learning, and buffer staff from distractions. It also includes demonstrating skills in recruiting, selecting, and retaining staff with the capacity to carry out school goals; overseeing and coordinating the instructional program; providing effective feedback to teachers about their teaching; fostering staff understanding about the importance of data about student learning; and collaborating with staff to collect and use data effectively to make decisions about school improvement.
5. **The principal/vice-principal demonstrates competency in securing accountability.** This includes demonstrating knowledge about how to build staff members' sense of internal accountability and the ability to meet the demands of external accountability. It also includes demonstrating skills such as building collective responsibility among staff for student achievement and well-being, assessing personal contributions to school improvement, and taking into account feedback from others. As well, it includes demonstrating skills in aligning school targets with board and provincial goals, providing an accurate account of the school's performance to all stakeholders (board, ministry, parents and community), and managing the school to work effectively within legal requirements.

B Performance Plan Working Template

The Performance Plan template provided in this manual is not a mandatory form. Boards can create their own templates as long as they meet the requirements of O. Reg. 234/10.

Instructions for completing the Performance Plan

- ◆ The first five sections of the Performance Plan (school and community characteristics and circumstances, principal's/vice-principal's goals, strategies/actions, leadership practices and competencies (Appendix A), and methods and indicators) will be completed at the beginning of the evaluation year by the appraisee in consultation with the appraiser.
- ◆ The sixth section, results, will be completed by the appraisee at the end of the appraisal process prior to the third appraisal meeting.

Goals

- ◆ The appraisee develops goals to improve student achievement and well-being, taking into account the board's improvement plan, the school improvement plan, and provincial education priorities; the school and local community context and personal development goals; and the leadership practices given in the OLF and the competencies derived from it (see Appendix A: Leadership Competencies).
- ◆ Goals should be attainable within the evaluation year.

Strategies/Actions

- ◆ Actions (including strategies to be implemented) are intended to articulate what the principal/vice-principal will do during the evaluation year to achieve stated goals. These actions are commitments made by the appraisee for which the appraisee will be held accountable.
- ◆ Actions should be structured to be carried out within the appraisal year.
- ◆ In determining the actions and related strategies, the appraisee will consider the leadership practices and competencies (Appendix A) necessary to be an effective principal or vice-principal and the leadership practices known to have a positive impact on student achievement and well-being.

Leadership practices and competencies

- ◆ The appraisee selects leadership practices and competencies (Appendix A) that closely align with and support the goals.

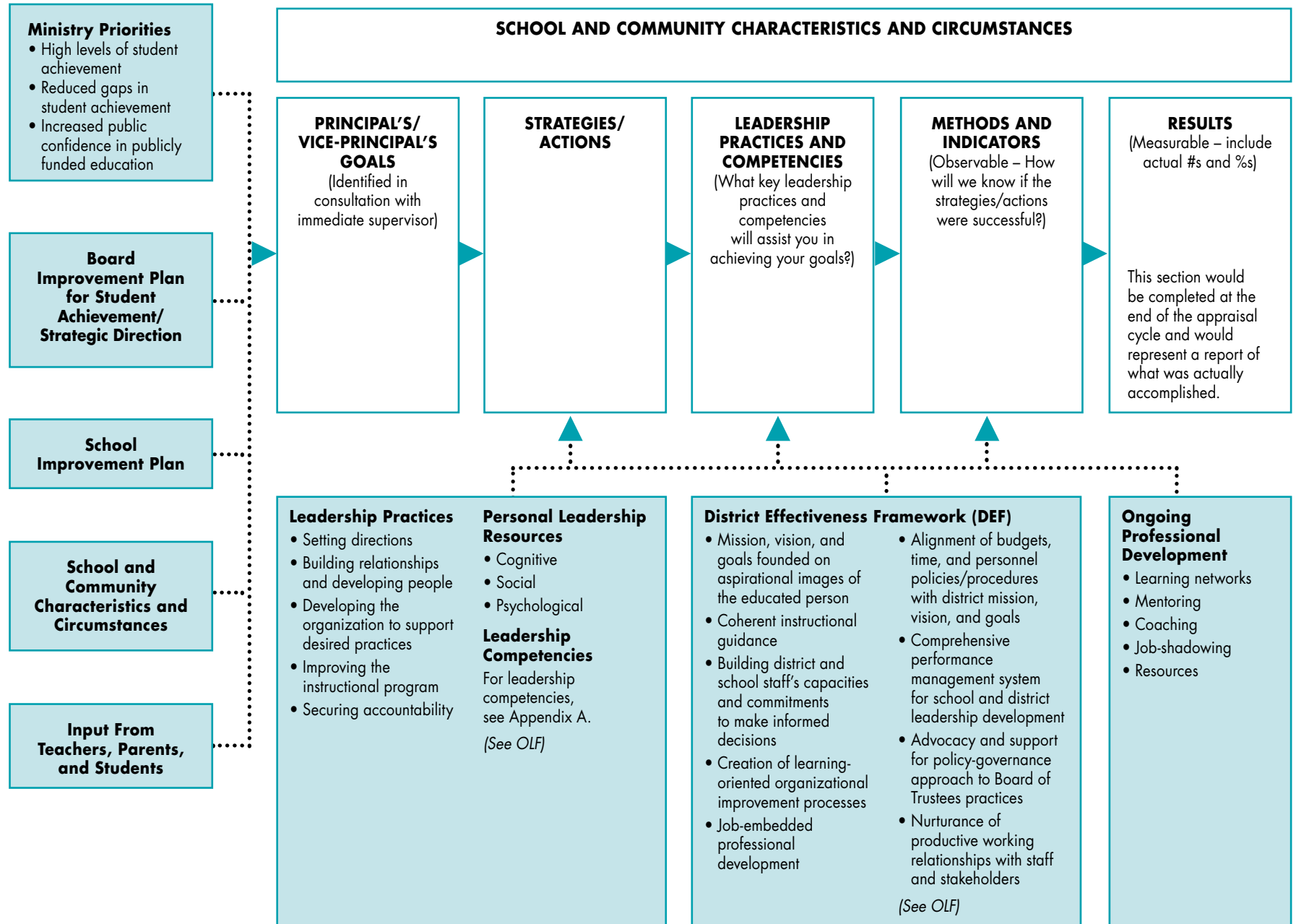
Methods and indicators

- ◆ Methods are the ways in which the achievement of a principal's/vice-principal's goals will be measured in an evaluation year. These methods must include indicators of success that provide evidence of whether or not goals have been achieved.
- ◆ The indicators should be observable and measurable and should be both qualitative and quantitative.
- ◆ The principal/vice-principal will need to incorporate the collection of baseline data into the development of goals and the early stages of implementation of strategies and actions in order to create a basis for measurement of achievement once a strategy has been carried out.

Results

- ◆ The results section includes specific, measurable data that demonstrates what actually happened in relation to the goals set.

Performance Plan Working Template



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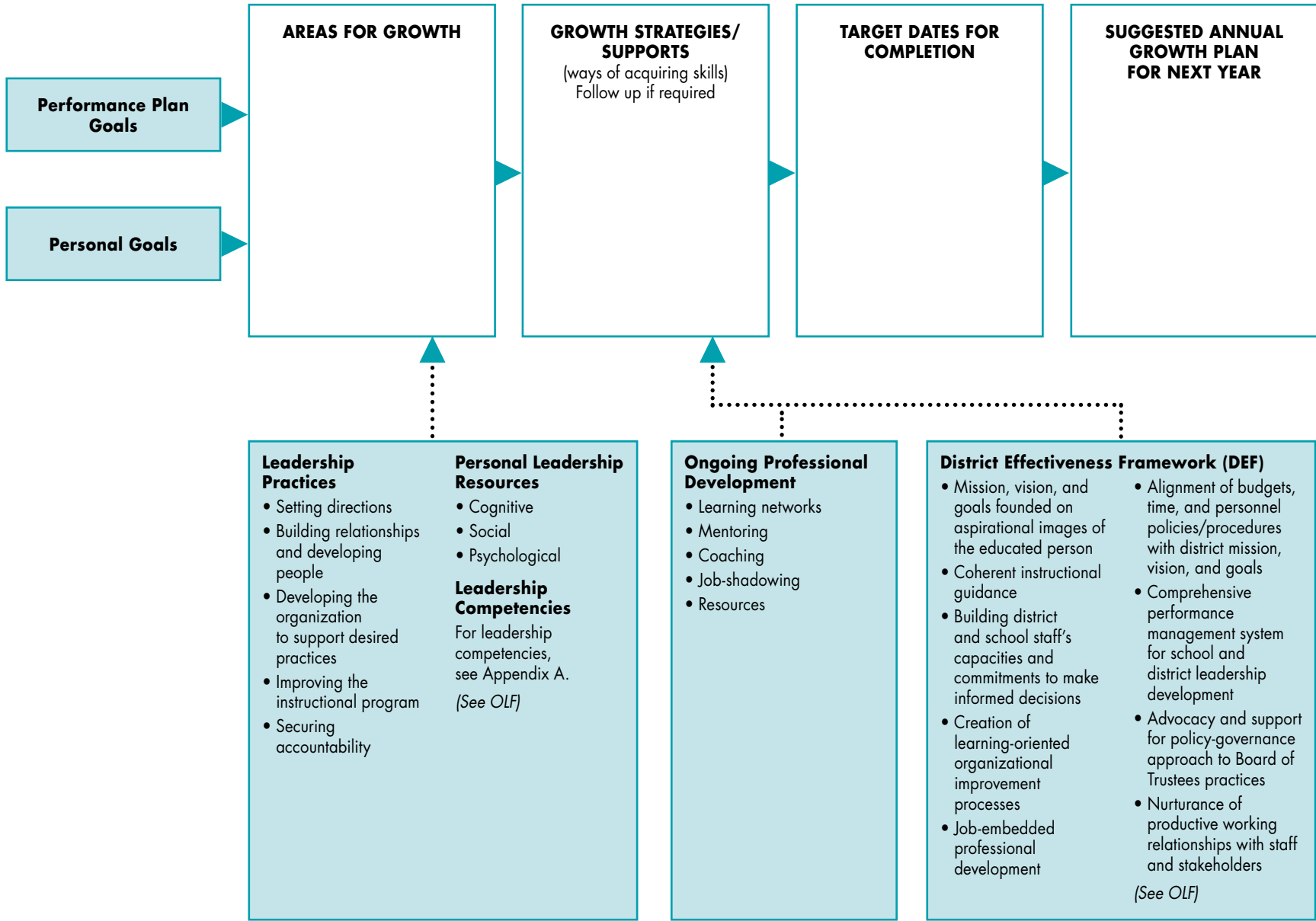
Annual Growth Plan Working Template

The Annual Growth Plan template provided in this manual is not a mandatory form. Boards can create their own templates as long as they meet the requirements of O. Reg. 234/10.

Instructions for completing the Annual Growth Plan

- ◆ The principal's/vice-principal's Annual Growth Plan includes any developmental activities the principal/vice-principal undertakes, as well as any supports/resources agreed upon to support the implementation of the Performance Plan.
- ◆ The focus of the Annual Growth Plan is the development of the leadership practices in the OLF and the competencies derived from it (see Appendix A: Leadership Competencies).
- ◆ The areas for growth, growth strategies/supports, and target dates support the goals of the Performance Plan (including the strategies/actions identified for achieving those goals).
- ◆ The suggested growth plan will be reviewed and updated at the third appraisal meeting.
- ◆ The appraiser and appraisee must both sign the appraisee's Annual Growth Plan, in both evaluation and non-evaluation years, and retain a copy for their records.
- ◆ In non-evaluation years, the development of the Annual Growth Plan will take into account the growth over the past year, the last Annual Growth Plan, and the last summative report (if applicable).

Annual Growth Plan Working Template



Leadership Practices

- Setting directions
- Building relationships and developing people
- Developing the organization to support desired practices
- Improving the instructional program
- Securing accountability

Personal Leadership Resources

- Cognitive
- Social
- Psychological

Leadership Competencies

For leadership competencies, see Appendix A. (See OLF)

Ongoing Professional Development

- Learning networks
- Mentoring
- Coaching
- Job-shadowing
- Resources

District Effectiveness Framework (DEF)

- Mission, vision, and goals founded on aspirational images of the educated person
- Coherent instructional guidance
- Building district and school staff's capacities and commitments to make informed decisions
- Creation of learning-oriented organizational improvement processes
- Job-embedded professional development
- Alignment of budgets, time, and personnel policies/procedures with district mission, vision, and goals
- Comprehensive performance management system for school and district leadership development
- Advocacy and support for policy-governance approach to Board of Trustees practices
- Nurturance of productive working relationships with staff and stakeholders

(See OLF)

D

Summative Report Form for Principals and Vice-Principals

The Summative Report Form for Principals and Vice-Principals in this manual is a ministry-approved form that is in accordance with O. Reg. 234/10.

Instructions for completing the Summative Report Form

- ◆ The appraisee completes the results section of the Performance Plan and submits it to the appraiser along with the Annual Growth Plan.
- ◆ The appraiser must attach a copy of the Performance Plan and the Annual Growth Plan to the summative report.
- ◆ The summative report is completed by the appraiser after a review of the results of the Performance Plan and factors outlined in 2.7.2.1, “Determining the Rating”.
- ◆ The appraiser must determine a rating, *Satisfactory* or *Unsatisfactory*, and provide an explanation for the rating.
- ◆ The appraiser must sign the form.
- ◆ The appraiser must ensure that the appraisee receives a copy of the summative report within 15 school days of the third appraisal meeting.
- ◆ The appraisee may add comments if he or she wishes.
- ◆ The appraisee must sign the Summative Report Form, indicating receipt of the report, and give a copy to the appraiser within 10 school days of receiving the report.
- ◆ The appraisee or the appraiser may request a meeting to discuss the performance appraisal within 10 school days of the appraisee’s receiving a copy of the summative report.
- ◆ 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 by the board.

Summative Report Form for Principals and Vice-Principals (Approved Form)

Appraisee

Position (circle one): Principal Vice-Principal

Last Name

First Name

--	--

Appraiser

Position (circle one): Supervisory Officer Principal

Last Name

First Name

--	--

Name of School

Name of Board

--	--

Appraisal Year

--

Leadership practices and competencies from the Performance Plan that have contributed strongly to the principal's/vice-principal's overall performance:

--

Leadership 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

E Improvement Plan Working Template

The Improvement Plan Working Template provided in this manual is not a mandatory form. Boards can create their own templates as long as they meet the requirements of O. Reg. 234/10.

Instructions for completing the Improvement Plan

Instructions to the Supervisory Officer/Principal (appraiser)

- ◆ The appraiser will identify for each aspect of the Performance Plan (see section 2.3.2, “Requirements”) what the appraisee did that was ineffective or unsuccessful that led to the *Unsatisfactory* rating. For those aspects where there are no concerns, the appraiser can write “not applicable”. The appraiser will also indicate the leadership practices and competencies (Appendix A) from the Performance Plan that need attention.
- ◆ The appraiser will consult with the appraisee to establish the developmental activities the principal/vice-principal will undertake, as well as any supports/resources agreed upon to support the implementation of the Improvement Plan (e.g., supports could include the provision of professional learning, access to counselling, visiting other schools).
- ◆ The appraiser will consult with the appraisee to establish the timelines for when the appraisee will complete each action. When deciding on timelines, the appraiser will consider what is reasonable in consideration of the steps and indicators expected.
- ◆ The appraiser and appraisee must both sign the appraisee’s Improvement Plan and retain a copy for their records.

Improvement Plan Working Template

Appraisee

Position (circle one): Principal Vice-Principal

Last Name

First Name

--	--

Appraiser

Position (circle one): Supervisory Officer Principal

Last Name

First Name

--	--

Name of School

Name of Board

--	--

Appraisal Year

--

Element of Criteria for Rating (as per the criteria from section 2.7.2.1, "Determining the Rating")	Explanation of Concern	Practices (from the OLF) and Competencies (from Appendix A) Needing Attention	Steps 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 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					

(continued)

Element of Criteria for Rating (as per the criteria from section 2.7.2.1, "Determining the Rating")	Explanation of Concern	Practices (from the OLF) and Competencies (from Appendix A) Needing Attention	Steps 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 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, with respect to carrying out the 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

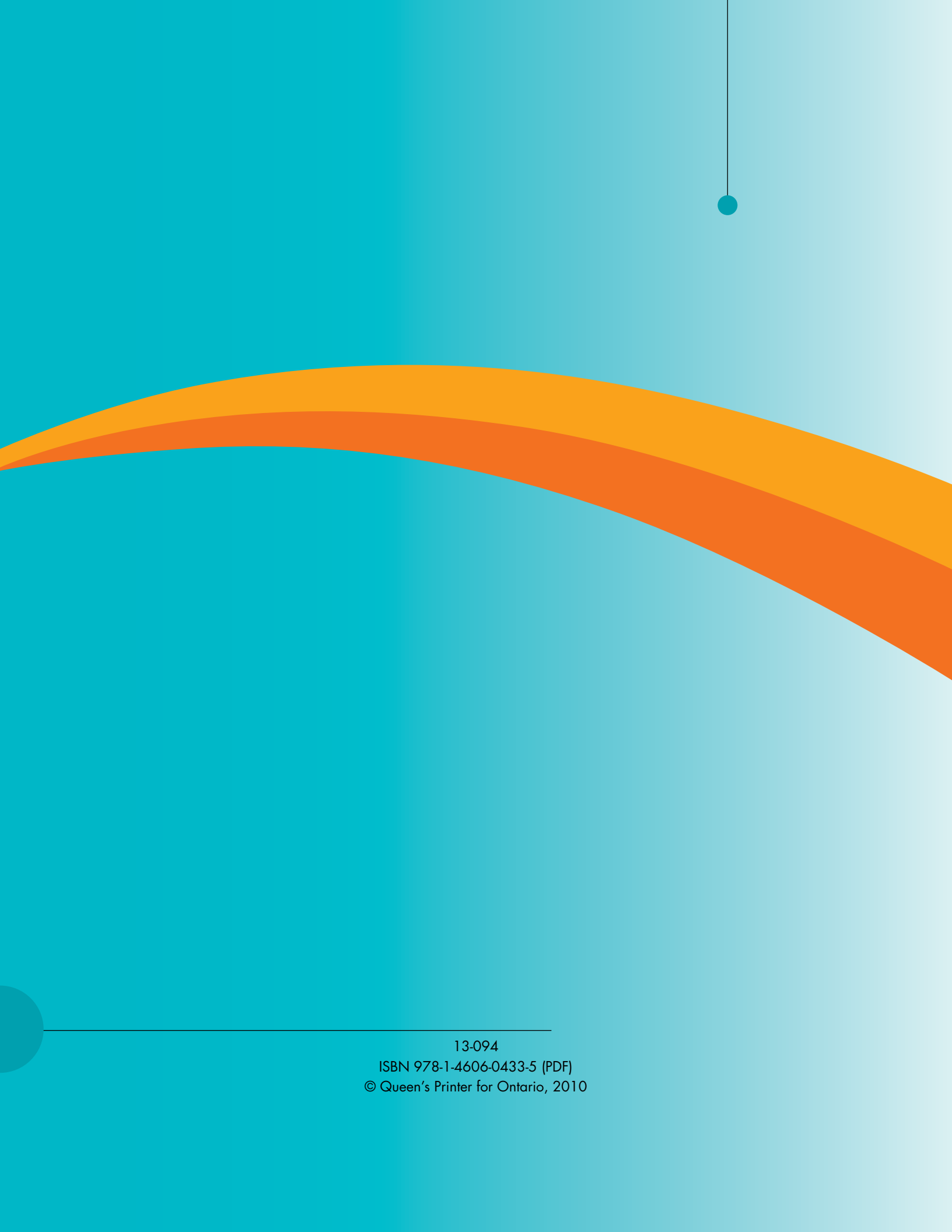
Date

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