



reach every student  
appuyer chaque élève



***Principal / Vice-Principal  
Performance Appraisal***

---

***GUIDELINE FOR BOARD  
IMPLEMENTATION  
Version 3, August 2009***

This guideline is provided for school boards who are implementing the provincial Principal/Vice-Principal Performance Appraisal model during the 2009-10 school year.

---

**Ministry of Education  
Province of Ontario  
2009/2010**



*The progress and success of all students in Ontario schools is contingent upon the cooperation and mutual support of school and system leaders.*

*In order to embrace the dynamic needs of the learners in our schools, innovation and a willingness to work together is paramount. This is the basis for the Ontario Leadership Strategy and the underlying spirit of the principal / vice-principal performance appraisal system.*

*Appraisal attends to the unique needs of principals and vice-principals in their role as school leaders and recognizes the appropriate care, support, and resources required to nurture and be responsible for educating all learners.*

*Collaborating in a spirit of mutual trust and co-operation is a key condition for empowering all members involved in this process. The conditions of respect, value and affirmation are necessary ingredients in promoting excellence amongst our school leaders.*

*The ministry is committed to ensuring that this Principal Performance Appraisal (PPA) guideline is informed by input from key stakeholder groups. A work team of representatives from principal, supervisory officer and director associations provides on-going advice to further develop and implement the PPA model across the province.*

# CONTENTS

## I INTRODUCTION

- 1.1 Background: Leadership in Ontario Schools
- 1.2 About Principal / Vice-Principal Performance Appraisal
- 1.3 The Process At-A-Glance
- 1.4 Suggested Timeline and Calendar
- 1.5 Roles and Responsibilities
- 1.6 Using This Guideline

## 2 IMPLEMENTATION: REFERENCE GUIDE

- 2.1 Roles and Responsibilities
- 2.2 Scheduling Requirements
- 2.3 The Performance Plan
- 2.4 The Annual Growth Plan
- 2.5 Appraisal Meetings
- 2.6 The Summative Report
- 2.7 The Rating Scale
- 2.8 Record Keeping and Documentation

## 3 RESOURCES: TOOLS AND INFORMATION

- 3.1 Ontario Leadership Strategy
- 3.2 Ontario Leadership Framework for Principal and Vice-Principals
- 3.3 Performance Plan Working Template and Samples
- 3.4 Annual Growth Plan Working Template and Sample
- 3.5 Summative Report Form for Principals and Vice-Principals
- 3.6 Improvement Plan Working Template and Sample
- 3.7 Frequently Asked Questions
- 3.8 Additional Resources

Acknowledgement and References  
Reader Response Form

# **I INTRODUCTION**

- 1.1 Background: Leadership in Ontario Schools
- 1.2 About Principal / Vice-Principal Performance Appraisal
- 1.3 The Process At-A-Glance
- 1.4 Suggested Timeline and Calendar
- 1.5 Roles and Responsibilities
- 1.6 Using This Guideline

## I.1 Background: Leadership in Ontario Schools

Principal/Vice-Principal Performance Appraisal (PPA) is an important component of the Ontario Leadership Strategy (OLS), which was developed to foster leadership of the highest possible quality in schools and school boards across the province.

School leadership matters. Research shows that school leadership is second only to teaching in its impact on student learning. Principals and vice-principals play a critical role in focusing decisions and actions on improving student learning. They set directions, build relationships and develop people, develop the organization, lead the instructional program, and secure accountability. Their effectiveness as leaders is critical to the success and sustainability of system-wide improvement and making our schools centres of excellence.

*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)*

Principals have become increasingly focused on instructional leadership and working collaboratively with teachers. This is largely a result of a broad range of Ministry initiatives, board activities, association support, and the recognition by practitioners themselves that school leaders have a profound impact on supporting student achievement and well being.

In the face of dozens of administrative tasks and day-to-day pressures, it becomes even more critical to support principals and vice-principals in streamlining and focusing efforts, and supporting them to achieve practical goals and targets.

Several tools and supports – including Ontario’s Leadership Framework (OLF), the Core Leadership Capacities, and Principal / Vice-Principal Performance Appraisal – have been developed by and for Ontario educators to support leadership development, refine leadership skills, and put advanced leadership concepts and techniques to work on a daily basis to meet educational targets and achieve concrete results.

**Ontario’s Leadership Framework** identifies effective practices, skills, knowledge, and attitudes of successful educational leaders. The Framework is based on research by world-recognized experts in leadership and extensive consultation with educators across Ontario. The Framework provides a resource for school and system leaders to identify practices and competencies for building expertise in relation to a wide-range of leadership capacities. The Framework is the foundation of the Ontario Leadership Strategy and guides leadership development activities across the province (see Section 3.1 Ontario Leadership Strategy).

**Five Core Leadership Capacities (CLCs)** are derived from the Framework. They have been recognized by research, practitioners, and education partners as being critical areas of leadership required for sustained improvement in student achievement and well-being. Strengthening these capacities requires focussed efforts by all partners of the education system. School and system leaders have different levels of expertise at different stages of their careers related to the five CLCs. They use the Ontario Leadership Framework as a resource to identify practices and competencies that will be their focus for building expertise related to the CLCs. This is a dynamic process. As contexts change and expertise grows, leaders identify new areas for development related to the CLCs. In this way, they continuously improve their practice. The five CLCs are:

1. Setting Goals
2. Aligning Resources with Priorities
3. Promoting Collaborative Learning Cultures
4. Using Data
5. Engaging in Courageous Conversations

**Principal / Vice-Principal Performance Appraisal** is designed to ensure that school leaders are well supported in their development through targeted, system-wide strategies that provide formal and informal opportunities for feedback and ongoing professional learning. Performance appraisal provides structured opportunities for formal feedback and is a useful vehicle in influencing principals’ beliefs about their ability to lead school improvement.

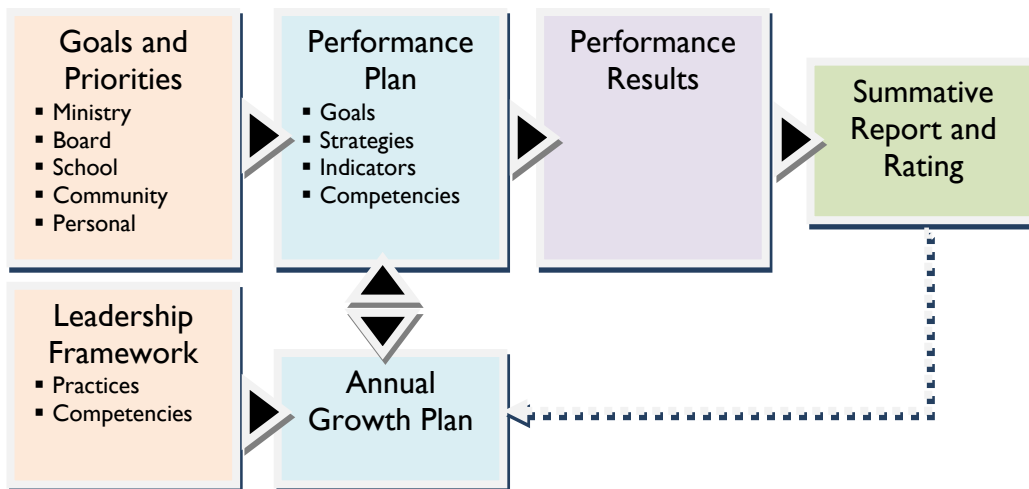
## 1.2 About Principal / Vice-Principal Performance Appraisal

The province-wide principal/vice-principal performance appraisal process described in this guideline 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/vice-principals to have meaningful dialogue with their supervisors about performance, articulate the supports they require to achieve goals and provide opportunities for professional growth. Appraisals also support the mentoring of new leaders by identifying strengths and areas for growth and development thereby focusing mentoring efforts and conversations. Finally, appraisal demonstrates that schools are led by highly qualified and capable professionals.

## 1.3 The Process At-A-Glance

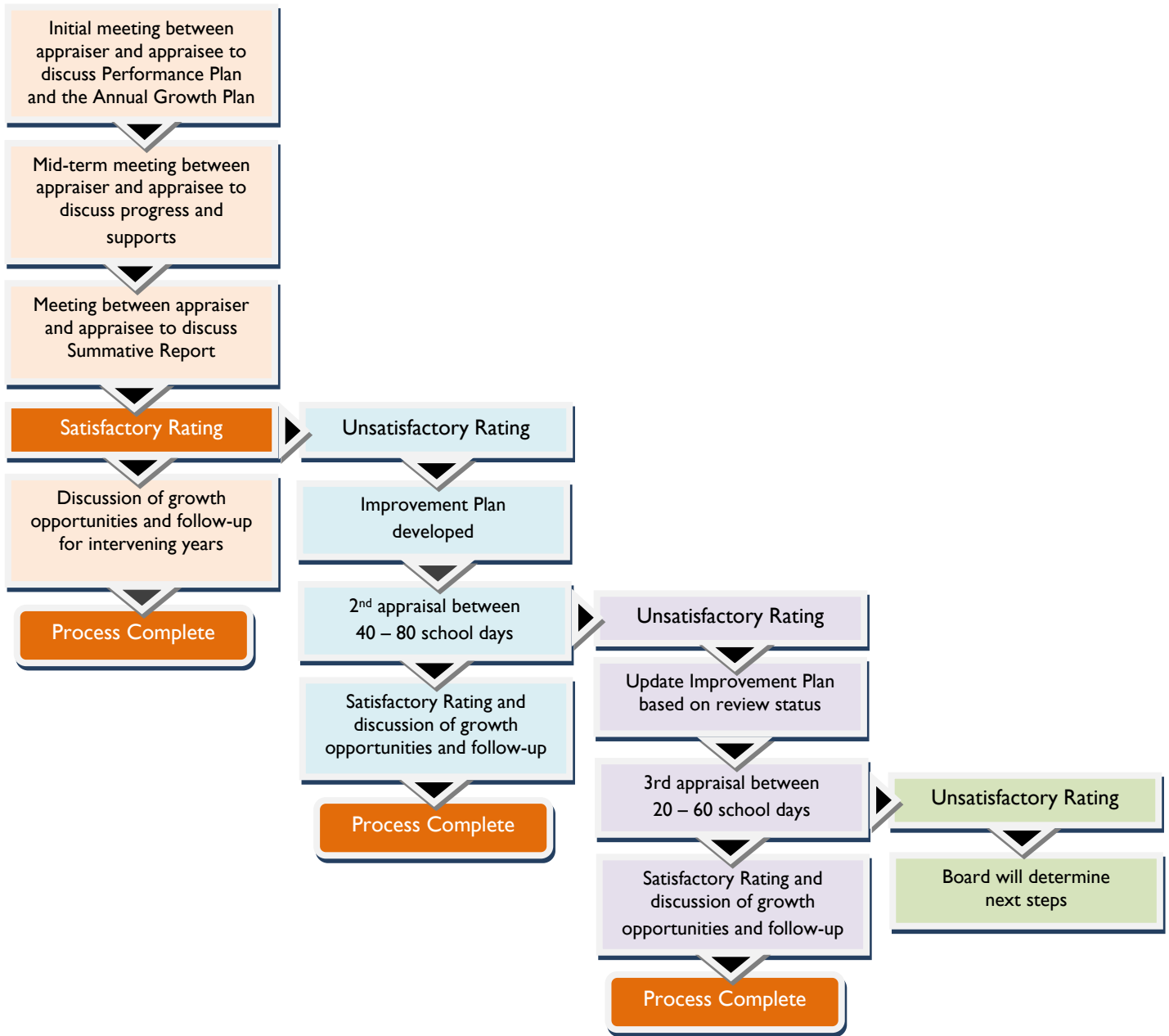
The performance appraisal process for principals and vice-principals is intended to support and promote professional growth and development. When all the components are implemented in a coherent way, linked to school improvement goals and connected to ongoing professional learning, the process becomes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



The key components of the performance appraisal model for principals and vice-principals are: (also refer to diagram for key process steps)

- **Goals and Priorities** which will inform the Performance Plan and Annual Growth Plan and include the goals and priorities of the ministry, the school board, the school improvement plan, school and community context and personal development goals, as well as the practices and competencies described in the Ontario Leadership Framework.
- **Performance Plan** which outlines the goals, strategies, indicators and corresponding competencies developed by the appraisee (principal or vice-principal being appraised) in consultation with appraiser (supervisory officer or principal conducting the appraisal) arising from the school improvement plan, the board's strategic direction, ministry priorities and the appraisee's personal goals, while taking into account school and community context.
- **Annual Growth Plan** which provides a vehicle for the appraisee, in consultation with the appraiser to identify strategies for growth and development based on the Ontario Leadership Framework (OLF) of practices and competencies that describe effective leadership. In addition to the OLF, the five Core Leadership Capacities (described in section 1.1) can further enhance the development of annual growth goals. The Growth Plan supports the implementation of the Performance Plan and is used in the intervening years between appraisals to support ongoing dialogue and growth.
- **Performance results** which take a wide variety of factors into consideration, including:
  - Extent to which the appraisee worked diligently and consistently towards the implementation of strategies identified in the Performance Plan
  - Effectiveness of efforts made to overcome challenges faced in carrying out Performance Plan strategies
  - Effectiveness of efforts to engage others in the delivery of the strategies
  - Actual goals achieved or not achieved
  - Rationale provided by the appraisee for goals not achieved
  - Demonstrated ability and willingness to develop strategies to address goals not achieved.
- **Summative Report** which documents the appraisal process and becomes a vehicle for the principal or vice-principal to reflect on feedback they receive in order to monitor their own growth. The Summative Report should include the completed Performance Plan, comments from the appraiser and appraisee, and a performance rating.
- **Rating scale** which is used to assess the appraisee's overall performance and provide necessary feedback about strengths and areas for growth.
- **Appraisal meetings** which promote professional dialogue between the appraisee and appraiser. The meetings provide opportunities for reflection and collaboration to promote professional growth and development.
- **A process for unsatisfactory performance** which clearly delineates the steps involved after the appraisee has received an *Unsatisfactory* rating.

### Key Process Steps for Principal / Vice-Principal Performance Appraisal



## I.4 Suggested Timeline and Calendar

A differentiated timeframe is suggested for new and experienced school leaders.

Calendar	Newly Appointed Principal/Vice-Principal	Experienced Principal/Vice-Principal in an Evaluation Year
September	<p><b>(Prior to Evaluation Period)</b> Development of Growth Plan in consultation with mentor and supervisor</p>	<p><b>(Prior to Evaluation Period)</b> Development of Performance Plan and Growth Plan</p> <p><b>(Formal Evaluation Period Begins)</b> Formal meeting with appraiser to discuss Performance Plan, including goals for appraisal year, related competencies and Growth Plan</p> <p>Implementation of Performance Plan and Growth Plan ongoing (revisions where necessary). Ongoing discussion with appraiser regarding progress and supports</p>
December/January	Ongoing implementation of Growth Plan, mentoring, informal feedback from supervisor	Formal meeting with appraiser to discuss progress towards goals, indicators of success, challenges, and additional supports that may be required
January - April	Ongoing implementation of Growth Plan, mentoring, informal feedback from supervisor	Ongoing dialogue between appraisee and appraiser regarding progress towards goal (revisions where necessary)
May	<p>Development of Performance Plan and update to Growth Plan</p> <p>Formal meeting with appraiser to discuss Performance Plan, including goals for appraisal year and updated Growth Plan</p>	<p>Formal meeting with appraiser to assess performance results, prepare for Summative Report and performance rating, and to discuss Growth Plan for subsequent years between appraisals</p> <p>Appraiser prepares Summative Report and assigns performance rating</p> <p>Additional steps may be required if the appraisal resulted in a performance rating that is <i>Unsatisfactory</i></p>
September	<p><b>(Formal Evaluation Period Begins)</b> Implementation of Performance Plan and Growth Plan ongoing (revisions where necessary). Ongoing discussion with appraiser regarding progress and supports</p> <p><i>For the remainder of the process, see timeframe for experienced school leaders</i></p>	<p>Appraisal may be ongoing if performance during evaluation year resulted in a rating that was <i>Unsatisfactory</i></p> <p>Following a successful <i>Satisfactory</i> appraisal year: Implementation of Growth Plan and ongoing dialogue with supervisor about performance and opportunities for growth</p>

## I.5 Roles and Responsibilities

In the context of the school and school board as professional learning communities, supervisory officers, principals, and vice-principals all play key roles in the performance appraisal process. While fulfilling their responsibilities, they also promote collaboration and demonstrate mutual respect and responsibility-taking. This sets a tone within which principals and vice-principals can do their work, pursue shared goals and strive to be successful. Following is a brief overview of roles and responsibilities within the appraisal process:

**Supervisory Officers:** conduct the performance appraisal for principals and may conduct the performance appraisal for vice-principals.

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

**Principals and Vice-Principals:** as appraisees develop Performance Plans and Annual Growth Plans in consultation with their appraisers, meet with the appraiser at mutually agreed times 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 appraisal and provide the necessary training and administrative support.

## I.6 Using This Guideline

This brief introduction has been developed to provide a clear and concise overview of the Principal and Vice-Principal Appraisal process. In the following sections of the guideline you will find:

**Implementation:** detailed guidelines for PPA implementation and insights into effective practices gathered from boards across Ontario.

**Resources:** forms, templates and other tools you will need to implement the PPA, along with more detailed background information on the Ontario Leadership Strategy, and the Ontario Leadership Framework.

### **We want to hear from you!**

Do you have suggestions for improving this guideline? Please use the response form at the end of this document to send us your comments and ideas.

## **2 IMPLEMENTATION: REFERENCE GUIDE**

- 2.1 Roles and Responsibilities
- 2.2 Scheduling Requirements
- 2.3 The Performance Plan
- 2.4 The Annual Growth Plan
- 2.5 Appraisal Meetings
- 2.6 The Summative Report
- 2.7 The Rating Scale
- 2.8 Record Keeping and Documentation

## 2.1 Roles and Responsibilities

### Overview

In the context of the school and school board as professional learning communities, supervisory officers, principals, and vice-principals all play key roles in the performance appraisal process. While fulfilling their responsibilities, they also promote collaboration and demonstrate mutual respect and responsibility-taking. This sets a tone within which principals and vice-principals can do their work, pursue shared goals and strive to be successful.

*The challenge for improved performance is... an opportunity. Each suggestion for effectiveness is not the exercise of the superiority of one party over the other, but a cooperative engagement in mutually improved performance. (Reeves, 2004)*

### Definitions of New and Experienced School Leaders

The performance appraisal process is intended for principals and vice-principals who are fully qualified<sup>1</sup> 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).

A principal/vice-principal is considered to be “experienced” once he or she completes one year in their role (see Section 2.2 Scheduling Requirements - Transition of Newly Appointed Principal/Vice-Principal).

### Role of Supervisory Officers

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

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 or vice-principals designated for appraisal
- Meet with the appraisee in preparation for the development of the Performance Plan and Growth Plan
- Meet with the appraisee on an on-going basis throughout the appraisal year to assess interim progress and to determine supports that the principal or vice-principal may need to carry out the Performance Plan
- Discuss possible adjustments to the Performance Plan and/or Growth Plan at mid-year with the appraisee

---

<sup>1</sup> ‘Fully qualified’ means holding principal’s qualifications according to Ontario Regulation 184/97, assigned to a permanent position as a principal or vice-principal, and no longer a member of a teachers’ federation.

- Meet with the appraisee at the end of the appraisal year to review the results of the Performance Plan, the progress towards results, the challenges faced, and revisions to the Growth Plan for the following year
- Prepare a Summative Report of the performance appraisal, including a performance rating
- Provide a copy of the Summative Report signed by both the supervisory officer and the appraisee to both the appraisee and the board

Where the appraisal process results in a performance rating that is *Unsatisfactory*, the supervisory officer may have additional responsibilities (see Section 2.7 The Rating Scale - Procedural Requirements Following an *Unsatisfactory* Rating).

### **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.

The principal as appraiser must:

- Conduct performance appraisals of vice-principals designated for appraisal
- Meet with the vice-principal in preparation for the development of the Performance Plan and Growth Plan
- Work with the vice-principal to determine how to link the work of the vice-principal with the school improvement plan that allows for the vice-principal to assume leadership responsibility
- Meet with the vice-principal on an on-going basis throughout the appraisal year to assess interim progress and to determine supports that the vice-principal may need to carry out the Performance Plan
- Discuss possible adjustments to the Performance Plan and/or Growth Plan at mid-year with the appraisee
- Meet with the vice-principal at the end of the appraisal year to review the results of the Performance Plan, the progress towards results, the challenges faced, and revisions to the growth plan for the following year
- Prepare a Summative Report of the performance appraisal, including a performance rating
- Provide a copy of the Summative Report signed by both the principal and vice-principal to the vice-principal and appropriate supervisory officer

Where the appraisal process results in a performance rating that is *Unsatisfactory*, the principal, as appraiser, may have additional responsibilities (see Section 2.7 The Rating Scale - Procedural Requirements Following an *Unsatisfactory* Rating).

“Conducting the PPA provided me with the opportunity to examine my particular role as a supervising principal” - Field test participant commenting on how the appraisal process benefited them.

## Role of Principals and Vice-Principals as Appraisees

Appraisees must:

- Develop the goals, strategies, competencies and indicators for the Performance Plan in consultation with the supervisory officer or principal who will be conducting the appraisal
- Develop the Annual Growth Plan in consultation with the supervisory officer or principal who will be conducting the appraisal
- Agree to meet with the appraiser at mutually agreed times throughout the appraisal period to discuss progress on the Performance Plan and any supports needed
- Discuss possible adjustments to the Performance Plan and/or Growth Plan at the mid-year with the appraiser
- Complete the results section of the Performance Plan in preparation for the development of the Summative Report by the appraiser
- Add comments to the Summative Report to reflect a self-assessment of performance if the appraisee wishes.
- Sign the Summative Report Form to acknowledge that it has been received

Where the appraisal process results in a performance rating that is *Unsatisfactory*, the principal or vice-principal, as appraisee, may have additional responsibilities (see Section 2.7 The Rating Scale - Procedural Requirements Following an *Unsatisfactory* Rating).

## Role of School Boards

It is essential that 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.

A board must:

- Establish and communicate policies for the implementation of a system-wide principal and vice-principal appraisal process and ensure compliance with procedures and timelines established by the board
- Provide information regarding the principal / vice-principal performance appraisal process available to principals, vice-principals, supervisory officers, teachers, parents, students, and the chairs of school councils
- Provide training and supports (e.g. developing SMART goals, conducting effective appraisal meetings) to supervisory officers, principals and vice-principals involved in the appraisal process

- ❑ Ensure that principals and vice-principals who transfer to a new school have a copy of their appraisal documents submitted to the appropriate supervisor at the new location to allow for continuity

Where the appraisal process results in a performance rating that is *Unsatisfactory*, the board will have additional responsibilities (see Section 2.7 The Rating Scale - Procedural Requirements Following an *Unsatisfactory* Rating).

## **Effective Practice**

### **Setting Goals**

- Develop a culture of planning within the school board so that there is clarity and transparency about the system focus on student achievement, priorities, goals and strategies to achieve those goals
- Provide training for principals/vice-principals and appraisers in developing SMART goals, strategies and indicators of success

### **Aligning Resources with Priorities**

- Ensure that policies, programs and related practices are aligned with ministry, board and school initiatives such as the Ontario Leadership Strategy, the School Effectiveness Framework and all ministry/system/school initiatives for improving student achievement
- Invest in instructional leadership and make connections to the Ontario Leadership Framework and the five Core Leadership Capacities
- Ensure that links are explicitly made between board improvement plan, school plans and individual performance plans

### **Promoting Collaborative Learning Cultures**

- Explain the purpose of performance appraisal to all school leaders to ensure an understanding of its purpose to promote growth and accountability
- Be clear about the focus on improving outcomes for student achievement
- Discuss performance appraisal as part of the orientation for a new school leader to facilitate a clearer understanding about role, responsibilities and expectations
- Provide system-wide job-embedded professional learning for leaders and aspiring leaders
- Build a system-wide sense of growth, build and maintain productive relationships and place an emphasis on team work and professional community
- Provide continued support and training

### **Using Data**

- Use multiple sources of evidence for planning organizational learning and accountability
- Ensure that monitoring and evaluation are regular activities within the organization
- Decide how best to systematically collect information about the achievement of goals
- Use professional conversations to increase impact by examining data on goal attainment and developing concrete action plans

### **Engaging in Courageous Conversations**

- Provide training for appraisers in how to conduct performance appraisals and how to have effective appraisal meetings
- Promote regular and structured opportunities for feedback with the appraisee to monitor progress and adjust course where needed

## 2.2 Scheduling Requirements

### Purpose

The scheduling requirements necessitate careful planning and organization and an approach that conveys to everyone that appraisal is an integral 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 tailored supports in an appraisee's pathway to continuous improvement.

### Requirements

The information that follows is a summary of the requirements related to the performance appraisal process for principals/vice-principals (see Section 1.4 Suggested Timeline and Calendar).

### Frequency

Every board shall ensure that each experienced principal/vice-principal is placed on a five-year cycle for performance appraisal. This means that there will be four non-evaluation years between each appraisal. The performance of an experienced principal/vice-principal that is new to a board must be appraised in the first year of employment with the board. Within 20 school days after the appraisee commences his or her evaluation year, the appraiser must notify the appraisee that his or her performance will be assessed during that school year. Boards have the flexibility to start the cycle for principals/vice-principals in a way that balances the number to be done each year.

If at any point the appraiser considers it necessary, 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.

Except during an appraisee's evaluation year, an appraisee may also request a performance appraisal in addition to those required. For example, 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. If the appraiser chooses to perform the appraisal, this would restart the appraisee's five-year cycle.

*Thus the entire concept of leadership evaluation is not something that is done to particular school leaders, but rather a process that can be used throughout the school system to improve teaching, learning, and leadership at every level. (Reeves, 2004)*

### Effective Practice

If the appraisal year is scheduled for 2009 the next cycle year would be 2014. If the appraisee asks for an evaluation in 2011 the next cycle year would be 2016 and not 2014.

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

If a principal/vice-principal is assigned to more than one school; not assigned to duties in a school; assigned to duties in a school as well as to other duties; or moves from one school to another; the board will determine who will appraise the principal/vice-principal and will adapt the appraisal process to the individual's job description.

## **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 Definitions of New and Experienced School Leaders).

## **Transition of 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 their role. In their second year of employment, they must be appraised and are placed in the five-year experienced principal/vice-principal evaluation cycle.

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

When a principal/vice-principal is seconded to another board, the evaluation cycle for that principal/vice-principal continues. The board from which the principal/vice-principal is seconded must advise the board that has seconded the principal/vice-principal of his or her position in the cycle. The board seconding the principal/vice-principal must ensure that all appraisals required in the cycle are completed during the principal/vice-principal secondment to the board, except as set out below.

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.
- The performance appraisal is deemed not to have been conducted except for the purposes of terminating the secondment agreement.
- The principal/vice-principal's five-year cycle restarts on the termination of the secondment agreement, and the first year in the cycle is an evaluation year for the principal/vice-principal.
- 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, even if the appraisal will take place in the following school year.

## **Effect of Certain Absences on the Principal/Vice-Principal Period**

When a board schedules its 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 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 principal/vice-principal position outside the Ontario public education system.

## **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, their five-year evaluation cycle continues from where they left off (for example, if the appraisee left after two years, the third year of the evaluation cycle would begin on his or her return).

### **Delegation of Vice-Principal Appraisal to Supervisory Officer**

A supervisory officer may conduct appraisals of a vice-principal on behalf of a principal if the board so determines. The supervisory officer of the school to which the principal is assigned must conduct the performance appraisal.

### **Impact of the Absence of a Supervisory Officer**

When a supervisory officer is absent, those duties may be carried out by another supervisory officer in the same board. 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.

## 2.3 The Performance Plan

### Purpose

The Performance Plan blends together strategic goals, leadership practices and competencies. The Plan will be used to conduct an assessment of the appraisee leading to a performance rating.

### Requirements

### Goals

The principal/vice-principal develops goals to improve student achievement building on the board's strategic plan, the school improvement plan, the school community and local context, the ministry priorities and personal goals. The school improvement plan may be a good place to begin since it is already aligned to board, community and ministry initiatives. It is also important to note the local context/considerations of a particular school (for example, the student demographic) which may determine what goals are important. In addition, appraisees are encouraged to collect input from staff (such as teachers and education assistants), parents and students when relevant to their goal (see Section 3.3 for a Performance Plan Working Template and Samples).

Developing goals will also include assembling pertinent data concerning the performance of students and any other information that will assist with "charting the course." These initial statistics could serve as important benchmarks that could be used in the analysis at year's end.

Goals should be written in the SMART (Specific, Measurable, Achievable, Realistic, Timely) format (see Section 3.8 Additional Resources - Tip Sheet: Setting Goals). It is important that the goals are outcome-based yet measurable, challenging and achievable. The time frame could be more than one year, but there should be an opportunity for interim measurements to be taken of the progress towards goals that extend beyond the appraisal year. The number of goals should be from two to four<sup>2</sup> and there should be some variety in the types of goals; i.e. a balance between those with quantitative targets and those more suited to qualitative measures.

Professional dialogue between the appraiser and appraisee will inform 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 plan (see Section 3.8 Additional Resources - Tip Sheet: Courageous Conversations).

*"Appraisal was useful because it focused my conversation with my Supervisory Office, allowed for rich discussion and the self-reflection made the goal more meaningful." - Field test participant*

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

See Section 1.4 for a suggested timeframe for developing the Performance Plan.

---

<sup>2</sup> Effective practice indicates that principals should limit the number of goals and use their professional judgement to determine what will work in specific school contexts.

## Strategies

In determining strategies to achieve each goal, the principal/vice-principal will consider the competencies and practices outlined in the Ontario Leadership Framework (see Section 3.2 Ontario Leadership Framework for Principals and Vice-Principals). 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 the collection and analysis of data, staff engagement strategies, professional development to be offered to teachers, changes to curriculum and instruction, parent and/or community engagement strategies, leadership development of staff, school culture initiatives, assessment plans and other strategies envisioned by the appraisee or appraiser.

While the appraisal model is goal-oriented, the process of reaching those goals is also important. Discussions about the process will help the appraisee to feel confident that he or she is on the right track and will reassure the appraiser that the methodology envisioned by the appraisee is sound.

Professional dialogue between the appraiser and appraisee will be helpful in determining strategies and ensuring that these strategies have a reasonable chance of success if implemented effectively.

### Effective Practice

The appraiser might pose questions to guide the thinking of the appraisee such as, “How will you get staff to buy into the goal and strategy that you are proposing?” and “What will you do if you meet resistance?” Reference to the Ontario Leadership Framework can identify leadership practices and competencies that will assist the appraisee in handling these issues successfully; for example, from the domain “Developing the Organization,” a relevant practice is that the principal “develops a school culture which promotes shared knowledge and shared responsibility for outcomes”. The appraiser may choose to use the Tip Sheet: Courageous Conversations to guide the discussion (Section 3.8, Additional Resources).

## Competencies

Competencies can be found in the Ontario Leadership Framework which describes effective leadership. As part of the Performance Plan, the appraisee will need to select the key two or three competencies that closely align with, and support, the goals they have developed. The appraisee should use these competencies to focus his or her actions. In addition, if the appraisee believes that he or she will need more growth in these areas, these competencies should be included in the Annual Growth Plan (see Section 2.4 The Annual Growth Plan). Appraisers may find it helpful to discuss the enhancement of these competencies as a means to achieving the agreed upon goals.

## Indicators

The indicators describe how one will know that the strategies are successful. The indicators must be observable and measurable and may be either qualitative or quantitative measures. The principal/vice-principal will need to incorporate the collection of baseline data into the early stages of implementation of strategies in order to create a basis for measurement of indicators once a strategy has been carried out. For example, if a strategy is implemented to improve student writing skills, then an indicator would be based on student achievement data collected related to writing skills. This could be derived from school-based common assessments focused on student writing.

*“The greatest impact on my learning was an increased ability to connect the Ontario Leadership Framework to the performance appraisal and the school/district improvement plans.”— Field test participant commenting on the impact on their learning.*

A broad spectrum of indicators can be considered for goals in the Performance Plan. Participants in the field test suggested the following examples:

- Credit accumulation
- Graduation rates
- Pass rates
- Enrolment in courses
- Safe school – suspension/ attendance data
- Surveys
- PM Benchmarks
- DRA
- CASI
- EDI
- Report cards
- Student feedback
- Self-assessment
- Pre- and post-tests for specific student performance objectives
- Focus on sub group (for example, boys, special education students)
- Parent focus group
- Behaviour tracking
- Office referral data

Professional dialogue between appraiser and appraisee about appropriate indicators will be helpful to the appraisee in determining effective measures.

*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 and Katz, 2005)*

### Effective Practice

It will be important for the appraiser to ensure that the appraisee has thought about the impact of change on staff, because positive teacher perspectives and confidence about proposed changes in instruction are important to ensure sustainability of student results. Appraisees can be encouraged to include indicators that collect data on the perceptions of teachers on the success of an initiative, and the value added or lost in the process. There may be certain elements of the Ontario Leadership Framework that the appraiser can reference when talking about the skills needed to achieve these positive outcomes; for example, from the domain, “Setting Directions”, a relevant skill is that the principal is able to “inspire, challenge, motivate and empower others to carry the vision forward”. Appraisers might ask, “What do you want teachers to have learned in the process of implementing the goal?” or “How will you know that teachers have embraced the new methodology?”

### Results

The results of the Performance Plan are to be completed by the appraisee near the end of the school year. Results show what actually happened in relation to the goals set. The discussion between appraiser and appraisee about results is a critical component of the appraisal process to promote professional dialogue, reflective thinking, collaboration, and a supportive environment between appraiser and appraisee.

*The process helps you to focus on the priorities within your job and determine what you need to work on. It’s an opportunity to plan ahead and think about how you are going to get things done.*  
– Field Test Participant

---

**Effective Practice**

An appraisal system that addresses both accountability and growth is needed to have the strongest impact on the enhancement of school leadership that is focused on improved student outcomes. The performance appraisal model should be lodged in the larger context of school and board improvement. It should be focused on improving student learning and fostered in a growth-oriented climate. Appraisees are encouraged to provide additional contextual material to explain the achievement or lack of achievement of goals; for example, what barriers or challenges were encountered in the implementation plan and how were these addressed? Or how might these be addressed through further training for the principal or vice-principal, different strategies, and/or a longer time frame?

## 2.4 The Annual Growth Plan

### Purpose

The Annual Growth Plan provides a vehicle to plan the principal or vice-principal's professional learning during the appraisal year and in the intervening years between appraisals. Developing and maintaining a Growth Plan provides appraisers and appraisees with an opportunity to collaborate and engage in meaningful discussions about appraisee growth strategies. It also provides an opportunity for discussion about the supports that may be needed to carry out the growth strategies.

### Requirements

The Annual Growth Plan should include any developmental activities the appraisee will undertake along with supports needed to implement the Performance Plan. The appraisee may also identify more general areas for growth that are of interest to him or her (see Section 3.4 Annual Growth Plan Working Template and Sample).

The Annual Growth Plan should consider the development of skills, knowledge, attitudes and practices described in the Ontario Leadership Framework as these are based on the practices that have been shown to positively impact student achievement.

*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, 2008)*

### Effective Practice

If the Performance Plan includes a strategy that requires the collection and analysis of student achievement data, the Growth Plan may reference a need for support in acquiring skills identified in the Ontario Leadership Framework domain "Leading the Instructional Program", namely, "the principal is able to access, analyze and interpret data". 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 strategy (see Section 3.4 for a sample Growth Plan).

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 progression of the strategies in the Performance Plan.

The Annual Growth Plan should also be reviewed at the final meeting between appraiser and appraisee as results are reviewed. Revisions to the Annual Growth Plan at this point reflect the results of this discussion and set the stage for the continuing growth of the appraisee into the next school year.

The appraiser and appraisee must sign the appraisee's Annual Growth Plan and each of them should retain a copy.

### Annual Growth Plan in Non-Evaluation Years

The appraiser and appraisee must both sign the appraisee's Annual Growth Plan each year, including in non-evaluation years, and retain a copy for their records. It is recommended

*The purpose of evaluation is not merely to change the individual who, with just the proper combination of advice and threats, will reform her ways and become a satisfactory leader. Rather, the purpose of evaluation is to improve the performance of the individual and the organization. Both parties—the person being evaluated and the entity conducting the evaluation—have a responsibility for reflection, analysis, and improvement. (Reeves, 2004)*

that the appraiser and appraisee meet in non-evaluation years to discuss the appraisee's progress and to update activities and supports for the following year.

### **Annual Growth Plan and the Mentoring Learning Plan**

The mentoring process provides additional support for newly appointed school leaders.

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. Mentees may use their Annual Growth Plan as a basis for informing their Mentoring Learning Plan. The Annual Growth Plan must be signed by the appraiser in accordance with the procedures for the Annual Growth Plan in non-evaluation years. The Learning Plan, within the context of mentoring, remains confidential between the mentor and the mentee and is not signed by the supervisor.

#### **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 a supportive and 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, as the organization conducting appraisals, and those being appraised have a responsibility for reflection, analysis, and improved professional growth. The organization considers how it can provide the principal or vice-principal with improved knowledge and skills and how it can assist principals and vice-principals to allocate time to the most important priorities.

The appraisal process has its broadest and deepest impact on leadership development when appraisers not only support growth of appraisees but also seek it for themselves and the organization as a whole. The Ontario Leadership Framework is a good reference for supervisory officers to focus on competencies and practices in their roles to support effective principal and vice-principal appraisal. As well, part two of the framework highlights system practices that support principals. These are detailed further, with sample evidence, in the Leadership Self-Review Tool available at: <http://www.education-leadership-ontario.ca/LSRT.shtml>.

## 2.5 Appraisal Meetings

### Purpose

Appraisal meetings are an important component of the process to ensure that expectations are clear between appraiser and appraisee, that the appraisee has the support and guidance that he or she needs to foster a climate of trust and collaboration and to complete the required elements of the appraisal process. Appraisal meetings should be seen as part of the on-going professional dialogue between principals, vice-principals and supervisory officers.

### Requirements

At a minimum, the appraiser and appraisee must meet three times during the appraisal year: once to discuss the development of the Performance Plan, a second time part way through the appraisal year to discuss progress to date and need for more supports, and a third time near the end of the appraisal year to discuss results (see Section 1.4 Suggested Timeline and Calendar). Meetings should be mutually scheduled between appraiser and appraisee. Ideally, these formal meetings are supplemented by on-going dialogue between principals, vice-principals and supervisory officers. Either the appraiser or appraisee can request additional meetings and these requests should be honoured by both parties wherever possible.

*Reflection, in brief, forces leaders to climb down from the mythological perch, admit our human foibles, and get real. (Reeves, 2006)*

### 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 for principals and vice-principals provides a model to assess principals' and vice-principals' performance, related to the achievement of pre-determined goals, in a manner that reflects their needs for growth and development, and 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 what it means to be leaders as described in the Ontario Leadership Framework, Part I (see Section 3.2 Ontario Leadership Framework for Principals and Vice-Principals) which indicates the skills, knowledge, attitudes of effective leaders and practices found through research to have a positive impact on student achievement.

## 2.6 The Summative Report

### Purpose

The Summative Report provides a record of the appraisal process and outcomes including the completed Performance Plan, comments by the appraiser on strengths and areas for growth and development of specific competencies related to the Performance Plan, final comments from the appraiser and comments from the appraisee (optional), and the rating (see Section 3.5 Summative Report Form for Principals and Vice-Principals).

### Requirements

The Summative Report is completed by the appraiser after a review of the results of the Performance Plan. The appraiser's summary comments should reflect the assessment of the results achieved and the progress towards the results in the context of challenges met by the appraisee. The appraisee may add comments if he or she wishes. The appraiser must determine a rating, *Satisfactory* or *Unsatisfactory* and sign the form. The appraisee must sign the form indicating receipt of the report. The appraiser must ensure that the appraisee receives a copy of the Summative Report within 10 school days of having received the completed Performance Plan from the appraisee.

*“Direct and focused conversations between principal and superintendent pushed the issue of self-reflective practice, leading to clear growth in both skill and confidence.” – Field test participant*

## 2.7 The Rating Scale

### Purpose

The rating scale provides an overall assessment of the principal/vice-principal being appraised in relation to the Performance Plan and determines whether the principal/vice-principal will continue to work with an Annual Growth Plan or an Improvement Plan.

### Requirements

The appraiser determines the rating, *Satisfactory* or *Unsatisfactory*, by reviewing the development and implementation of the Performance Plan, the results of the Performance Plan and the explanatory notes provided by the appraisee in the discussion of the achievement of results (see Section 1.3 The Process At-A-Glance for an overview of the performance appraisal model).

### Determining the Rating

When determining a rating, it is important that the appraiser look at the Performance Plan holistically while considering the following factors:

- The extent to which the appraisee worked diligently and consistently towards the implementation of strategies identified in the Performance Plan
- The effectiveness of efforts made to overcome challenges faced by the appraisee in carrying out the strategies in the Performance Plan
- The effectiveness of the appraisee's efforts to engage others in the delivery of the strategies
- The actual goals achieved or not achieved
- The rationale provided by the appraisee for goals not achieved
- The demonstrated ability and willingness of the appraisee to develop strategies to address goals not achieved.

### Comments on Competencies Related to the Performance Plan

As part of the Summative Report the appraiser can comment on the competencies from the Ontario Leadership Framework 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 Ontario Leadership Framework should not be used as a "checklist" when assessing the appraisee.

### Collaboration and Growth

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 improve professionally.

### Steps Following a *Satisfactory* Rating

The appraiser and appraisee must meet to discuss the outcomes of the appraisal process before the appraisee receives a copy of the Summative Report signed by the appraiser. At this meeting the appraiser should clearly articulate to the appraisee strengths and possible areas of professional growth, as well as the supports available to him or her.

The appraiser must also recommend professional growth goals and strategies for the appraisee to take into account in developing, reviewing, and updating his or her Annual Growth Plan each year (See Section 2.4 The Annual Growth Plan)

The appraisee may add comments and must sign a copy of the Summative Report to acknowledge receipt. A copy of the Summative Report with both signatures must be sent to the board and kept on record.

### **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 to improve his or her performance within a given period.

#### **Effective Practice**

During the discussion of an *Unsatisfactory* rating, some boards and principals/vice-principals have found it helpful to engage in collaborative conversations. These conversations may include principal association representatives who can provide both advice and supports.

Within 15 school days of determining that a performance appraisal of an appraisee has resulted in an *Unsatisfactory* rating, the appraiser must:

- Notify the supervisory officer in the case of a vice-principal being appraised by a principal of the *Unsatisfactory* rating. If the vice-principal's appraisal has been conducted by a supervisory officer no further notification will be needed. In the case of a principal being appraised by a supervisory officer the director or director designate will be notified of the *Unsatisfactory* rating.
- Meet with the appraisee before the appraisee receives a copy of the Summative Report. At this meeting the appraiser should clearly articulate to the appraisee his or her strengths, potential areas of growth, as well as the supports available to him or her and explain:
  - what is lacking in his or her performance
  - 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 the appraisee improve his or her performance
- The appraisee may add comments and must sign a copy of the Summative Report to acknowledge receipt. A copy of the Summative Report with both signatures must be sent to the board and kept on record.
- Give the appraisee written notice of the *Unsatisfactory* rating, explaining to him or her the reasons for the *Unsatisfactory* rating. This notice should include the details described at the meeting with the appraisee (for example, what is lacking, expectations).
- Meet with the appraisee to discuss the Improvement Plan.
- Provide the appraisee with an Improvement Plan (see Section 3.6 Improvement Plan Working Template and Sample) that includes the supports, steps and actions that the appraisee should take to improve his or her performance.

The Improvement Plan developed through discussion between appraiser and appraisee and approved by the appraiser will outline the supports for the appraisee's learning needs. It is the appraisee's responsibility to take the necessary steps provided for in the Improvement Plan with the active support of the appraiser.

#### **Effective Practice**

Before preparing the Improvement Plan, the appraiser may consult with the appropriate supervisory officer, or in the case of a principal, the director, or director designate.

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

The interval between the first performance appraisal that results in an *Unsatisfactory* rating and the second performance appraisal is at the discretion of the appraiser, subject to any relevant board policies, as long as the second appraisal is conducted within a period between 40 and 80 school days of the appraiser's giving written notice to the appraisee of the initial *Unsatisfactory* rating, even if the appraisal will take place in the following school year. The appraiser and the appraisee should discuss the most reasonable timeframe within which to conduct the next appraisal based on how much time is needed to meet the expectations of the Improvement Plan. In exercising his or her discretion as to the timing of the second performance appraisal, the appraiser must balance the desirability of giving the appraisee a reasonable opportunity to improve his or her performance against the responsibility of providing students with quality education.

The timing between appraisals can be extended with the mutual agreement of appraiser and appraisee based on their assessment of the impact on the school and the nature of performance elements needing improvement.

The second appraisal is based on how successfully the appraisee implements the Improvement Plan and attains the goals. If the second appraisal is deemed *Satisfactory*, the appraiser and appraisee are required to follow the "Steps Following a *Satisfactory* Rating" described earlier in this section. If the second appraisal is *Unsatisfactory*, the following requirements must be met:

### *Second Unsatisfactory appraisal rating*

Where an appraisee receives two consecutive performance appraisals with *Unsatisfactory* ratings, the appraisee will be placed on review status and the following procedures will take place.

Within 15 school days of determining that a performance appraisal of an appraisee has resulted in a second consecutive *Unsatisfactory* rating, the appraiser must:

- Notify the supervisory officer in the case of a vice-principal being appraised by a principal of the *Unsatisfactory* rating. As well, the director or director designate will be informed at this time. In the case of a principal being appraised by a supervisory officer the director or director designate will be notified of the *Unsatisfactory* rating.
- Meet with the appraisee before the appraisee receives a copy of the Summative Report. At this meeting the appraiser should clearly articulate to the appraisee his or her strengths, potential areas of growth, as well as the supports available to him or her and explain:
  - what is lacking in his or her performance
  - what is expected of the appraisee in areas in which his or her performance is lacking
  - 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
- The appraisee may add comments and must sign a copy of the Summative Report to acknowledge receipt. A copy of the Summative Report with both signatures must be sent to the board and kept on record.
- Give the appraisee written notice of the *Unsatisfactory* rating, explaining to him or her the reasons for the *Unsatisfactory* rating. This notice should include the details described at the meeting with the appraisee (for example, what is lacking, expectations).
- Place the appraisee on review status, and advise the appraisee in writing of that fact.
- Meet with the appraisee to discuss the Improvement Plan.

- Provide the appraisee with an Improvement Plan (see Section 3.6 Improvement Plan Working Template and Sample) that includes the supports, steps and actions that the appraisee should take to improve his or her performance.

#### *Review status*

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

#### **Effective Practice**

Some boards have found it an effective practice to have an alternative appraiser at this point.

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

- Monitor the appraisee's performance.
- In the case of a vice-principal, consult regularly with the supervisory officer and in the case of a principal, consult with the director or director designate, regarding the appraisee's performance and steps that could be taken to improve it. In the case where a supervisory officer is carrying out the functions of the principal in appraising a vice-principal, the director or director designate will be consulted.
- Provide feedback and recommendations to the appraisee that the appraiser considers might help the appraisee improve his or her performance.

#### *Timing of a third appraisal while on review status*

The appraiser must conduct another appraisal within 20 to 60 school days, starting with the day on which the appraisee is advised that he or she is on review status.

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 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 "Steps Following a *Satisfactory* Rating" described earlier in this section.

If the third performance appraisal is *Unsatisfactory*, in accordance with prior agreements between the board and the appraisee and/or board policy and procedure, the board will determine next steps. The Principal / Vice-Principal Performance Appraisal process does not interfere with agreements that boards have in place.

#### **Effective Practice**

The Principal / Vice-Principal Performance Appraisal model described in this guideline is goal-oriented, which aligns with the goal orientation of school improvement planning. The best outcomes are made possible in a climate of sharing, trust and support. It is this climate that will provide the ideal context for effective principal and vice-principal appraisal so that it supports an approach to leadership that has a positive impact on student achievement.

## 2.8 Record Keeping and Documentation

### Purpose

The documentation requirements of the performance appraisal process for principal/vice-principals set out in this section provide written records for appraisees and appraisers to refer to when pursuing and monitoring pathways 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.

### 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 Summative Report Form. In a principal/vice-principal evaluation year, a copy of the principal/vice-principal Annual Growth Plan must be included in the appraisal documentation and becomes part of the documentation kept on record by the board.

#### *Exchange of Information Among Schools and Boards*

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

- Copies of any documents relating to the dismissal of the principal/vice-principal or to a recommendation for the dismissal of the principal/vice-principal 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 resignation by the principal/vice-principal 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/vice-principal's dismissal, or resignation while on review status, must promptly inform the requesting board whether there are any documents to provide in response to the request and, if so, must promptly provide the documents.

---

# **3 RESOURCES: TOOLS AND INFORMATION**

- 3.1 Ontario Leadership Strategy
- 3.2 Ontario Leadership Framework for Principals and Vice-Principals
- 3.3 Performance Plan Working Template and Samples
- 3.4 Annual Growth Plan Working Template and Sample
- 3.5 Summative Report Form for Principals and Vice-Principals
- 3.6 Improvement Plan Working Template and Sample
- 3.7 Frequently Asked Questions
- 3.8 Additional Resources

## 3.1 Ontario Leadership Strategy



### QUICK FACTS: 2009/10

## Ontario Leadership Strategy

*The Ontario Leadership Strategy was developed to foster leadership of the highest possible quality in schools and school boards across the province. The Ontario Leadership Strategy delivers on our commitment of ensuring the leadership required to create an education system that is second to none. Our efforts are sharply focused on three core priorities: 1) High levels of student achievement; 2) Reduced gaps in student achievement; and 3) Increased public confidence in publicly funded education.*

### Why a leadership strategy?

School leaders have a profound impact on student achievement, second only to teachers among school related factors, and play a critical role in fulfilling our educational priorities: increased student achievement, reduced gaps in student achievement, and increased public confidence in publicly funded education. System leaders likewise have a crucial role to play in creating the conditions of success for principals. They provide the system leadership needed to encourage professional growth, foster excellence and support the important role of the principal.

### What is the leadership strategy?

The Ontario Leadership Strategy 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 incorporates a collaborative approach through which schools, school boards, education partners and the ministry work in partnership to make a difference for every student.

The commitment to develop a comprehensive leadership strategy is outlined in *Reach Every Student: Energizing Ontario Education (2008)*.

### Who benefits?

- School leaders benefit by getting the supports they need to succeed in a complex and challenging role
- System leaders benefit through supports that enable them to foster successful school leadership
- School boards benefit from guidance, tools and support in developing succession plans and leadership strategies
- Students benefit as they are supported to reach their highest potential.

### Who are the key partners?

Development and implementation of the leadership strategy is a system-wide, collaborative process based on extensive research and broad consultations. The strategy involves a broad spectrum of partners including:

- School boards who provide direction and support for leadership

#### VISION

To support student achievement and well-being by attracting and developing passionate and skilled leaders in our schools and boards through a comprehensive leadership strategy

#### GOALS

1. Attract the right people to the principalship
2. Help principals and vice-principals develop into the best possible instructional leaders

- Associations representing principals, supervisory officers and directors of education who partner in implementation and resource development, provide member support and collaborate with boards to create conditions for success
- The Institute for Education Leadership, which models a tri-level approach, commissions/disseminates research on leadership, develops resources and promotes/advises on sector engagement and alignment
- Teacher federations who provide advice about recruiting and attracting teachers to the role of the principal and support shared leadership opportunities
- OCT which organized the Principal's Qualification Program Guideline into the five domains outlined in the Ontario Leadership Framework to support candidates in their development and application of leadership competencies
- Academic experts who conduct research, stimulate thinking and heighten the level of discourse on leadership
- The Ministry of Education, which provides direction and support for the Ontario Leadership Strategy, maintains internal connections across ministry initiatives and with other ministries and sectors.

## How is the strategy being implemented?

The leadership strategy has evolved and will continue to evolve through ongoing research and consultation with key partners. It was launched in 2008-09 and is being implemented in phases to support a theory of action founded on the guiding principles of partnership, individual and organizational development, alignment, and communication.

## Year I – Highlights (2008/09)

- Launched the Ontario Leadership Strategy and the Premier's Leader-to-Leader initiative through the Minister's Principal Reference Group and ten regional, tri-level sessions throughout the province
- Promoted continuous professional growth through the Mentoring for Newly Appointed School Leaders and Principal Performance Appraisal
- Supported networks of principals in focusing on improving students' literacy and numeracy achievement through the Leading Student Achievement Strategy
- Engaged school and system leaders in an inaugural session of the Principal Congress and continued meetings with the Minister's Principal Reference Group
- Supported tri-level collaboration through the Institute for Education Leadership, the promotion of the Leadership Framework and the Leadership Self-Review Tool to guide the development and assistance of leaders
- Disseminated succession planning research and succession planning tools to attract aspiring leaders
- Shared the *Effective Practices Guide for Principal/Vice-Principal Terms and Conditions of Employment* across the province
- Provided executive development for supervisory officers and directors of education through The Learning Partnership/Rotman programs
- Expanded field test of Mentoring for Newly Appointed Directors of Education and Supervisory Officers

### GUIDING PRINCIPLES

#### Partnership

Build on the good practices and networks already in place

#### Individual and Organizational Development

Promote professional learning for school leadership and school boards

#### Alignment

Engage all partners in learning from one another, sharing effective practices and common language, and aligning ministry initiatives

#### Communication

Engage in dialogue and communicate a clear message that supports effective practices

## Year 2 – Implementation (2009/10)

- Every school board has a succession and talent development plan
- Continued implementation of the Ontario Leadership Framework (OLF), including a ministry commitment to embed five core leadership capacities within ministry professional learning and implementation supports
- The five core leadership capacities are drawn from competencies and practices identified in the Ontario Leadership Framework:
  - Setting Goals
  - Aligning Resources with Priorities
  - Promoting Collaborative Learning Cultures
  - Using Data
  - Engaging in Courageous Conversations
- Advancement of the Principal Congress as essential to the engagement of school leaders in sharing effective practices
- Continued implementation of Year 1 initiatives including Premier’s Leader-to-Leader initiative, Leading Student Achievement, Mentoring for Newly Appointed School and System Leaders and Principal Performance Appraisal
- Dissemination of leadership support materials such as *In Conversation*, engaging leaders in the latest strategic and topical issues that matter most to student success in Ontario
- Ongoing support for education leaders through boards, associations and the Institute for Education Leadership

## Year 3 – Forward Planning (2010/11)

- Every school board has a leadership development strategy
- Continued implementation of Year 1 and 2 initiatives
- Ongoing support for education leaders through boards, associations and the Institute for Education Leadership

### WHERE CAN I LEARN MORE?

Contact your Regional Office or the Leadership Development Branch at 416-325-2623. Stay tuned for updates to the Ministry’s Leadership Development website at [www.ontario.ca/eduleadership](http://www.ontario.ca/eduleadership).

Go to Ontario’s Institute for Education Leadership website for further resources and information at [www.education-leadership-ontario.ca/home.shtml](http://www.education-leadership-ontario.ca/home.shtml).

## **3.2 Ontario Leadership Framework for Principals and Vice-Principals**

The Framework has two parts. Part 1 provides the opportunity to guide professional dialogue and leadership development based on school leadership practices and competencies known to have the greatest impact on student achievement. Part 2 provides system practices and procedures that school boards should have in place to support principals to be effective leaders.

A version of the Framework is also available for supervisory officers, which recognizes the importance of system-wide leadership.

More information about the Ontario Leadership Framework can be found at: <http://www.education-leadership-ontario.ca/resources.shtml>.

**Ontario Leadership Framework for Principals and Vice-Principals  
Part 1: Leader Practices and Competencies**

Setting Directions	Building Relationships and Developing People	Developing the Organization
<p>The principal builds a shared vision, fosters the acceptance of group goals and sets and communicates high performance expectations.</p> <p><b>Practices:</b> <i>The principal:</i></p> <ul style="list-style-type: none"> <li>ensures the vision is clearly articulated, shared, understood and acted upon by all</li> <li>works within the school community to translate the vision into agreed objectives and operational plans which promote and sustain school improvement</li> <li>demonstrates the vision and values in everyday work and practice</li> <li>motivates and works with others to create a shared culture and positive climate</li> <li>ensures creativity, innovation and the use of appropriate technologies to achieve excellence</li> <li>ensures that strategic planning takes account of the diversity, values, and experience of the school community</li> <li>provides ongoing and effective communication with the school community</li> </ul> <p><b>Competencies:</b> <b>Skills</b> <i>The principal is able to:</i></p> <ul style="list-style-type: none"> <li>think strategically and build and communicate a coherent vision in a range of compelling ways</li> <li>inspire, challenge, motivate and empower others to carry the vision forward</li> <li>model the values and vision of the board</li> <li>actively engage the diverse community, through outreach, to build relationships and alliances</li> </ul> <p><b>Knowledge</b> <i>The principal has knowledge and understanding of:</i></p> <ul style="list-style-type: none"> <li>local, national and global trends</li> <li>ways to build, communicate and implement a shared vision</li> <li>strategic planning processes</li> <li>ways to communicate within and beyond the school</li> <li>new technologies, their use and impact</li> <li>leading change, creativity and innovation</li> </ul> <p><b>Attitudes</b> <i>The principal demonstrates:</i></p> <ul style="list-style-type: none"> <li>commitment to setting goals that are not only ambitious and challenging, but also realistic and achievable</li> <li>a belief that all students can learn</li> <li>commitment to an inclusive, respectful, equitable school culture</li> </ul>	<p>The principal strives to foster genuine trusting relationships with students, staff, families and communities, guided by a sense of mutual respect. The principal affirms and empowers others to work in the best interests of all students.</p> <p><b>Practices:</b> <i>The principal:</i></p> <ul style="list-style-type: none"> <li>treats people fairly, equitably and with dignity and respect to create and maintain a positive school culture</li> <li>develops effective strategies for staff induction, professional learning and performance review</li> <li>engages staff in professional learning</li> <li>develops and implements effective strategies for leadership development</li> <li>uses delegation effectively to provide opportunities for staff to self-actualize</li> <li>acknowledges and celebrates the achievements of individuals and teams</li> <li>encourages colleagues to take intellectual risk</li> <li>leads by example, modelling core values</li> <li>demonstrates transparent decision-making and consistency between words and deeds</li> <li>maintains high visibility in the school and quality interactions with staff and students</li> </ul> <p><b>Competencies:</b> <b>Skills</b> <i>The principal is able to:</i></p> <ul style="list-style-type: none"> <li>foster an open, fair and equitable culture</li> <li>develop, empower and sustain individuals and teams</li> <li>give and receive effective feedback</li> <li>challenge, influence and motivate others to attain high goals</li> <li>communicate effectively with a diverse range of people, including the public and the media</li> <li>manage conflict effectively</li> <li>listen empathetically and actively</li> <li>foster anti-discriminatory principles and practices</li> </ul> <p><b>Knowledge</b> <i>The principal has knowledge and understanding of:</i></p> <ul style="list-style-type: none"> <li>the significance of interpersonal relationships, adult learning and models of continuing professional development</li> <li>strategies to promote individual and team development</li> <li>the relationship between performance management and school improvement</li> <li>the impact of change on organization and individuals</li> </ul> <p><b>Attitudes</b> <i>The principal demonstrates:</i></p> <ul style="list-style-type: none"> <li>commitment to effective working relationships</li> <li>commitment to shared leadership for improvement</li> <li>commitment to effective teamwork</li> <li>confidence, optimism, hope, and resiliency</li> <li>integrity</li> </ul>	<p>The principal builds collaborative cultures, structures the organization for success, and connects the school to its wider environment.</p> <p><b>Practices:</b> <i>The principal:</i></p> <ul style="list-style-type: none"> <li>builds a collaborative learning culture within the school and actively engages with other schools to build effective learning communities</li> <li>nurtures and empowers a diverse workforce</li> <li>provides equity of access to opportunity and achievement</li> <li>supervises staff effectively</li> <li>uses performance appraisal to foster professional growth</li> <li>challenges thinking and learning of staff to further develop professional practice</li> <li>develops a school culture which promotes shared knowledge and shared responsibility for outcomes</li> </ul> <p><b>Competencies:</b> <b>Skills</b> <i>The principal is able to:</i></p> <ul style="list-style-type: none"> <li>create efficient administrative routines to minimize efforts on recurring and predictable activities</li> <li>collaborate and network with others inside and outside the school</li> <li>perceive the richness and diversity of school communities</li> <li>foster a culture of change</li> <li>engage in dialogue which builds community partnerships</li> <li>listen and act on community feedback</li> <li>engage students and parents</li> </ul> <p><b>Knowledge</b> <i>The principal has knowledge and understanding of:</i></p> <ul style="list-style-type: none"> <li>building and sustaining a professional learning community</li> <li>change management strategies</li> <li>models of effective partnership</li> <li>strategies to encourage parent involvement</li> <li>ministry policies and procedures</li> <li>models of behaviour and attendance management</li> </ul> <p><b>Attitudes</b> <i>The principal demonstrates:</i></p> <ul style="list-style-type: none"> <li>acceptance of responsibility for school climate and student outcomes</li> <li>ethical behaviour</li> </ul>

**Part 1: Leader Practices and Competencies (cont'd)**

Leading the Instructional Program	Securing Accountability
<p>The principal sets high expectations for learning outcomes and monitors and evaluates the effectiveness of instruction. The principal manages the school effectively so that everyone can focus on teaching and learning.</p> <p><b>Practices:</b> <i>The principal:</i></p> <ul style="list-style-type: none"> <li>ensures a consistent and continuous school-wide focus on student achievement, using system and school data to monitor progress</li> <li>ensures that learning is at the centre of planning and resource management</li> <li>develops professional learning communities to support school improvement</li> <li>participates in the recruitment, hiring and retention of staff with the interest and capacity to further the school's goals</li> <li>provides resources in support of curriculum instruction and differentiated instruction</li> <li>buffers staff from distractions that detract from student achievement</li> <li>implements strategies which secure high standards of student behaviour and attendance</li> <li>fosters a commitment to equity of outcome and to closing the achievement gap</li> </ul> <p><b>Competencies:</b> <b>Skills</b> <i>The principal is able to:</i></p> <ul style="list-style-type: none"> <li>demonstrate the principles and practice of effective teaching and learning</li> <li>access, analyse and interpret data</li> <li>initiate and support an inquiry-based approach to improvement in teaching and learning</li> <li>establish and sustain appropriate structures and systems for effective management of the school</li> <li>make organizational decisions based on informed judgements</li> <li>manage time effectively</li> <li>support student character development strategies</li> </ul> <p><b>Knowledge</b> <i>The principal has knowledge and understanding of:</i></p> <ul style="list-style-type: none"> <li>strategies for improving achievement</li> <li>effective pedagogy and assessment</li> <li>use of new and emerging technologies to support teaching and learning</li> <li>models of behaviour and attendance management</li> <li>strategies for ensuring inclusion, diversity and access</li> <li>curriculum design and management</li> <li>tools for data collection and analysis</li> <li>school self-evaluation</li> <li>strategies for developing effective teachers and leaders</li> <li>project management for planning and implementing change</li> <li>legal issues</li> <li>the importance of effective student character development</li> </ul> <p><b>Attitudes</b> <i>The principal demonstrates:</i></p> <ul style="list-style-type: none"> <li>commitment to raising standards for all students</li> <li>commitment to equity of outcome and closing the achievement gap</li> <li>belief in meeting the needs of all students in diverse ways</li> <li>commitment to sustaining a safe, secure and healthy school environment</li> <li>commitment to upholding human rights</li> </ul>	<p>The principal is responsible for creating conditions for student success and is accountable to students, parents, the community, supervisors and to the board for ensuring that students benefit from a high quality education. The principal is specifically accountable for the goals set out in the school improvement plan.</p> <p><b>Practices:</b> <i>The principal:</i></p> <ul style="list-style-type: none"> <li>ensures individual staff accountabilities are clearly defined, understood, agreed to and subject to rigorous review and evaluation</li> <li>measures and monitors teacher and leader effectiveness through student achievement</li> <li>aligns school targets with board and provincial targets</li> <li>supports the school council so it can participate actively and authentically in its advisory role</li> <li>develops and presents a coherent, understandable, accurate and transparent account of the school's performance to a range of audiences (e.g., ministry, board, parents, community)</li> <li>reflects on personal contribution to school achievements and takes account of feedback from others</li> <li>participates actively in personal external evaluation and makes adjustments to better meet expectations and goals</li> <li>creates an organizational structure which reflects the school's values and enables management systems, structures and processes to work within legal requirements</li> <li>makes connections to ministry goals to strengthen commitment to school improvement efforts</li> <li>develops and applies appropriate performance management practices to goals and outcomes identified in the school improvement plan</li> </ul> <p><b>Competencies:</b> <b>Skills</b> <i>The principal is able to:</i></p> <ul style="list-style-type: none"> <li>engage the school community in the systematic and rigorous evaluation of school effectiveness</li> <li>collect and use a rich set of data to understand and assess the strengths and weaknesses of the school</li> <li>combine the outcomes of regular school self-review with provincial and other external assessments for school improvement</li> </ul> <p><b>Knowledge</b> <i>The principal has knowledge and understanding of:</i></p> <ul style="list-style-type: none"> <li>accountability frameworks including self-evaluation</li> <li>the contribution that education makes to developing, promoting and sustaining a fair and equitable society</li> <li>the use of a range of evidence to support, monitor, evaluate and improve school performance</li> <li>the principles and practices of performance management</li> </ul> <p><b>Attitudes</b> <i>The principal demonstrates:</i></p> <ul style="list-style-type: none"> <li>commitment to individual, team and whole-school accountability for student outcomes</li> <li>commitment to the principles and practices of school self-evaluation</li> <li>commitment to personal self-evaluation</li> </ul>

**Ontario Leadership Framework for Catholic Principals and Vice-Principals**  
**Part 1: Leader Practices and Competencies**

<p><b>CATHOLIC FAITH, COMMUNITY AND CULTURE</b></p>	<p><b>SETTING DIRECTIONS</b></p>	<p><b>BUILDING RELATIONSHIPS AND DEVELOPING PEOPLE</b></p>
<p>The principal nurtures Catholic faith, community, and culture and models a commitment to gospel values.</p> <p><b>PRACTICES</b> <i>The principal will:</i></p> <ul style="list-style-type: none"> <li>build and sustain a collaborative Catholic professional learning community that promotes a sense of collective responsibility for the worth and dignity of all members of the community;</li> <li>participate in liturgies and prayers that nurture Catholic School culture and faith development;</li> <li>provide pastoral care to persons and situations in need;</li> <li>promote school programs, policies and procedures that are embedded with the fundamental concepts</li> <li>of human dignity, social justice and environmental stewardship;</li> <li>establish systematic and comprehensive program links that support school, parish and family life;</li> <li>foster a commitment to equity of outcome and to closing the achievement gap.</li> </ul> <p><b>COMPETENCIES</b> <b>Skills</b> <i>The principal is able to:</i></p> <ul style="list-style-type: none"> <li>facilitate liturgical and daily prayer experiences that celebrate Catholic life and support faith formation;</li> <li>recognise persons and situations which require a pastoral response;</li> <li>foster the relationship among parents, parish and the school community to support faith development and school programs.</li> </ul> <p><b>Knowledge</b> <i>The principal knows about:</i></p> <ul style="list-style-type: none"> <li>church teaching on education, culture, and the connection of faith with culture;</li> <li>the role of the administrator in shaping the Catholic culture of the school;</li> <li>the integral role that human dignity, social justice and environmental stewardship play in the faith formation of students and staff;</li> <li>the availability of resources to provide the pastoral care;</li> <li>personal strengths, styles and strategies to deepen relationships and networks.</li> </ul> <p><b>Attitudes</b> <i>The principal demonstrates:</i></p> <ul style="list-style-type: none"> <li>commitment to faith development through modeling, facilitation and mentorship;</li> <li>a strong, authentic and active faith reflective of gospel values;</li> <li>commitment to the promotion of Catholic school culture;</li> <li>empathy for the feelings and faith perspectives of others;</li> <li>commitment to excellence and service tempered by compassion;</li> <li>commitment to equity of outcome and closing the achievement gap.</li> </ul>	<p>The principal builds a shared vision, fosters the acceptance of group goals and sets and communicates high performance expectations.</p> <p><b>PRACTICES</b> <i>The principal:</i></p> <ul style="list-style-type: none"> <li>ensures a Catholic vision is clearly articulated, shared, understood and acted upon effectively by all;</li> <li>works within the school community to translate the vision into agreed objectives and operational plans which promote and sustain school improvement; demonstrates the vision and values in everyday work and practice;</li> <li>motivates and works with others to create a vibrant Catholic learning community, shared culture and positive climate;</li> <li>ensures creativity, innovation and the equitable use of appropriate technologies to achieve excellence;</li> <li>ensures that strategic planning embraces the diversity, values, and experiences of the school and</li> <li>community;</li> <li>provides ongoing and effective communication with the school community.</li> </ul> <p><b>COMPETENCIES</b> <b>Skills</b> <i>The principal is able to:</i></p> <ul style="list-style-type: none"> <li>think strategically and build and communicate a coherent vision in a range of compelling ways;</li> <li>inspire, challenge, motivate and empower others to carry the vision forward;</li> <li>model the values and vision of the board;</li> <li>actively engage the diverse community, through outreach, to build relationships and alliances.</li> </ul> <p><b>Knowledge</b> <i>The principal knows about:</i></p> <ul style="list-style-type: none"> <li>local, national and global trends</li> <li>ways to build, communicate and implement a shared vision</li> <li>the Catholic faith tradition; local, national and global trends; ways to build, communicate and implement the Catholic vision;</li> <li>strategic planning processes;</li> <li>ways to communicate within and beyond the school;</li> <li>new technologies, their use and impact;</li> <li>leading change, creativity and innovation.</li> </ul> <p><b>Attitudes</b> <i>The principal demonstrates:</i></p> <ul style="list-style-type: none"> <li>commitment to setting and achieving ambitious, challenging goals;</li> <li>a belief that all students are created in the image of God;</li> <li>a belief that all students can learn;</li> <li>commitment to an inclusive, respectful, compassionate, equitable school culture based on Gospel values.</li> </ul>	<p>The principal strives to foster genuine trusting relationships with students, staff, families and communities, guided by a sense of mutual respect. The principal affirms and empowers others to work in the best interests of all students.</p> <p><b>PRACTICES</b> <i>The principal:</i></p> <ul style="list-style-type: none"> <li>treats people as fairly, equitably and with dignity and respect to create and sustain a caring Catholic school culture;</li> <li>develops and implements effective strategies for staff induction, professional learning, faith formation, leadership development, and performance review;</li> <li>uses delegation effectively to provide opportunities for staff to self-actualize;</li> <li>acknowledges and celebrates the achievements of individuals and teams;</li> <li>encourages colleagues to take intellectual risk; leads by example, modelling Gospel values;</li> <li>demonstrates transparent decision making and consistency between words and deeds;</li> <li>maintains high visibility in the school associated with quality interactions with staff and students.</li> </ul> <p><b>COMPETENCIES</b> <b>Skills</b> <i>The principal is able to:</i></p> <ul style="list-style-type: none"> <li>foster an open, fair and equitable culture;</li> <li>develop, empower and sustain individuals and teams;</li> <li>give and receive effective feedback;</li> <li>challenge, influence and motivate others to discipleship and servant leadership;</li> <li>communicate effectively with a diverse range of people, including the public and the media;</li> <li>manage conflict effectively;</li> <li>listen empathetically and actively;</li> <li>foster anti-discriminatory principles and practices;</li> <li>demonstrate cultural competency.</li> </ul> <p><b>Knowledge</b> <i>The principal knows about:</i></p> <ul style="list-style-type: none"> <li>the significance of interpersonal relationships, adult learning and models of continuing professional learning;</li> <li>strategies to promote individual and team development and adult faith formation;</li> <li>the relationship between performance management and school improvement;</li> <li>the impact of change on organizations and individuals;</li> </ul> <p><b>Attitudes</b> The principal demonstrates:</p> <ul style="list-style-type: none"> <li>commitment to effective working relationships;</li> <li>commitment to shared servant leadership;</li> <li>commitment to effective teamwork;</li> <li>confidence, optimism, hope, and resiliency, integrity and trust.</li> </ul>

**Part 1: Leader Practices and Competencies (cont'd)**

<p><b>DEVELOPING THE ORGANIZATION</b> The principal builds collaborative cultures, structures the organization for success, and connects the school to its wider environment.</p> <p><b>PRACTICES</b> <i>The principal:</i></p> <ul style="list-style-type: none"> <li>builds a collaborative learning culture within the school and actively engages with other schools, parishes and community partners to build effective learning communities;</li> <li>nurtures and empowers a diverse workforce;</li> <li>provides equity of access to opportunity and achievement;</li> <li>supervises staff justly and effectively;</li> <li>uses performance appraisal to foster professional growth;</li> <li>challenges thinking and learning of staff to further develop professional practice;</li> <li>develops a school ethos which promotes shared knowledge and shared responsibility for outcomes;</li> <li>builds a harmonious community which works, reflects and prays together.</li> </ul> <p><b>COMPETENCIES</b> <b>Skills</b> <i>The principal is able to:</i></p> <ul style="list-style-type: none"> <li>create efficient administrative routines to minimize efforts on recurring and predictable activities</li> <li>collaborate and network with others inside and outside the school;</li> <li>perceive the richness and diversity of school communities;</li> <li>foster a culture of change;</li> <li>engage in dialogue which builds community partnerships;</li> <li>listen and act on community feedback;</li> <li>engage students and parents.</li> </ul> <p><b>Knowledge</b> <i>The principal knows about:</i></p> <ul style="list-style-type: none"> <li>building and sustaining a Catholic professional learning community;</li> <li>change management strategies;</li> <li>models of effective partnership;</li> <li>strategies to encourage parent involvement;</li> <li>ministry policies and procedures;</li> <li>models of behaviour and attendance management.</li> </ul> <p><b>Attitudes</b> <i>The principal demonstrates:</i></p> <ul style="list-style-type: none"> <li>acceptance of responsibility for school climate and student outcomes;</li> <li>Catholic discipleship and character;</li> <li>a transforming style of leadership based on trust and mutuality;</li> <li>authenticity;</li> <li>ethical behaviour.</li> </ul>	<p><b>LEADING THE INSTRUCTIONAL PROGRAM</b> The principal sets high expectations for learning outcomes and monitors and evaluates the effectiveness of instruction. The principal manages the school effectively so that everyone can focus on teaching and learning.</p> <p><b>PRACTICES</b> <i>The principal:</i></p> <ul style="list-style-type: none"> <li>ensures a consistent and continuous school-wide focus on student achievement, using data to monitor progress;</li> <li>ensures that learning is at the centre of planning and resource management;</li> <li>develops professional learning communities in collaborative cultures to support school improvement;</li> <li>participates in the recruitment, hiring and retention of teachers with the interest and capacity to further the school's goals;</li> <li>provides resources in support of curriculum instruction and Catholic graduate expectations;</li> <li>buffers staff from distractions that detract from student achievement;</li> <li>implements strategies which secure high standards of behaviour and attendance;</li> <li>fosters a commitment to equity of outcome and to closing the achievement gap.</li> </ul> <p><b>COMPETENCIES</b> <b>Skills</b> <i>The principal is able to:</i></p> <ul style="list-style-type: none"> <li>demonstrate the principles and practice of effective teaching and learning;</li> <li>access, analyse and interpret data;</li> <li>initiate and support an inquiry-based approach to improvement in teaching and learning;</li> <li>establish and sustain appropriate structures and systems for effective management of the school;</li> <li>make organizational decisions based on informed judgements;</li> <li>manage time effectively;</li> <li>support student character development strategies;</li> <li>foster faith and moral formation of students.</li> </ul> <p><b>Knowledge</b> <i>The principal knows about:</i></p> <ul style="list-style-type: none"> <li>strategies for improving student achievement;</li> <li>effective pedagogy and assessment;</li> <li>new and emerging technologies to support teaching and learning;</li> <li>models of behaviour and attendance management;</li> <li>strategies for ensuring inclusion, diversity and access;</li> <li>curriculum design and management;</li> <li>tools for data collection and analysis;</li> <li>school self-evaluation;</li> <li>strategies for developing effective teachers and leaders;</li> <li>project management for planning and implementing change;</li> <li>legal issues to effectively manage the importance of effective student character development;</li> <li>exemplary Catholic educators and their systems of education;</li> <li>the liturgical year and appropriate ways of celebrating its major seasons and feast days with the school community.</li> </ul> <p><b>Attitudes</b> <i>The principal demonstrates:</i></p> <ul style="list-style-type: none"> <li>commitment to raising standards for all;</li> <li>commitment to closing the achievement gap;</li> <li>belief in meeting the needs of all students in diverse ways;</li> <li>commitment to sustaining a safe, secure and healthy school environment;</li> <li>commitment to upholding human rights.</li> </ul>	<p><b>SECURING ACCOUNTABILITY</b> The principal is responsible for creating conditions for student success and is accountable to students, parents, the community, supervisors and to the board for ensuring that students benefit from a high quality education. The principal is specifically accountable for the goals set out in the school improvement plan.</p> <p><b>PRACTICES</b> <i>The principal:</i></p> <ul style="list-style-type: none"> <li>ensures individual staff accountabilities are clearly defined, understood, agreed to and subject to rigorous review and evaluation;</li> <li>measures and monitors teacher and leader;</li> <li>aligns school targets with board and provincial targets;</li> <li>works with the school council providing information and support so that the council can participate actively and authentically in its advisory role;</li> <li>develops and presents a coherent, understandable, accurate and transparent account of the school's performance to a range of audiences (e.g. school council, parents, board, supervisors);</li> <li>reflects on personal contribution to school achievements and takes account of feedback from others;</li> <li>participates actively in personal external evaluation and makes adjustments to better meet expectations and goals;</li> <li>creates an organizational structure which reflects the school's Catholic values and enables the management systems, structures and processes to work effectively in line with legal requirements;</li> <li>develops and applies appropriate performance management practices to goals and outcomes identified in the school improvement plan;</li> <li>makes connections to ministry goals to strengthen commitment to school improvement efforts.</li> </ul> <p><b>COMPETENCIES</b> <b>Skills</b> <i>The principal is able to:</i></p> <ul style="list-style-type: none"> <li>engage the school community in the systematic and rigorous self-evaluation of the work of the school;</li> <li>collect and use a rich set of data to understand the strengths and weaknesses of the school;</li> <li>combine the outcomes of regular school self-review with external evaluations in order to develop the school.</li> </ul> <p><b>Knowledge</b> <i>The principal knows about:</i></p> <ul style="list-style-type: none"> <li>accountability frameworks including self-evaluation;</li> <li>the contribution that education makes to developing, promoting and sustaining a fair and compassionate society;</li> <li>the use of a range of evidence to support, monitor, evaluate and improve aspects of school performance;</li> <li>the principles and practices of performance management.</li> </ul> <p><b>Attitudes</b> <i>The principal demonstrates:</i></p> <ul style="list-style-type: none"> <li>commitment to individual, team and whole-school accountability for student outcomes;</li> <li>commitment to the principles and practices of school self-evaluation;</li> <li>commitment to personal self-evaluation and reflection;</li> <li>commitment to Catholic values and their implementation.</li> </ul>
---	--	---

**Ontario Leadership Framework for Principals and Vice-Principals  
 Part 2: System Practices and Procedures**

<p><b>School and School Board Improvement</b></p> <p>The commitment the board demonstrates to raising student achievement and closing student achievement gaps, to treating people ethically, and to empowering the whole board</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>• The board provides support for building a common vision and mission for the school.</li> <li>• All members of the school system (e.g., trustees, leaders, staff, school council members) work together to take responsibility for the learning of all students.</li> <li>• The board recognizes the importance of professional learning communities and communities of practice as ways of supporting school improvement.</li> <li>• The board supports capacity-building as the route to improved student achievement.</li> <li>• The board exhibits a culture that supports school-based innovation within the board's shared vision.</li> <li>• The board provides financial resources to support school improvement planning.</li> </ul>	<p><b>Fostering a Culture of Professionalism</b></p> <p>The procedures that the board uses to ensure that it has positive working relationships with its school leaders, so that principals feel that they are respected and trusted leaders within the system and that their input is sought and considered</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>• The board has policies and processes in place that enhance positive working relationships.</li> <li>• The board supports the development of a positive and supportive school climate in its schools.</li> <li>• The board recognizes excellence at all levels of the organization.</li> <li>• Flexible structures at all levels of the system communicate a culture of respect.</li> </ul>	<p><b>Leadership Development</b></p> <p>The approaches and activities that the board has in place to provide the necessary training and opportunities for principals to build their capacity to be visionary instructional leaders and managers of a changing culture in their schools</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>• The board's leadership development model is based on a definition and a shared understanding of effective leadership that is consistent with evidence of best practice.</li> <li>• The leadership development model is consistent with evidence-based best practices, institutionalized, and communicated to all personnel.</li> <li>• Leadership development processes reflect contemporary understandings of leadership and learning.</li> <li>• The board's leadership plan is evaluated on an on-going basis.</li> </ul>
--	---	---

**Part 2: System Practices and Procedures (cont'd)**

<p><b>Administrative Structures</b></p> <p>The procedures that the board follows and the administrative structures that it has in place to streamline and buffer internal and external requests (e.g., mail, e-mail, and requests for data) and to provide central office support, including technological resources, to reduce the administrative burden on principals.</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>• The board has a system for coordinating demands made on schools and for gate keeping external requests.</li> <li>• The board provides support for school leaders to implement board policies and procedures.</li> <li>• The board provides technical support for technology applications in schools and data-driven decision making.</li> <li>• The board has clear lines of communication to support a variety of school leader functions.</li> <li>• The board provides human resources to support principals as instructional leaders.</li> </ul>	<p><b>Parent and Community Supports</b></p> <p>The procedures that the board has in place to assist and to support schools in involving parents and community in the school.</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>• The board provides training for school council chairs.</li> <li>• The board has developed protocols for schools' liaisons with community agencies and services (e.g., public health agencies, municipal services, community police).</li> <li>• The board provides communication expertise for public communications (e.g., letters home, press releases for events, communications related to emergencies).</li> <li>• There are protocols for communication between board and school leaders about parental concerns and complaints.</li> <li>• The board provides support for the use of school volunteers.</li> </ul>	<p><b>Succession Planning, Including Recruitment, to Build Capacity and Retain and Sustain Effective Leaders</b></p> <p>The procedures the board has in place to ensure that high quality candidates are ready and willing to take on school leadership roles and that all aspects of the transition from one leader to the next have been carefully considered.</p> <p>Indicators:</p> <ul style="list-style-type: none"> <li>• The board has well-developed, well-communicated, and inclusive identification and recruitment practices.</li> <li>• The board provides training and development for aspiring leaders.</li> <li>• The board uses selection processes that are systematic, transparent and inclusive.</li> <li>• Supports are in place for newly appointed administrators.</li> <li>• The board's placement and transfer processes for school leaders include supports for success.</li> </ul>
---	--	---

### 3.3 Performance Plan Working Template and Samples

#### Instructions for Completing the *Performance Plan*

- ♦ The first five sections (school and community characteristics, goals, strategies, competencies and indicators) of the *Performance Plan* 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 at the end of the year.

#### Goals

- ♦ The appraisee develops goals to improve student achievement building on the board's strategic plan, the school improvement plan, the school community and local context, the ministry priorities and personal goals.
- ♦ Goals should be results-based and measurable.
- ♦ The time frame could be more than one year, but must have interim measurements.
- ♦ The number of goals should be from two to four.
- ♦ There should be some variety in the types of goals, i.e. between those with quantitative targets and those more suited to qualitative measures.

#### Strategies to support goals

- ♦ Strategies are the actions that the appraisee will take to realize the stated goals. These actions are commitments that the appraiser makes and for which the appraisee will be held accountable.
- ♦ Strategies should be structured to be carried out within the appraisal year.
- ♦ In determining the strategies, the appraisee will consider the leadership competencies necessary to be an effective principal or vice-principal and the leadership practices known to have a positive impact on student achievement as set out in the Ontario Leadership Framework.

#### Competencies

- ♦ The appraisee selects competencies from the Ontario Leadership Framework that closely align with and support the goals.

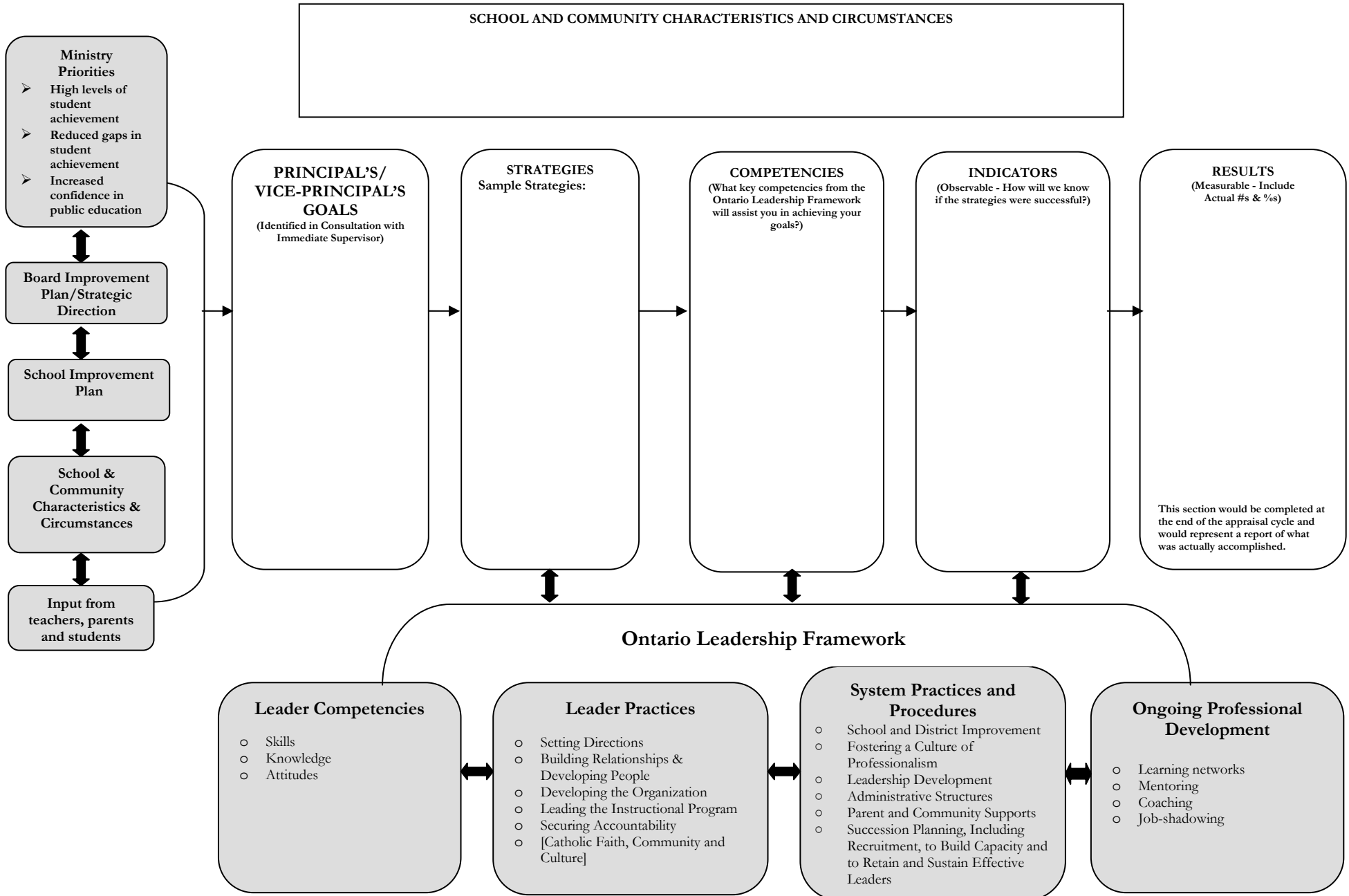
#### Indicators

- ♦ The indicators of success describe how someone knows the strategy was successful.
- ♦ Indicators must be observable and measurable and may be either qualitative or quantitative.

#### Results

- ♦ The results section records what actually happened in relation to the goals set.
- ♦ The results section is intended to provide an opportunity for explanatory notes.
- ♦ The results section will help set direction for future goals and strategies and help determine professional growth needs for the following year.

## Performance Plan Working Template



# Performance Plan Working Template – Example 1

**SCHOOL AND COMMUNITY CHARACTERISTICS AND CIRCUMSTANCES**

**Who:** Staff and students  
**Where:** Urban, public, elementary school, 1200 students, staff of 80, 12 of which are new teachers, low socio-economic area  
**What:** Provide opportunities for new teachers to work with experienced teachers to increase their ability to use data effectively to plan programs for students  
**When:** September - June  
**Why:** Using data to identify areas where students are having specific problems will inform precise program choices and increase student achievement

**Ministry Priorities**

- High levels of student achievement
- Reduced gaps in student achievement
- Increased confidence in public education

**Board Improvement Plan/Strategic Direction**

**School Improvement Plan**

**School & Community Characteristics & Circumstances**

**Input from teachers, parents and students**

**PRINCIPAL'S/ VICE-PRINCIPAL'S GOALS**  
 (Identified in Consultation with Immediate Supervisor)

- 1) Increase the percentage of students achieving board standard or higher in reading and writing common assessments by end of year (see attached School Improvement Plan for setting goals collaboratively i.e. SMART goals) \*
- 2) Staff will gain the skills necessary to develop expertise in using data: gathering, analyzing, and making decisions to develop their plan  
 \* Example of SMART Goal:  
 Baseline - 35% at grade level at start of year (Gr 7 common reading assessment)  
 Goal - 85% at grade level at end of year

**STRATEGIES**  
 Sample Strategies:

- Gather baseline common assessment data in September
- Set SMART goals based on students entry achievement levels and previous trend data
- Consistently monitor student progress through PLCs (use datawall, database, and classroom profiles)
- Provide training for new teachers and mentors on data analysis and use of data to drive decision making
- Gather research on effective use of data to drive decision making

**COMPETENCIES**  
 (What key competencies from the Ontario Leadership Framework will assist you in achieving your goals?)

- Foster a culture of change
- Initiate and support an inquiry-based approach to improvement in teaching and learning
- Access, analyse and interpret data

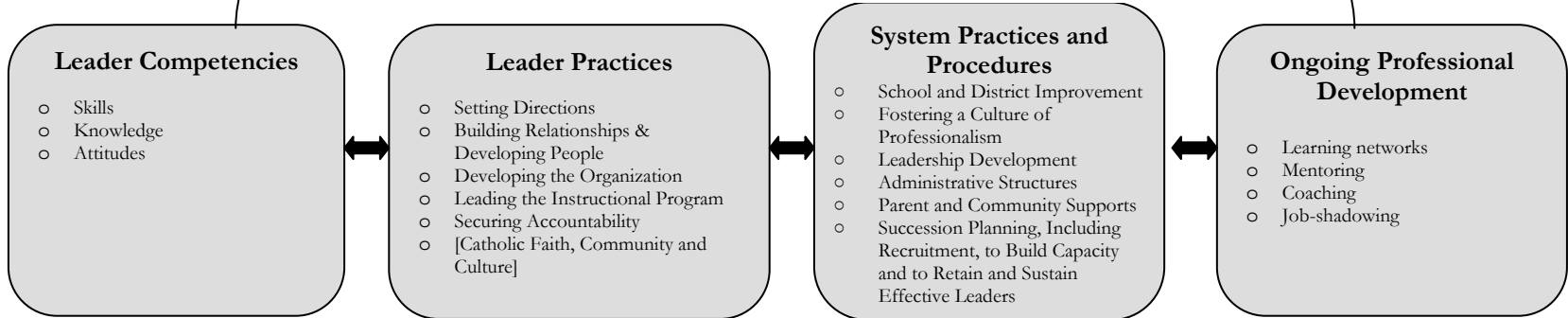
**INDICATORS**  
 (Observable - How will we know if the strategies were successful?)

- SMART goals are developed using common assessments
- Evidence of growth in teachers' understanding of use of data
- Evidence that teacher programming and practice in classrooms is increasingly based on assessment and analysis of data
- Evidence of collaborative sharing of teaching practices
- Staff data analysis training completed

**RESULTS**  
 (Measurable - Include Actual #s & %s)

- Common assessment SMART goals achieved in reading and writing (see attached School Improvement Plan and graphs)
- Teacher survey results indicate increased levels of expertise and understanding in planning programs based on data
- Teacher survey results indicate increased collaboration and networking among staff sharing of ideas and resources to plan appropriate programs for students based on data analysis

**Ontario Leadership Framework**



# Performance Plan Working Template – Example 2

**SCHOOL AND COMMUNITY CHARACTERISTICS AND CIRCUMSTANCES**

**Who:** Staff and grade 9 students at risk of not passing applied mathematics  
**Where:** Urban secondary school, 1600 students, staff of 100, small percentage are post secondary bound  
**What:** Increase number of students who pass grade 9 applied mathematics  
**When:** May (previous school year) – June (current school year)  
**Why:** Important for students to be engaged and interested in required subjects and be able to demonstrate knowledge and skills in a variety of ways

**Ministry Priorities**

- High levels of student achievement
- Reduced gaps in student achievement
- Increased confidence in public education

**Board Improvement Plan/Strategic Direction**

**School Improvement Plan**

**School & Community Characteristics & Circumstances**

**Input from teachers, parents and students**

**PRINCIPAL’S/ VICE-PRINCIPAL’S GOALS**  
 (Identified in Consultation with Immediate Supervisor)

- 1) Increase the percentage of students passing grade 9 applied mathematics (SMART Goal – 12% increase from previous year)
- 2) Staff implement TIPS lesson outlines and integrate effective instructional approaches to support higher levels of student engagement and achievement

**STRATEGIES**  
 Sample Strategies:

- Arrange for grade 8 and 9 teachers meet to discuss incoming students with a focus on strengths/needs, instructional strategies and supports
- Support grade 8 and 9 teachers review of school-based assessments, report card data and provincial assessment results to determine and coordinate effective instructional approaches
- Support PLCs focus on working with student samples and assessment data connected to TIPS lessons
- Provide opportunities for co-planning, co-teaching and observation

**COMPETENCIES**  
 (What key competencies from the Ontario Leadership Framework will assist you in achieving your goals?)

- Initiate and support an inquiry-based approach to improvement in teaching and learning
- Use a range of evidence to support, monitor, evaluate and improve school performance
- Develop, empower and sustain individuals and teams

**INDICATORS**  
 (Observable - How will we know if the strategies were successful?)

- Classroom visits and discussions with school improvement team highlight further implementation of effective instructional practices
- Reviewed strategies with grade 9 teachers to determine necessary professional development and resources
- Students actively engaged in applied math classes
- Met with grade 9 students to determine their perceptions
- Teachers actively engaged in PLC
- The TIPS resources are shared with and utilized by staff

**RESULTS**  
 (Measurable - Include Actual #s & %s)

- Grade 9 applied mathematics passing rate increased by 14% (34% over 4 years)
- Significant increases in ‘Strongly agree or agree’ for ‘I like mathematics’ and ‘I am good at mathematics’ on the grade 9 EQAO assessment of mathematics
- Significant increase in ‘disagree or strongly disagree’ for ‘Mathematics is boring’ on the grade 9 EQAO assessment of mathematics

**Ontario Leadership Framework**

**Leader Competencies**

- Skills
- Knowledge
- Attitudes

**Leader Practices**

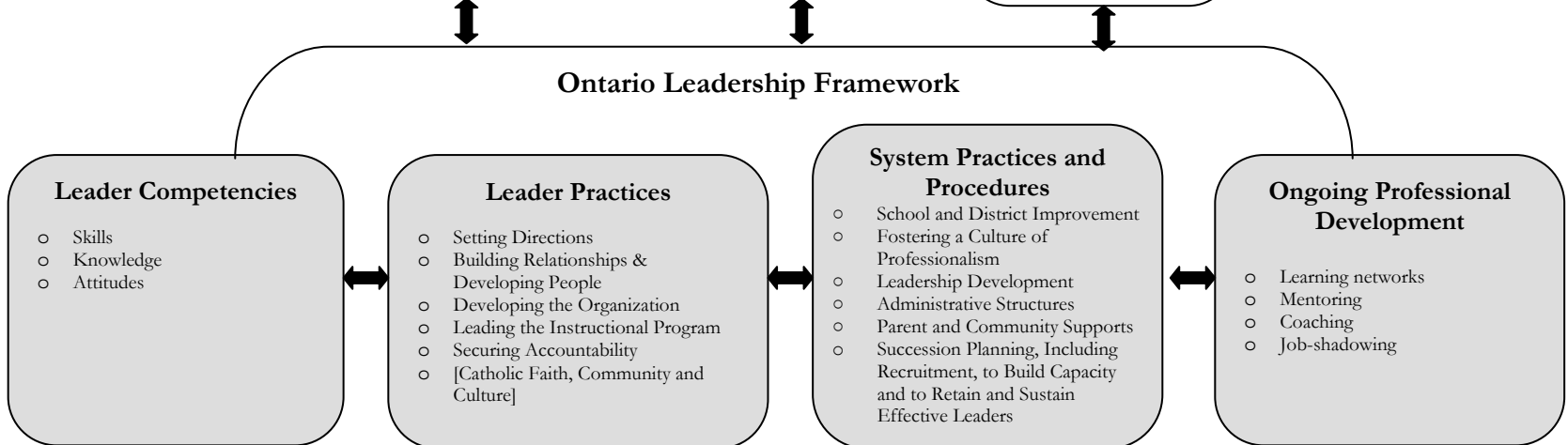
- Setting Directions
- Building Relationships & Developing People
- Developing the Organization
- Leading the Instructional Program
- Securing Accountability
- [Catholic Faith, Community and Culture]

**System Practices and Procedures**

- School and District Improvement
- Fostering a Culture of Professionalism
- Leadership Development
- Administrative Structures
- Parent and Community Supports
- Succession Planning, Including Recruitment, to Build Capacity and to Retain and Sustain Effective Leaders

**Ongoing Professional Development**

- Learning networks
- Mentoring
- Coaching
- Job-shadowing



# Performance Plan Working Template – Example 3

## SCHOOL AND COMMUNITY CHARACTERISTICS AND CIRCUMSTANCES

**Who:** Primary/Junior students  
**Where:** Rural elementary school, 450 students, staff of 30, depressed area  
**What:** Close the gender achievement gap in writing and encourage parental involvement in students' literacy  
**When:** Beginning in September  
**Why:** Important for boys to see themselves as competent readers and writers. Parent engagement is an important contributor to student success

**Ministry Priorities**

- High levels of student achievement
- Reduced gaps in student achievement
- Increased confidence in public education

**Board Improvement Plan/Strategic Direction**

**School Improvement Plan**

**School & Community Characteristics & Circumstances**

**Input from teachers, parents and students**

**PRINCIPAL'S/ VICE-PRINCIPAL'S GOALS**  
 (Identified in Consultation with Immediate Supervisor)

- 1) Reduce writing achievement gap between boys and girls in grade 5: improve grade 5 boys writing achievement scores from Level 1+ /2- to 3- or above on common assessments (SMART goal:  
 Baseline - 11 boys receiving level 1+ or 2- on beginning of year common writing assessment (below grade level)  
 Goal - 80% at grade level at end of year (9 of the 11 at grade level)
- 2) Increase parent engagement in home reading program

**STRATEGIES**  
 Sample Strategies:

- Literature review (boys writing achievement)
- Initiate effective implementation of writing frameworks
- Pre and post common writing assessment
- Review and implement effective literacy practices (precision teaching to the strengths/needs of boys)
- Purchases of non-fiction
- Gather research on the important role the home plays in enhancing literacy skills
- Work through the School Council to provide information and workshops for parents on the role the home plays in enhancing literacy skills
- Implement home reading program

**COMPETENCIES**  
 (What key competencies from the Ontario Leadership Framework will assist you in achieving your goals?)

- Access, analyze and interpret data
- Engage the school community in the systematic and rigorous evaluation
- Collect and use a rich set of data to understand and assess the strengths and weaknesses of the school
- Work within the school community to translate the vision into agreed objectives and operational plans which promote and sustain school improvement

**INDICATORS**  
 (Observable - How will we know if the strategies were successful?)

- PLCs include rich data to inform progress, direction and discussion (student samples, assessment results and portfolios)
- PLCs supported school-wide curriculum mapping
- Teachers demonstrated increased confidence and skill in: data analysis, scoring of common assessments, formative assessment, precision teaching
- Comprehensive literacy plan developed to reach parents and community
- School Council in-serviced parents, Home & Literacy Skills, at school and other venues

**RESULTS**  
 (Measurable - Include Actual #s & %s)

- 73% of the boys achieved level 3- or above in writing on the writing common assessment (8 of the 11 at grade level)
- Grade 6 EQAO – Writing 16% gain in 1 year (28% gain over 2 years) (32% gain over 3 years)
- 70% increase in number of students and parents taking home/requesting books through the school home book program

## Ontario Leadership Framework

**Leader Competencies**

- Skills
- Knowledge
- Attitudes

**Leader Practices**

- Setting Directions
- Building Relationships & Developing People
- Developing the Organization
- Leading the Instructional Program
- Securing Accountability
- [Catholic Faith, Community and Culture]

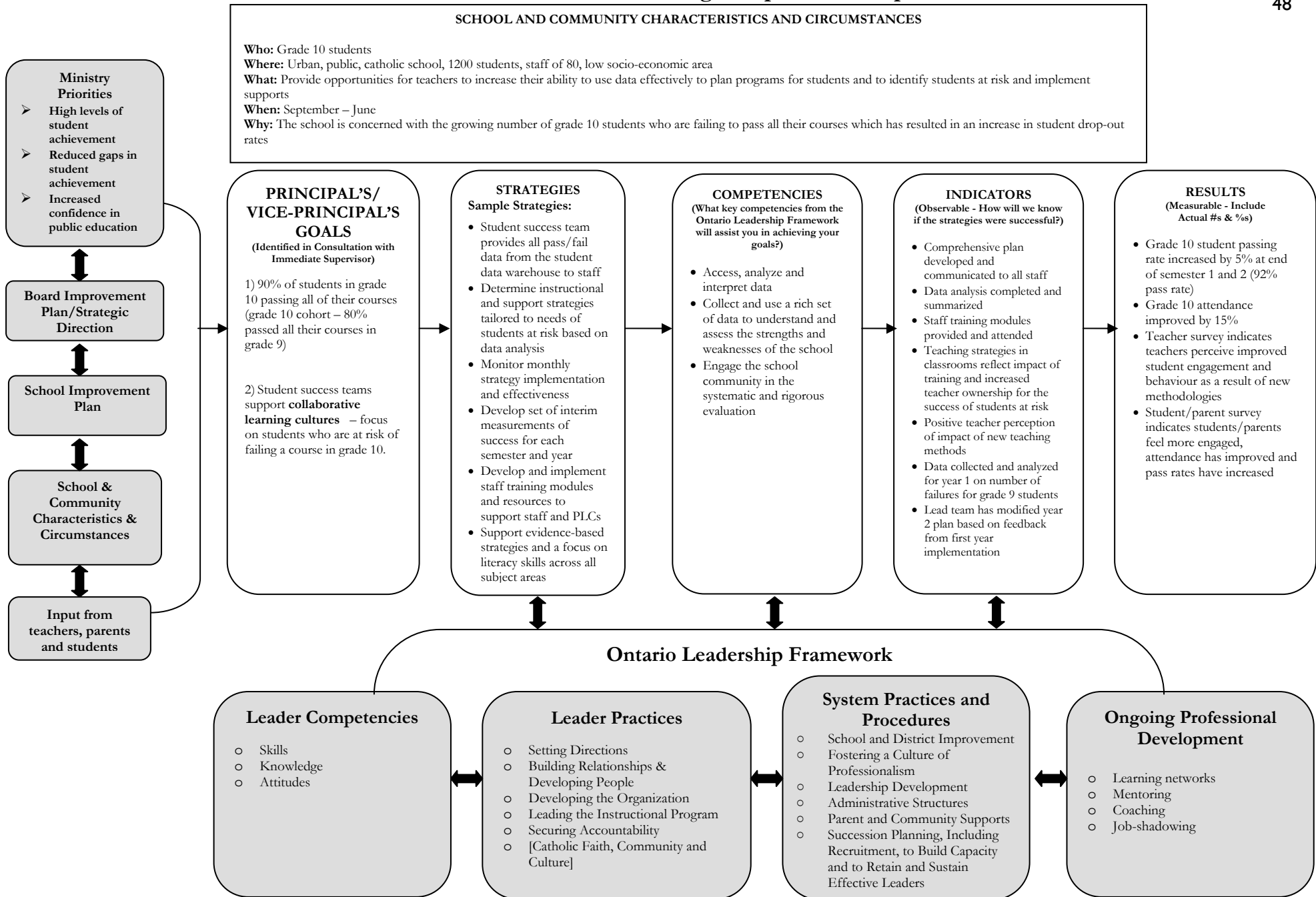
**System Practices and Procedures**

- School and District Improvement
- Fostering a Culture of Professionalism
- Leadership Development
- Administrative Structures
- Parent and Community Supports
- Succession Planning, Including Recruitment, to Build Capacity and to Retain and Sustain Effective Leaders

**Ongoing Professional Development**

- Learning networks
- Mentoring
- Coaching
- Job-shadowing

# Performance Plan Working Template – Example 4

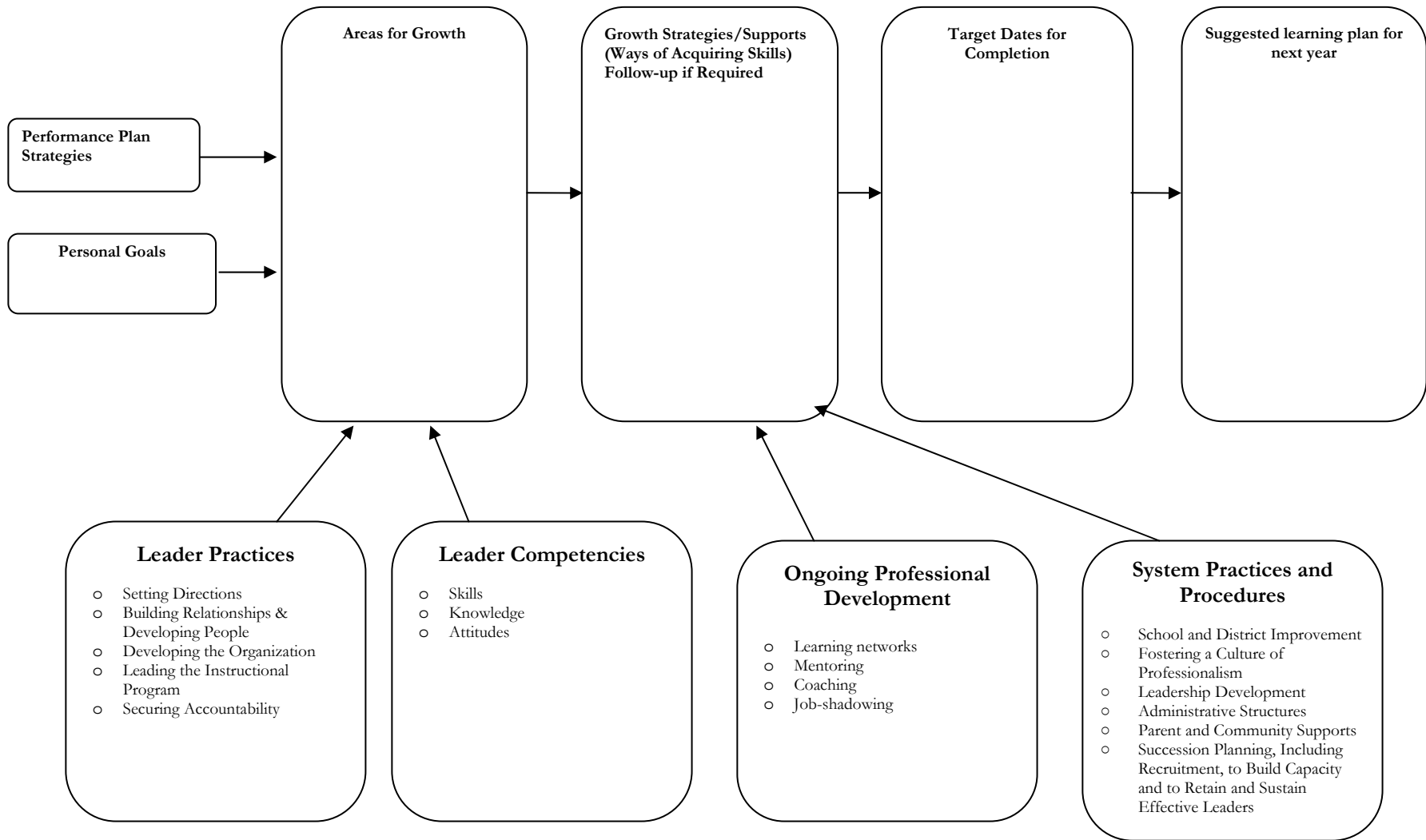


### 3.4 Annual Growth Plan Working Template and Sample

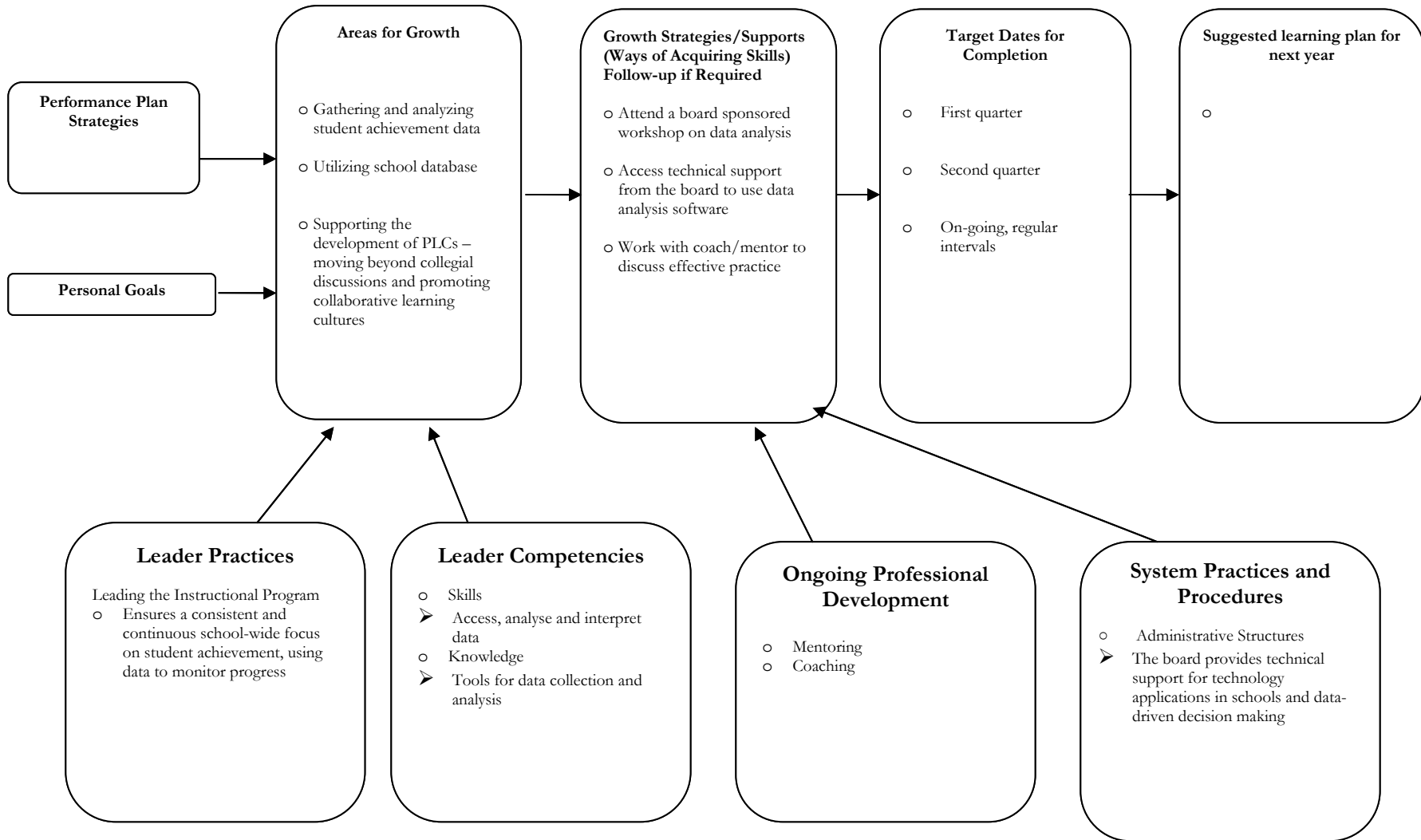
#### Instructions for completing the *Annual Growth Plan*

- ♦ 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 competencies (knowledge, skills and attitudes) and practices (actions, behaviours, functions) known to improve student achievement as identified in the Ontario Leadership Framework and which are intended to support the implementation of the *Performance Plan*.
- ♦ It should include areas needing development for the current position as well as areas needed for growth.
- ♦ The areas for growth, growth strategies/supports and target dates will be agreed to in conjunction with the goals and strategies sections of the *Performance Plan*.
- ♦ The suggested growth plan for the next year will be completed in conjunction with the results section of the *Performance Plan*.
- ♦ The appraiser and appraisee must both sign the appraisee's *Annual Growth Plan*, including in non-evaluation years, and retain a copy for their records.

Annual Growth Plan Working Template



## Annual Growth Plan Working Template – Example



### 3.5 Summative Report Form for Principals and Vice-Principals

#### Instructions for Completing the *Summative Report Form*

- The appraisee completes the results section of the Performance Plan and submits it (along with explanatory notes and supporting documents) to the appraiser along with their 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.
- The appraiser's summary comments should reflect the assessment of the results achieved and the progress towards the results in the context of challenges met by the appraisee.
- The appraiser must determine a rating, *Satisfactory* or *Unsatisfactory* and sign the form.
- The appraiser must ensure that the appraisee receives a copy of the Summative Report within 10 school days of having received the completed Performance Plan from the appraisee.
- 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.

**Summative Report Form for Principals and Vice-Principals**

**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

--

In thinking about what you have observed in the principal/vice-principal's performance and the professional dialogue you have had with the principal/vice-principal during the appraisal year, there may be some practices and competencies from their Performance Plan that you wish to highlight that have contributed strongly to the principal/vice-principal's overall performance in achieving their goals.

--

In thinking about what you have observed in the principal/vice-principal's performance and the professional dialogue you have had with the principal/vice-principal during the appraisal year, there may be some practices and competencies from their Performance Plan that you wish to highlight that could be strengthened for further growth and development.

--

Overall Rating/Summative Statement of Performance

The supervisory officer/principal will provide an overall rating and a summative statement of the principal's/vice-principal's performance based on the results achieved.

Supervisory Officer's/Principal's summary 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

## 3.6 Improvement Plan Working Template and Sample

### 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 2.7 The Rating Scale) what the appraisee did that was ineffective or unsuccessful which 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 competencies from the Performance Plan that need attention (see Section 3.2 Ontario Leadership Framework for Principals and Vice-Principals).
- ♦ 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 actions and indicators expected.
- ♦ The appraiser will consult with the appraisee to establish the developmental activities the principal/vice-principal undertakes, 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 and appraisee must both sign the appraisee’s Improvement Plan and retain a copy for their records.

#### Instructions to the Principal/Vice-Principal (appraisee)

- ♦ The appraisee will consult with the appraiser to determine what actions the appraisee needs to take in order to address the concern, as well as, what results would indicate the appraisee has been successful in addressing the concern.

## 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 The Rating Scale - Determining the Rating)	Explanation of concern	Competencies Needing Attention (from the Ontario Leadership Framework)	Action to be Taken (developed by appraisee in consultation with appraiser)	Indicators of Success (developed by appraisee in consultation with appraiser)	To be completed by
The extent to which the appraisee worked diligently and consistently towards the implementation of strategies identified in the Performance Plan					
The effectiveness of efforts made to overcome challenges faced by the					

appraisee in carrying out the strategies in the Performance Plan					
The effectiveness of the appraisee's efforts to engage others in the delivery of the strategies					
The actual results achieved or not achieved					
The rationale provided by the appraisee for results not achieved					
The demonstrated ability and willingness of the appraisee to develop strategies to address results not achieved					

<b>Learning Needs of Appraisee to carry out improvement plan strategies: (to be developed by appraisee, in consultation with appraiser)</b>	
<b>Need</b>	<b>Strategies and supports to be provided</b>
•	•
•	•

\_\_\_\_\_  
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

## Sample Improvement Plan Working Template (with examples)

### 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 The Rating Scale - Determining the Rating)	Explanation of concern	Competencies Needing Attention (from the Ontario Leadership Framework)	Action to be Taken (developed by appraisee in consultation with appraiser)	Indicators of Success (developed by appraisee in consultation with appraiser)	To be completed by
The extent to which the appraisee worked diligently and consistently towards the implementation of strategies identified in the Performance Plan	<i>Sample comments:*</i> No evidence that the principal took concrete actions to implement strategies	<i>Sample comments:*</i> Establish and maintain appropriate structures and systems for effective management of the school	<i>Sample comments:*</i> Develop an implementation team of staff, led by the principal to carry out strategies	<i>Sample comments:*</i> Implementation team set up and has developed an action plan	<i>Sample comments:*</i> Within 30 days** of receipt of this plan
The effectiveness of efforts made to overcome challenges faced by the appraisee in carrying out the	Principal met staff resistance to change and was unable to address	Knowledge of change management strategies	Attend board workshop on change management; review literature on change	Evidence of change management strategies in place – sharing of goals,	Workshop Date: XX, 20XX Participation of

<b>Element of Criteria for Rating (as per the criteria from section 2.7 The Rating Scale - Determining the Rating)</b>	<b>Explanation of concern</b>	<b>Competencies Needing Attention (from the Ontario Leadership Framework)</b>	<b>Action to be Taken (developed by appraisee in consultation with appraiser)</b>	<b>Indicators of Success (developed by appraisee in consultation with appraiser)</b>	<b>To be completed by</b>
strategies in the Performance Plan			management	engagement of staff, more participation by staff	staff within 45 days** of workshop.
The effectiveness of the appraisee's efforts to engage others in the delivery of the strategies	No evidence that principal has successfully engaged staff in the delivery of goals	Inspire, challenge, motivate and empower others to carry the vision forward	Develop an engagement strategy for staff; share key goals; create forums for discussion and debate about strategies; enlist support of staff in implementation	Staff feel informed and included in plans. Staff have joined the implementation team.	Within 45 days** of receipt of this plan
The actual results achieved or not achieved	Results have not been achieved	Has knowledge of a range of evidence to support, monitor, evaluate and improve school performance	Work on implementation strategies above	As above	n/a
The rationale provided by the appraisee for results not achieved	None given				
The demonstrated ability and willingness of the appraisee to develop strategies to address results not achieved	Not applicable at this time.				

<b>Learning Needs of Appraisee to carry out improvement plan strategies: (to be developed by appraisee, in consultation with appraiser)</b>	
<b>Need</b>	<b>Strategies and supports to be provided</b>
<ul style="list-style-type: none"> <li>Change management strategies</li> </ul>	<ul style="list-style-type: none"> <li>Board workshop on XXX(date) (appraisee to schedule)</li> <li>Review of literature: (list sources or consult professional library) (appraisee)</li> </ul>
<ul style="list-style-type: none"> <li>Staff engagement strategies</li> </ul>	<ul style="list-style-type: none"> <li>Discuss with coach (to be identified by appraiser) (appraisee to contact and schedule)</li> </ul>
<ul style="list-style-type: none"> <li>Knowledge about collecting and reviewing data to support goals</li> </ul>	<ul style="list-style-type: none"> <li>Consult resource materials provided by board; discuss with coach</li> </ul>

\* Sample comments are shown. Additional items may be included where relevant.

\*\* Timeframes will be decided by the appraiser in consultation with the appraisee and will be based on what is considered reasonable for the action to be taken.

### 3.7 Frequently Asked Questions

The following are frequently asked questions about:

- The Principal/Vice-Principal Performance Appraisal Model
- Implementation
- New Principals/Vice-Principals
- The Performance Plan
- Goals
- Indicators
- Rating Principal/Vice-Principal Performance
- Human Resources

#### The Principal/Vice-Principal Performance Appraisal Model

**Q1. Why does the ministry believe that principal/vice-principal appraisal is important?**

A1. The performance appraisal model provides principals and vice-principals with processes and procedures that will support improvement in their leadership and in turn, student achievement. A fair and consistent appraisal process reflecting common professional expectations will contribute to increasing respect and security for principals and vice-principals.

**Q2. In order to become a principal in my board, I had to demonstrate that I was an excellent teacher and that I had leadership skills. I have been a successful principal for a number of years. Why does the ministry believe that I need to be rated in my performance at this point in my career?**

A2. Professional growth is important at all stages of one's career and the principalship is no exception. In the field test, the benefit rated most highly by appraisees from involvement in the appraisal process was the rich dialogue with supervisors about their work. The rating system provides a measure of accountability that supports the ministry's goal of increasing public confidence.

**Q3. Does each board have to implement the new principal/vice-principal performance appraisal model?**

A3. Boards are encouraged to implement the appraisal model but are not required to at this time.

**Q4. Why isn't the Principal/Vice-Principal Performance Appraisal model the same as the Teacher Performance Appraisal model?**

A4. The model recognizes that principals/vice-principals are managers and instructional leaders whose professional responsibilities are different from teachers and so their appraisal model reflects this. School leaders have to demonstrate the ability to set school goals and lead staff in achieving these goals. There are similarities between the two models including:

- A focus on professional growth
- An annual growth or learning plan
- Effective dialogue with the appraiser through the process
- The use of a two point rating scale and a five year cycle.

**Q5. Our board already has an effective model of appraisal for principals. Do we have to change to the ministry's model?**

A5. One of the key goals of the appraisal model is to provide a consistent process for assessing principals/vice-principals across the province. Having a common provincial system will increase confidence that we have consistent expectations for principals and vice-principals across the province. It will assure principals and vice-principals that a fair process is being followed across boards. For these reasons, boards are encouraged to implement all aspects of the model.

**Q6. Is there still an opportunity to have input into changes to the model?**

A6. Yes. During the implementation of the appraisal model, boards can provide feedback to the ministry by filling out the Reader Response form on the last page of the guideline.

**Q7. Will this model be regulated in the future?**

A7. The ministry will be seeking to introduce a regulation governing PPA. Such a regulation must be implemented by, and is conditional upon, the approval of the regulation by the Lieutenant Governor in Council. The ministry intends to seek the approval from the Lieutenant Governor in Council in Spring 2010 with the result that, if approval of the regulation is granted, boards would be required to implement it for the 2010-11 school year.

## **Implementation**

**Q8. What funding will be available from the Ministry for the PPA?**

A8. Funding to support PPA implementation (e.g. training, resources) will be made available to boards in Fall, 2009.

**Q9. What training is provided for me as an appraiser?**

A9. Principal and supervisory officer associations will be conducting PPA training throughout the 2009-10 school year. Boards will be able to use ministry funding to access this training.

**Q10. What supports are available for boards implementing PPA?**

A10. The revised PPA guideline is a detailed document which provides clarification about the processes and timelines for appraisal as well as advice and suggested approaches. Principal and supervisory officer associations will be conducting PPA training throughout the 2009-10 school year. Regional teleconferences will be held throughout the year to answer questions and share effective practices. Regional sessions for mentoring and appraisal were held in the fall of 2008 and board leads had the opportunity to meet together with the ministry at these sessions. Every region has at least one board that participated in the field test of PPA during the 2007-08 year and these boards can be contacted for advice.

**Q11. What can I expect from my supervisory officer in the appraisal process?**

A11. Section 2.1 Roles and Responsibilities - Role of Supervisory Officers in the Principal/Vice-Principal Performance Guideline outlines the role. You can expect to receive support and guidance from your

supervisory officer in the role of appraiser as well as ongoing professional dialogue about your progress.

### **New Principals/Vice-Principals**

**Q12. Is a principal/vice-principal considered “new” if he or she moves from an elementary school to a secondary school?**

A12. No, a principal/vice-principal is still considered to be an experienced principal as long as he or she has served in the role for a minimum of one year.

**Q13. I am a new principal/vice-principal. Do I need to have a Performance Plan in my first year of the job?**

A13. No. Only the Annual Growth Plan is required within the first year as a new principal/vice-principal. Near the end of the first year (in May) the principal/vice-principal will be asked to develop a Performance Plan for the following year.

**Q14. Why are new principals / vice-principals only appraised in their second year, unlike new teachers who are appraised in their first year.**

A14. The role of principal/vice-principal is different from the role of teachers and requires a different set of competencies that new school leaders will need to develop in their first year. A principal/vice-principal is required to meet goals by working with staff. During the first year, the principals/vice-principals will need the time to develop their relationships and put structures in place that will help them to achieve goals in the second year.

### **The Performance Plan**

**Q15. What’s the difference between the Performance Plan and the Annual Growth Plan?**

A15. The Performance Plan is used by the principal/vice-principal to outline key goals to improve student achievement and the strategies that will be used to attain those goals. The Plan will be used to conduct an assessment of the appraisee leading to a performance rating.

The Annual Growth Plan outlines the individual competencies from the Ontario Leadership Framework that the principal/vice-principal would like to focus on during the appraisal year and in the intervening years between appraisals. The Growth Plan supports the implementation of strategies in the Performance Plan and the actions the principal/vice-principal will take to enhance these competencies.

**Q16. I am a new principal with a mentor. What’s the difference between the Annual Growth Plan in PPA and the learning plan in mentoring?**

A16. 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. Mentees may use their Annual Growth Plan as a basis for informing their Mentoring Learning Plan. The Annual Growth Plan must be signed by the appraiser in accordance with the procedures for the Annual Growth Plan in non-evaluation years. The

Learning Plan, within the context of mentoring, remains confidential between the mentor and the mentee and is not signed by the supervisor.

**Q17. How is the Performance Plan different from the school improvement plan?**

A17. Each board determines the requirements it has for school improvement plans and these may differ from board to board. The appraisal model provides a common provincial Performance Plan template which identifies how it is developed and what should be included for all principals and vice-principals. It is likely that there will be similarities between the plans since the principal is charged with implementing both plans. Some goals developed for the school improvement plan may be duplicated in the Performance Plan if these are the goals that the appraiser and appraisee agree should be the focus of the appraisal.

**Q18. Do I have to share my Performance Plan with my teaching staff?**

A18. No. However, it will be helpful in getting staff on board with important goals in the plan to communicate with staff what the priorities for the year are and how you will work together to accomplish these.

**Goals**

**Q19. My school improvement plan has five areas that we are required to complete--do I need to have five areas, and the same goals, for my Performance Plan?**

A19. No, the Performance Plan requires only two to four goals and does not have to match the school improvement plan; however, the school improvement plan should be considered when developing goals.

**Q20. If I only choose three goals for my Performance Plan against which I will be appraised, this will not include many other things that I do to keep my school running effectively. How can my supervisor take all of these others things into account when doing my appraisal?**

A20. The selection of a few goals for the Performance Plan provides the opportunity for the principal/vice-principal to focus the appraisal on these key areas which the principal/vice-principal will make the priorities for the year. It is understood that the role of principal or vice-principal includes a broad range of responsibilities and activities that must be carried out every year and for which the principal/vice-principal is accountable to the supervisor. Many of these activities will contribute indirectly to the accomplishment of the goals in the Performance Plan. The focused goals in the plan allow for a more in-depth implementation to be done on the priority areas.

**Q21. Can my superintendent insist that I choose certain goals that he/she is interested in?**

A21. The appraiser and appraisee are to discuss and agree upon goals that match the requirements of the appraisal process – challenging and achievable, SMART, and informed by school context, board and ministry goals. The appraiser has the final say in signing off the Performance Plan.

**Q22. How can I be appraised against goals related to student achievement when I don't have control over student results?**

A22. The principal/vice-principal should endeavour to set goals that are realistic and achievable. The nature of principal leadership is such that the principal must work with staff to achieve goals together, as described in the Ontario Leadership Framework in the second domain, “Building relationships and developing people.”

Sometimes there are factors that arise that make it difficult to achieve the expected results. The rating process, as described in Section 2.7 of this guideline outlines how the appraiser can take these into account when deciding the rating.

**Q23. What do I do if my teachers aren’t willing to work towards the student achievement goals that I have put in my Performance Plan?**

A23. Within a school setting, both the school leaders and teachers have an obligation to achieve school improvement goals. Since the Performance Plan will reflect school goals, it is expected that leaders and teachers will collaborate to achieve positive results for all students. As described in the Ontario Leadership Framework, it is important that both principals and vice-principals engage teachers in developing the vision and goals for the school and build relationships with staff to implement these goals. A principal/vice-principal new to the role may also want to discuss change management strategies with his or her mentor. A more experienced principal/vice-principal can discuss this with the appraiser and this could lead to support for professional learning opportunities around change management that will be helpful in achieving goals with staff.

**Q24. What if there are unforeseen circumstances that unfold that make it impossible for me to achieve my goals?**

A24. As indicated in Section 2.7 of the guideline, there are provisions for the appraiser to take these into account. The actions taken by the appraisee to respond to circumstances that arise are important for the appraiser to know about in discussions with the appraiser.

**Q25. I am a vice-principal. I don’t decide what the school goals are and so how can I have a Performance Plan related to school improvement.**

A25. Section 2.1 of the guideline gives the responsibility to the principal to work with the vice-principal to ensure that the vice-principal is involved in school improvement activities and can choose meaningful goals for the Performance Plan. Sometimes the vice-principal and the principal will share goals, each taking on different aspects of responsibilities. In other cases, goals may be owned solely by the vice-principal who will work with staff to accomplish them.

## Indicators

**Q26. Are EQAO results the only indicators for student achievement goals?**

A26. A broad spectrum of indicators can be considered for goals in the Performance Plan. Participants in the field test suggested the following examples:

- Credit accumulation
- Graduation rates

- Pass rates
- Enrolment in courses
- Safe school – suspension/attendance data
- Surveys
- PM Benchmarks
- DRA
- CASI
- EDI
- Report cards
- Student feedback
- Self-assessment
- Pre- and post tests for specific student performance objectives
- Focus on sub group, e.g., boys, special education students,
- Parent focus group
- Behaviour tracking
- Office referral data.

The guideline also provides a number of sample goals and plans that show a variety of ways of measuring student achievement.

## Rating Principal/Vice-Principal Performance

**Q27. The Ontario Leadership Framework includes a large number of competencies. Am I supposed to be rated on all of these competencies?**

A27. No. The focus of the Performance Plan is on setting goals and implementing them, not rating competencies. The Summative Report requires the appraiser to review the competencies in the framework and select a few that have contributed strongly to the principal/vice-principal's success in achieving the stated goals and possibly some that require further growth and improvement. This use of the framework provides a language for specificity about performance that will assist the appraisee to understand successes and areas of growth. The rating of a principal/vice-principal will be based on the ability to accomplish goals or show significant movement towards achieving goals, taking into account contextual factors relevant to the discussion. See Section 2.7 The Rating Scale - Determining the Rating in the guideline for more details on how the rating is to be decided.

**Q28. The PPA is conducted every five years but our Principals may change schools every three years and our VP's even more frequently. How can an appraiser assess performance goals when the appraisee is in different schools over the five year period?**

A28. A principal/vice-principal is evaluated over a one year period. The time frame for goals could be more than one year, but there should be an opportunity for interim measurements to be taken of the progress towards goals that extend beyond the appraisal year.

**Q29. Would boards that use third party information about a principal's/vice-principal's performance (e.g. 360 degree evaluations) be able to continue that practice under this new appraisal process?**

- A29. Boards that choose other ways to gather information may use these tools for principal/vice-principal growth and to inform their Performance Plan; however, the results of these tools should not be used to determine a principal/vice-principal's rating.
- Q30. I think that my teachers are the best judge of my performance as a principal. Can their opinions be taken into account?**
- A30. Principals and vice-principals may decide to survey staff on items related to their Performance Plan and results and this can be shared with the appraiser as evidence of successful outcomes. When indicators are selected for the Performance Plan goals, qualitative data solicited from staff and others may be appropriate to use and in this way would inform the Summative Report.
- Q31. I have a strong relationship with my parent community and they would have a good idea of how I am doing in my role as principal. Can their opinions be considered in my evaluation?**
- A31. Principals and vice-principals may decide to survey parents on items related to their Performance Plan and results and this can be shared with the appraiser as evidence of successful outcomes. When indicators are selected for the Performance Plan goals, qualitative data solicited from parents and others may be appropriate to use and in this way would inform the Summative Report. For example, if the Performance Plan includes a goal to increase parent involvement in student learning, a survey of parents before and after the implementation strategies for this goal would be useful in measuring outcomes.
- Q32. I pride myself on my relationship with students. How can their opinions be included in my appraisal?**
- A32. Principals and vice-principals may decide to survey students on items related to their Performance Plan and this can be shared with the appraiser as evidence of successful outcomes. When indicators are selected for the Performance Plan goals, qualitative data solicited from students and others may be appropriate to use and in this way would inform the Summative Report. For example, if the Performance Plan includes a goal to increase student safety, a survey of students before and after the implementation strategies for this goal would be useful in measuring outcomes.
- Q33. If a principal/vice-principal is only able to meet two of their three goals should performance automatically be rated as *Unsatisfactory*?**
- A33. Section 2.7 The Rating Scale – Requirements outlines what the appraiser should consider before selecting a rating of *Satisfactory* or *Unsatisfactory*. It is important for the appraiser to look at the Performance Plan holistically and consider the reasons why some goals may not have been reached. Appraisees are encouraged to share information that demonstrates some of the challenges they had in reaching their goals and what they did to overcome them. Appraisers then use their best judgement to determine the rating.
- Q34. What happens after an “*Unsatisfactory*” rating?**
- A34. When an appraisee receives an *Unsatisfactory* performance appraisal rating, additional requirements ensure that the appraisee receives the support, guidance, and monitoring necessary to assist the

appraisee to improve his or her performance within a given period (see Section 2.7 of the guideline for detailed steps).

**Q35. What if the time between appraisals is not enough for me to demonstrate progress on my improvement plan? Do I still have to be appraised within the PPA timeline?**

A35. The timing between appraisals can be extended with the mutual agreement of appraiser and appraisee, based on their assessment of the impact on the school and the nature of the performance elements needing improvement.

**Q36. If a principal/vice-principal is rated as *Unsatisfactory* during this 2009-10 voluntary year, does it count?**

A36. Since it is a voluntary year, boards can choose whether or not they will accept the PPA results. There is currently no policy or legislation that requires boards to accept the outcome.

**Q37. In my contract with the board, I cannot be dismissed without “just cause,” or if I am dismissed, I have a contractual right to third party arbitration. Will the *Unsatisfactory* process under PPA interfere with my contract?**

A37. No. The PPA sets out the procedures a board is to follow in conducting the appraisal. After an individual is deemed to be *Unsatisfactory* on three consecutive appraisals it is still up to the board to decide what steps it will take, based on existing contracts. If these contracts include dispute resolution processes such as third party arbitration, this would not change.

## **Human Resources**

**Q38. In our board we have teachers who take on the role of “acting principal.” Should they be appraised?**

A38. As long as a teacher is considered a member of a teachers’ federation, he or she is not appraised under the PPA model.

**Q39. If a principal/vice-principal is reassigned, demoted or dismissed does the board have to notify the Ontario College of Teachers?**

A39. No. The *Ontario College of Teachers Act, 1996* requires boards to file a written report with the College, only in the case of individuals that are dismissed or have their duties limited due to “professional misconduct” as defined in Ontario Regulation 437/97.

### **3.8 Additional Resources**

The following resources provide useful tips and techniques for growth-focused conversation, coaching, and goal-setting, and effective practices for implementation of the PPA.

- Tip Sheet: Courageous Conversations
  - Two Types of Conversations
  - Six Characteristics of Effective Questions
  - The Supervisor as Coach in the Appraisal Process
- Tip Sheet: Setting Goals
- Effective Practices for School Board Implementation of Principal / Vice-Principal Performance Appraisal

**TWO TYPES OF CONVERSATION<sup>1</sup>**

- To converse means to turn together, to exchange information, ideas, and opinions, or feelings.
- When conversation begins to take on a consciously organized purpose – that is two or more people must now either deepen understanding or make a decision, the focus shifts to two types of conversation – *Dialogue* and *Discussion*.

*Dialogue* is a reflective learning process in which two or more people seek to understand each other's viewpoints and deeply held assumptions. It is a conversation in which talking and listening by all parties creates a flow of meaning. Out of dialogue emerges a new and shared understanding. Dialogue is a tool for collective exploration of meaning – not a search for the right, wrong or best solution.

*Discussion* is a conversation in which two or more people intend to come to some form of closure – either by making a decision, reaching agreement or identify priorities. Discussion involves convergent thinking focused on tasks. While two or more people build deeper meaning along the way the real purpose is to come to a meeting of minds and reach some agreement.

**FIERCE<sup>2</sup> CONVERSATIONS**

- When you think of 'fierce', think passion, integrity, authenticity, collaboration. Think cultural transformation. Think of leadership.

**The Seven Principles of Fierce Conversations:**

- 1. Master the courage to interrogate reality.** What has changed, does the plan still make sense? If not, what is required of you? Of others?
- 2. Come out from behind yourself into the conversation and make it real.** No one has to change, but everyone has to have the conversation. When the conversation is real, the change occurs before the conversation is over.
- 3. Be here, prepared to be nowhere else.** Speak and listen as if this is the most important conversation you will ever have with this person.
- 4. Tackle your toughest challenge today.** The problem named is the problem solved. All confrontation is a search for the truth. Healthy relationships include both confrontation and appreciation.
- 5. Obey your instincts.** During each conversation, listen for more than content. Listen for emotion and intent as well. Act on your instincts rather than passing them over for fear that you could be wrong or that you might offend.
- 6. Take responsibility for your emotional wake.** For a leader there is no trivial comment. The conversation is not about the relationship; the conversation *is* the relationship. Learning to deliver the message without the load allows you to speak with clarity, conviction and compassion.
- 7. Let silence do the heavy lifting.** Talk *with* people not *at* them. Memorable conversations include breathing space. Slow down the conversation so that insight can occur in the space between words.

Definition of terms adapted from *The Fifth Discipline Fieldwork: Strategies and Tools for Building a Learning Organization* by Peter Senge et al, 1990

<sup>2</sup> From *Fierce Conversations: Achieving Success at Work and In Life, One Conversation at a Time* by Susan Scott, 2004

## SIX CHARACTERISTICS OF EFFECTIVE QUESTIONS<sup>3</sup>

### Effective Questions are:

Open Ended

Invitational

Specific

Evocative

Positively or neutrally biased

Challenge assessments

### They sound like this:

Tell me about your teaching experience.

What do you think about...?

It would be great to hear about...

Would you consider...?

How often does she...?

What does it look like when...?

What might this mean?

Let's speculate about ...

What might you learn from this?

Tell me what you were thinking.

What evidence do you have that...?

How could that be interpreted differently?

### Not like this:

Where did you teach?

Do you believe in ...?

Why on earth would you ...?

Why don't you ...?

Does she ... much?

What will happen if ...?

What does this mean?

What will happen if ...?

What's up with ...?

What did you think would happen?

What is wrong with ...?

What's your feeling about ...?

### Some Questions for Establishing Focus

What has become clear since we met last? What is the best use of our time in this conversation? What do you need to focus on? What topic are you hoping I won't bring up?

### Questions for Discovering Possibilities

What outcomes do you want? What is the best thing that could happen? If you knew you wouldn't fail, what would you do? What have you observed that has worked for others? What is the area that, if you made an improvement now, would result in the greatest impact on student learning? What is currently impossible to do that, if it were possible, would change everything? What's the most important decision you are facing? What's keeping you from making it?

### Questions for Planning the Action

Of all the options, what's the most compelling? What are you trying to make happen in the next three months? What do you need to do first?

### Questions for Removing Barriers

Who or what do you need to include to succeed? How will these actions contribute to achieving your goal? What might prevent you from succeeding? What's missing? What roadblocks do you expect or know about?

### Questions for Review and Recap

Tell me what you are going to do and by when? What are you taking away from this conversation?

## THE SUPERVISOR AS COACH IN THE APPRAISAL PROCESS

- All coaching is centred on increasing the principal's/vice-principal's ability to *set goals* effectively, to *act* in pursuit of those goals and to *reflect* on those actions and their impacts.
- None of this is possible unless the coach establishes and maintains a relationship that is characterized by trust and rapport.

### The Basic Moves of Transformational Coaching<sup>4</sup>

**Start from breakdowns.** As Michael Fullan<sup>5</sup> reminds us, "problems are our friends". Every conflict, failure to achieve a goal, or crisis in competence is a learning opportunity. When a principal/vice-principal acknowledges a problem, that principal/vice-principal creates an opening for the power of coaching.

**Listen to the principal's/vice-principal's stories and test them.** By definition, interpretations are subjective. The central focus of transformational coaching is the act of helping a principal/vice-principal become aware of interpretations and to explore alternatives for action and behaviour.

**Use data to shift the principal's/vice-principal's perspective.** Data can range from a coach's own observations to the results of surveys.

**Develop and test interpretations and strategies that could help the principal/vice-principal deal successfully with the breakdown.** What is there about the principal's/vice-principal's current way of being that is preventing the principal/vice-principal from moving forward? What assessments is the principal/vice-principal making about the situation that are obstacles to taking effective actions? What interpretations does the principal/vice-principal hold that limits possibilities and how might they be shifted?

**Help the principal/vice-principal construct new interpretations, new stories that open up possibilities for effective action.** Use mediational questions<sup>6</sup> to lead a principal/vice-principal to explore new possibilities at the cognitive level. Some examples of mediational questions include: What's another way you might...? What would it look like if ...? How might she react if...? And what might be the rationale for...?

**Use hypothetical situations and role playing to help the principal/vice-principal practice new ways of being.** Situated in the protected space created by the coaching relationship, the principal/vice-principal can rehearse new ways of being.

<sup>3</sup> From *Blended Coaching: Skills and Strategies to Support Principal Development* by Gary Bloom et al, 2005

<sup>4</sup> From *Blended Coaching: Skills and Strategies to Support Principal Development* by Gary Bloom et al, 2005

<sup>5</sup> From *Change Forces* by Michael Fullan, 1993

<sup>6</sup> For more information about asking mediational questions refer to *Cognitive Coaching* by A. L. Costa and R. J. Garmston, 2002

**Specific** - A specific goal has a much greater chance of being accomplished than a general goal. To set a specific goal you must answer the six "W" questions:

- Who: Who is involved?
- Where: Identify a location.
- What: What do I want to accomplish?
- When: Establish a time frame.
- Which: Identify requirements and constraints.
- Why: Specific reasons, purpose or benefits of accomplishing the goal.

**Measurable** - Establish concrete criteria for measuring progress toward the attainment of each goal you set. When you measure your progress, you stay on track, reach your target dates and experience the exhilaration of achievement that spurs you on to continued effort required to reach your goal. To determine if your goal is measurable, ask questions such as...How much? How many? How will I know when it is accomplished?

**Attainable** - When you identify goals that are most important to you, you begin to figure out ways you can make them come true. You develop the attitudes, abilities and skills to reach them. You begin seeing previously overlooked opportunities to bring yourself closer to the achievement of your goals.

You can attain most any goal you set when you plan your steps wisely and establish a time frame that allows you to carry out those steps. Goals that may have seemed far away and out of reach eventually move closer and become attainable, not because your goals shrink, but because you grow and expand to match them. When you list your goals, you build your self-image. You see yourself as worthy of these goals and develop the traits and personality that allow you to possess them.

**Realistic** - To be realistic, a goal must represent an objective toward which you are both willing and able to work. A goal can be both high and realistic; you are the only one who can decide just how high your goal should be. However, be sure that every goal represents substantial progress. A high goal is frequently easier to reach than a low one because a low goal exerts low motivational force. Some of the hardest jobs you ever accomplished actually seem easy simply because they were a labour of love.

Your goal is probably realistic if you truly believe that it can be accomplished. Additional ways to know if your goal is realistic is to determine if you have accomplished anything similar in the past or ask yourself what conditions would have to exist to accomplish this goal.

**Timely** - A goal should be grounded within a time frame. With no time frame tied to it there's no sense of urgency. If you want to lose ten pounds, it will not work to say "someday". However, if you anchor the goal within a timeframe such as "by May 1st ", then you have set your unconscious mind into motion to begin working on the goal.

**T** can also stand for Tangible - A goal is tangible when you can experience it with one of the senses, that is, taste, touch, smell, sight, or hearing. When your goal is tangible, you have a better chance of making it specific, measurable and thus attainable.

*Creating SMART Goals adapted from <http://www.topachievement.com/smart.html>*

## EFFECTIVE PRACTICES FOR SCHOOL BOARD IMPLEMENTATION OF PRINCIPAL / VICE-PRINCIPAL PERFORMANCE APPRAISAL

Mutual trust and co-operation are cornerstones of a successful performance appraisal process. It is critical to promote a culture that embraces the foundational belief that all parties need to be committed to supporting the growth and development of their leaders at all levels and are intent on engaging in a collaborative model. If the implementation is to be successful, it is important that the director, superintendents and principals/vice-principals have a clear understanding of the link between the Performance Plan, school goals and system goals.

### EFFECTIVE PRACTICES

The following table identifies effective practices recognizing that school boards/authorities may be at different stages in implementing Principal / Vice-Principal Performance Appraisal.

1. Establish an Implementation Committee to assess the needs of the board, identify resources and supports that can be utilized to support the use of the appraisal model. Involve all interested parties including teacher representatives
2. Provide training and orientation to the performance appraisal model for all system and school leaders emphasizing the purpose is to promote growth and development: a) Provide training for all appraisers on how to conduct performance appraisals and how to conduct effective appraisal meetings including effective feedback and courageous conversations (see attached tip sheet) b) Provide training for all appraisees expectations for Performance Plans including models for goals setting (i.e. SMART goals)
3. Build and maintain productive relationships with an emphasis on collaboration, team work, trust and professional community
4. Develop a culture of planning within the school board/authority so that there is clarity and transparency about system focus on student achievement, priorities, goals and strategies to achieve those goals
5. Ensure links are explicitly made between board improvement plan, school and individual Performance Plans
6. Ensure policies, programs and related practices are aligned with ministry, board, and school initiatives such as Ontario Leadership Strategy, the School Effectiveness Framework and all ministry/district/school initiatives for improving student achievement
7. Provide board wide, job-embedded, professional development for leaders with an emphasis on student success, instructional leadership and making connections to the <u>Ontario Leadership Framework</u>
8. Ensure monitoring and evaluation of the Principal Performance Appraisal practices in the board are conducted on a regular and timely basis

*"I see the focus on aligning the performance goals of the principal with the system plan, the school plan and the Ministry initiatives to be beneficial."*

*"The alignment of my personal growth plan and our school and board improvement plans was excellent. I was able to link all three plans together to ensure a common focus and was able to obtain support from all levels."*

Appraisees from boards who participated in the ministry  
Principal/Vice-Principal Performance Appraisal pilots 2007-08

## Acknowledgement

This 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 boards and academia and the organizations listed below about the broad parameters for principal and vice-principal appraisal, and was informed by results of the evaluation of the field test.

- Association des conseillères et conseillers des écoles publiques de l'Ontario
- Association des directions et directions adjointes des écoles franco-ontariennes
- Association des gestionnaires de l'éducation franco-ontarienne
- Association des enseignantes et des enseignants franco-ontariens
- Association franco-ontarienne des conseils scolaires catholiques
- Catholic Principals' Council of Ontario
- Conseil ontarien des directrices et directeurs de l'éducation de langue française
- Council of Ontario Directors of Education
- Elementary Teachers' Federation of Ontario
- Ontario Association of Parents in Catholic Education
- Ontario Catholic School Trustees' Association
- Ontario Catholic Supervisory Officers' Association
- Ontario College of Teachers
- Ontario English Catholic Teachers' Association
- Ontario Federation of Home and School Associations
- Ontario Principals' Council
- Ontario Public School Boards' Association
- Ontario Public Supervisory Officials' Association
- Ontario Secondary School Teachers' Federation
- Ontario Student Trustees' Association
- Ontario Teachers' Federation

## References

Earl, L. & Katz, S. (2005) *From accounting to accountability: Harnessing data for school improvement*. Thousand Oaks: Corwin.

Earl, Lorna. 2005. *From Accounting to Accountability: Harnessing Data for School Improvement*, Ontario Institute for Studies in Education, University of Toronto, Canada. Presented at Australian Council for Educational Research (ACER) Conference 2005

Fullan, M. (2003) *The Moral Imperative of School Leadership*. Thousand Oaks, CA: Corwin Press.

Fullan, M. (2005) *Leadership & Sustainability: System thinkers in Action*. Thousand Oaks, CA: Corwin Press.

Fullan, M. (2008) *School Leadership's Unfinished Agenda: Integrating Individual and Organizational Development*. Education Week. Vol. 27. No. 32. pp. 36 & 28

Leithwood, K. (2008) *Leader Efficacy: What It Is, Why It Matters, and How It Develops*, *Changing Perspectives*, Feb. 2008

Reeves, D. B. (2004) *Assessing Educational Leaders*. Thousand Oaks, CA: Corwin Press. National Association of Secondary School Principals

Reeves, D. B. (2006) *The Learning Leader: How to Focus School Improvement for Better Results*. Alexandria, VA: Association for Supervision and Curriculum Development.

