



# Administrative Procedure: Performance Appraisal For Principals And Vice-Principals

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## DEFINITIONS

**Fully Qualified:** means holding principal's qualifications according to Ontario Regulation 176/10, being assigned to a permanent position as a principal or vice-principal, and no longer being a member of a teachers' federation.

**New School Leader:** may be defined as a qualified vice-principal with no prior experience as a vice-principal in Ontario or elsewhere OR a qualified principal with no prior experience as a principal in Ontario or elsewhere (a principal is considered new to the role even if he or she has prior experience as a vice-principal in Ontario or elsewhere).

**Experienced:** principals and vice-principals are considered to be experienced once they complete one year in their role.

## PURPOSE

The principal/vice-principal performance appraisal process is designed to ensure that school leaders are well supported in their growth and development. Performance appraisals also support mentoring for newly-appointed school leaders by identifying strengths and areas for growth and development, thereby providing a focus for mentoring efforts. The performance appraisal process also helps to increase public confidence by demonstrating that schools are led by highly qualified and capable professionals.

Principal and vice-principal participation in the performance appraisal process is a legal requirement, as set out in Part XI.1 of the Education Act and in Ontario Regulation 234/10.

## ONTARIO LEADERSHIP FRAMEWORK

The Ontario Leadership Framework (OLF) provides the underpinnings for the approach adopted in the Principal/Vice-Principal Performance Appraisal Process.

## COMPONENTS

**Annual Growth Plan** provides a vehicle for the appraisee, in consultation with the appraiser, to identify strategies and actions for growth and development aimed at strengthening the appraisee's enactment of the leadership practices and competencies. The Annual Growth Plan supports the implementation of the Performance Plan in appraisal years and is used in the intervening years to support ongoing dialogue and growth.

**Performance Results** are the measurable outcomes of the appraisee's work towards the goals set initially and inform the Summative Report and rating. When assessing performance results, an appraiser must take many factors into consideration, including:

- The extent to which the appraisee worked diligently and consistently towards the implementation of the actions identified in the Performance Plan;
- The effectiveness of efforts made to overcome challenges faced by the appraisee in carrying out the actions identified in the Performance Plan;

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

**Summative Report** is used to document the results of the appraisal process and becomes a tool to assist the appraisee in reflecting on feedback they receive in order to monitor their own growth. The Summative Report includes an overall performance rating, comments related to the leadership practices and competencies that contributed to the appraisee's overall performance, practices and competencies, practices and competencies that could be strengthened in future and a summative comment based on results. The appraisee may add comments to the Summative Report.

**Rating of Satisfactory or Unsatisfactory** is assigned with regard to the performance of the principal/vice-principal based on the results of the performance appraisal.

**Appraisal Meetings** promote professional dialogue and provide opportunities for reflection and collaboration to support and promote professional growth and development. At a minimum, the appraiser and appraisee must meet three times a year:

1. To develop the Performance Plan and review and update the Annual Growth Plan.
2. The appraiser and appraisee will discuss the progress of the appraisee towards achieving the goals outlined in the Performance Plan, discuss any other information or supports relevant to the Performance Plan and revise it as necessary.
3. The appraiser and appraisee will review the results of the actions taken by the appraisee to achieve the goals in the Performance Plan, discuss information relevant to the Performance Plan and review and update the Annual Growth Plan, if necessary.

## Responsibilities

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

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

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

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

An appraiser (Supervisory Officer or Principal) must:

- Conduct performance appraisals of principals during their evaluation year.
- Within 20 school days after the beginning of a year that is scheduled as an evaluation year for the principal, notify the principal that the year is an evaluation year.
- Meet with the appraisee to discuss the development of the Performance Plan and Annual Growth Plan.
- Sign the principal's Performance Plan and Annual Growth Plan and retain a copy.
- Meet with the appraisee to review progress towards achieving the goals contained in the Performance Plan and discuss supports and other information relevant to the Performance Plan.
- Meet with the appraisee at the end of the appraisal process to review the results of the actions taken by the principal to achieve the goals contained in the Performance Plan and review the Annual Growth Plan.
- Prepare a Summative Report of the performance appraisal.
- Provide the principal with a copy of the Summative Report, signed by the Supervisory Officer, within 15 school days after the final appraisal meeting.
- Meet with the principal, if he or she makes a request to meet, within 10 school days of the principal receiving a copy of the Summative Report.
- Provide the Board with a copy of the Summative Report and all other documents relied on in conducting the performance appraisal.
- In a year that is not an evaluation year for a principal, meet with the principal to discuss the Annual Growth Plan for the year if he or she requests it.

A Supervisory Officer may:

- Request a meeting with the principal within 10 school days of the principal receiving a copy of the Summative Report.
- Request a meeting with the principal to discuss the Annual Growth Plan in a non-evaluation year.
- Conduct performance appraisals of a principal/vice-principal that are additional to those required, if the supervisory officer considers it advisable to do so in light

of circumstances relating to the performance of the principal; consider requests from the principal for additional appraisals and may refuse those requests where he or she reasonably believes that it is unlikely that the performance appraisal will lead to improvement in the principal's performance.

## Scheduling Requirements

The Board will place each experienced principal/vice-principal on a five year cycle for performance appraisal.

If, at any point, the appraiser considers it advisable to do so in light of circumstances related to the appraisee's performance, he or she may conduct an appraisal during a non-evaluation year. This action would restart the appraisee's next five year cycle.

During a non-evaluation year, an appraisee may request an additional performance appraisal. This would restart the five year evaluation cycle. The appraiser may refuse to conduct a performance appraisal where he or she reasonably believes that the performance appraisal will not lead to improvement in the appraisee's performance.

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 him or her to discuss performance, provide feedback or support the principal/vice-principal's growth and development at any time.

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

Every experienced principal who is new to the Board will be appraised in the first year that he/she is employed by the Board.

## Secondment Provisions

Secondment to another principal/vice-principal position within Ontario does not change the evaluation cycle. The Board from which the principal/vice-principal is seconded must advise the Board to which the person is seconded of the appraisee's position in the five year cycle. The Board to which the appraisee is seconded must ensure that all appraisals scheduled are carried out.

If the performance appraisal of a seconded experienced principal/vice-principal results in a rating of Unsatisfactory, the secondment agreement is terminated and the performance appraisal is deemed not to have been conducted except for the purposes of terminating the secondment agreement. The principal/vice-principal's five year cycle restarts on the termination of the secondment agreement and the first year he or she returns to the home board is an evaluation. The Board to which the principal/vice-principal returns must ensure that a Performance Plan is developed within 40 school days following the return and an appraisal must take place between 120 and 140 school days after the principal/vice-principal's return, even if the appraisal will take place in the following school year.

## Effect of Absences

The following periods are not to be counted as part of the evaluation cycle:

- A period during which the principal/vice-principal is on an extended leave that has been approved by the Board.
- A period when the principal/vice-principal is on secondment to a position other than that of principal/vice-principal.
- A period when the principal/vice-principal is on secondment to a principal/vice-principal position outside the Ontario publicly-funded education system.

When a principal/vice-principal returns to a Board after an extended leave, the five year evaluation cycle continues from where it left off. If a principal/vice-principal is on an extended leave during all or part of a year that is scheduled as an evaluation year, the year that the principal/vice-principal returns from leave is an evaluation year. Notice that the year is an evaluation year must be given to the principal/vice-principal within 20 days after his or her return.

## Appraiser

Performance appraisals of principals will normally be conducted by a Superintendent. The Director of Education may conduct the performance appraisal of a principal if the Superintendent and Director agree that the Director will perform the duty. A Superintendent may conduct the performance appraisal of a vice-principal in the absence of the principal.

Supervisory Officers will normally conduct the performance appraisal of a principal. Principals will normally conduct the performance appraisal of vice-principals.

If the Superintendent and/or Director are unable to conduct a performance appraisal due to absence or some other reason, a Supervisory Officer employed by another Board may, by arrangement between the two Boards, conduct the performance appraisal.

## Performance Plan

A Performance Plan must be developed by principals/vice-principals in each evaluation year in order to demonstrate how they intend to achieve identified goals. The Performance Plan must include:

- One or more goals focused on improving student achievement and well-being, taking into account the school's improvement plan, the Board's improvement plan, and provincial educational priorities;
- Actions that he or she will take during the evaluation year to attain the identified goals;
- The leadership practices and personal leadership resources that will assist him or her in attaining the goals;
- The methods by which his or her success in attaining the goals are to be measured;
- A description of the results of his or her actions taken during the school year to attain the goals, added before the third appraisal meeting.

## Annual Growth Plan

School Boards are required to ensure that every principal/vice-principal develops an Annual Growth Plan each year. In the Annual Growth Plan, the appraisee must include:

- Leadership practices and personal learning resources described in the Ontario Leadership Framework that will be the focus of his or her professional growth for that year;
- Professional growth activities that the principal/vice-principal will undertake to assist him or her in developing the leadership practices and competencies;
- The professional growth activities that will assist him or her in attaining the goals identified in the Performance Plan in an evaluation year.



The Board will ensure that every principal/vice-principal, in consultation with the supervisory officer/principal, reviews and updates the Annual Growth Plan, taking into account the Annual Growth Plan from the previous year and the learning and growth over the previous year as well as the Summative Report of the principal/vice-principal's most recent performance appraisal.

## Appraisal Meetings

At a minimum, the appraiser and appraisee must meet three times during the appraisal year:

First meeting - Develop the Performance Plan and review and update the Annual Growth Plan.

Second meeting - Discuss the progress towards achieving the goals outlined in the Performance Plan, discuss any other information or supports relevant to the Performance Plan and revise as necessary.

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

## Summative Report

The Summative Report prepared by the appraiser must include:

- The appraiser's evaluation of the appraisee;
- The overall performance rating of the appraisee;
- An explanation for the rating.

The appraiser must provide the appraisee with a copy of the Summative Report within 15 school days of the third meeting.

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

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

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

The appraiser must provide the Board with a copy of the signed Summative Report, as well as the Performance Plan and Annual Growth Plan and all other documents relied on in conducting the appraisal.

## Performance Rating

The appraiser determines the rating, Satisfactory or Unsatisfactory, by reviewing the implementation of the Performance Plan, as well as the achievement of the performance goals, as well as the following factors:

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

## Procedural Requirements following an Unsatisfactory Rating

### First Unsatisfactory Appraisal Rating

Within 15 days of the appraisee receiving the Summative Report stating that he or she received an Unsatisfactory rating on an appraisal, the appraiser must:

- Explain the reasons for the rating to the appraisee;

- Explain what is lacking in his or her performance;
- Explain what is expected of the appraisee in areas in which his or her performance is lacking;
- Seek input from the appraisee as to what steps and actions could help him or her to improve his or her performance and the timelines for carrying out the steps and actions;
- Prepare a written Improvement Plan for the appraisee, setting out steps and actions that the appraisee should take to improve his or her performance and the timelines for carrying out the steps and actions, taking into account input from the appraisee;
- Provide the appraisee and the Director of Education or the Superintendent with a copy of the Summative Report and of any other document relied on in conducting the performance appraisal;
- Provide the appraisee and the Director of Education or the Superintendent with a brief summary in writing of the explanations for the Unsatisfactory rating and a copy of the written Improvement Plan;
- Meet with the appraisee to discuss the Improvement Plan.

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

The appraiser must conduct a second performance appraisal.

### Timing of a Second Appraisal Following the First Unsatisfactory Appraisal Rating

The interval between the first and second performance appraisals will be at the discretion of the supervisory officer or principal conducting the second performance appraisal. The appraiser must complete the process and assign a rating to the appraisee no sooner than 40 school days and no later than 80 school days from the day the appraisee is given a copy of the initial Summative Report. If necessary, this timeline may be adjusted by mutual agreement of the appraiser and the appraisee.

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

## Second Unsatisfactory Appraisal Rating

Within 15 school days of the appraisee receiving the Summative Report stating that he or she received an Unsatisfactory rating on the second appraisal, the appraiser must:

- Explain the reasons for the rating to the appraisee;
- Place the appraisee on review status and advise the appraisee and the Director of Education in writing of that fact;
- Explain what is lacking in his or her performance;
- Explain what is expected of the appraisee in areas in which his or her performance is lacking;
- Explain to the appraisee the ways, if any, in which his or her performance has changed since the previous performance appraisal;
- Seek input from the appraisee as to what steps and actions could help him or her to improve his or her performance and the timelines for carrying out the steps and actions;
- Consult with the Director of Education before preparing the Improvement Plan;
- Prepare a written Improvement Plan for the appraisee, setting out steps and actions that the appraisee should take to improve his or her performance and the timelines for carrying out the steps and actions, taking into account input from the appraisee;
- Provide the appraisee and the Director of Education or the Superintendent with a copy of the Summative Report and of any other document relied on in conducting the performance appraisal, a brief summary in writing of the explanations for the Unsatisfactory rating and a copy of the written Improvement Plan;
- Meet with the appraisee to discuss the Improvement Plan.

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

## Review Status

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

- Monitor the appraisee's performance;

- Consult regularly with the Director of Education (or the supervisory officer in the case of a vice-principal) regarding that appraisee's performance and actions that could be taken to improve it;
- Provide feedback and recommendations to the appraisee that the appraiser believes could help the appraisee improve his or her performance.

### Timing of a Third Appraisal While on Review Status

An alternate appraiser may conduct the third performance appraisal.

The interval between the second and third performance appraisals will be at the discretion of the appraiser within the following timeline – no sooner than 20 school days and no later than 60 school days from the day the appraisee is advised that he or she is on review status. If necessary, this timeline may be adjusted by mutual agreement of the appraiser and appraisee. In exercising his or her discretion, the appraiser must balance the desirability of giving the appraisee a reasonable opportunity to improve his or her performance against the best interests of the school.

### Recommendation to Proceed to Other Actions Without a Third Appraisal

If, at any time during the 60 school days that the appraisee is on review status, the supervisory officer determines that the delay necessitated by conducting a performance appraisal is inconsistent with protecting the best interests of the school, the appraiser will refrain from conducting the appraisal and must recommend to the Board of Trustees that the principal/vice-principal be reassigned to other duties or have his or her employment terminated, or that other appropriate actions be taken.

The recommendation must include a statement that, in the opinion of the appraiser, the delay necessitated by conducting a performance appraisal is inconsistent with protecting the best interests of the school. The notice and recommendation must be accompanied by copies of all documents relied on in conducting the first and second performance appraisals. The appraisee must also be provided with a copy of all documents.

## Results of the Third Performance Appraisal

If the third performance appraisal results in a satisfactory performance rating, the appraisee immediately ceases to be on review status. The appraiser must notify the Director of Education in writing of that fact and provide a copy of the signed Summative Report.

## Third Unsatisfactory Appraisal Rating

If the third performance appraisal results in an Unsatisfactory rating, the appraiser must promptly notify the Board in writing and recommend to the Board of Trustees that the principal/vice-principal be reassigned to other duties or have his or her employment terminated or that other appropriate actions be taken.

The notice and recommendation must be accompanied by a copy of the third Summative Report and all copies of all documents relied on in conducting the first, second and third performance appraisals. The appraisee must also be provided with all documents.

## Determination By The Board of Trustees

Within 60 calendar days (not school days) of receiving the recommendation and taking into consideration all of the documents relied on in conducting the performance appraisals, the Board will make a determination regarding the rating. The Board may confirm that the principal's/vice-principal's performance was unsatisfactory and that he or she should be reassigned to other duties or have his or her employment terminated or that other appropriate actions should be taken.

However, the Board may instead determine that the principal's/vice-principal's performance was satisfactory, in which case he or she would remain in the position that he or she had at the time of the most recent performance appraisal.

The Board must comply with any applicable Board policies and procedures in making decisions, including those set out in the Board's Terms and Conditions for the employment of principals and vice-principals as per Policy/Program Memorandum 152.

## Submission To The Board of Trustees

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

## Record Keeping

All copies of documents used in the principal/vice-principal performance appraisal must be retained for at least six years from the date of the appraisal.

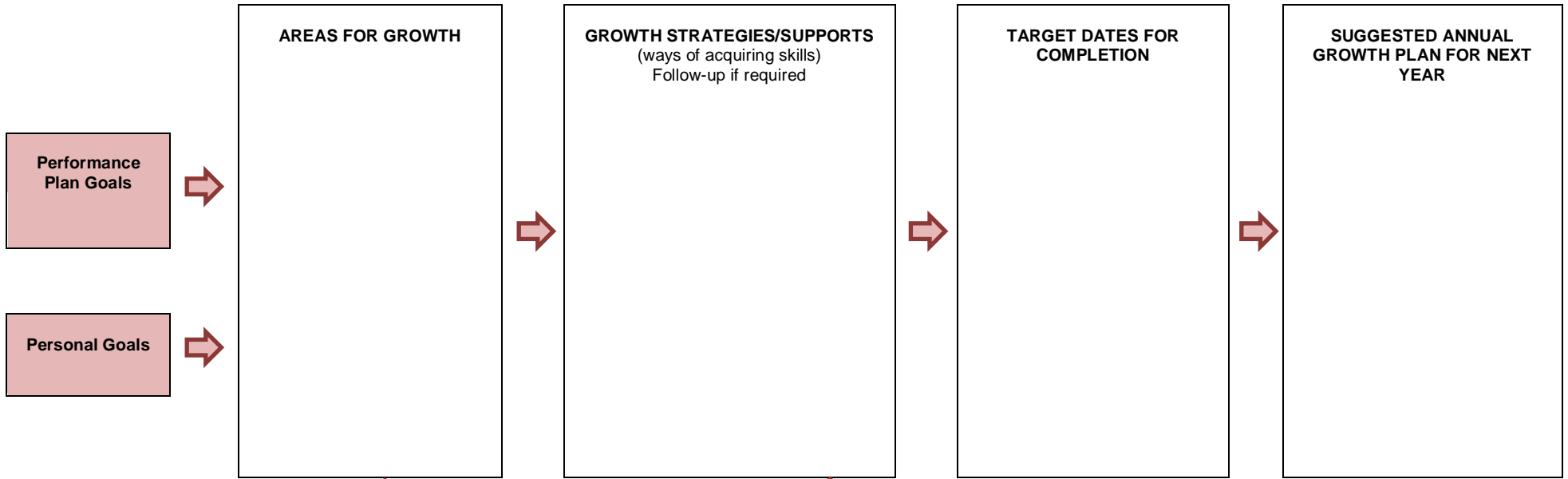
## Appendices

**ANNUAL GROWTH PLAN WORKING TEMPLATE**

**NAME:** \_\_\_\_\_

**SCHOOL:** \_\_\_\_\_

**YEAR:** \_\_\_\_\_



<p><b>Leadership Practices</b></p> <ul style="list-style-type: none"> <li>• Setting directions</li> <li>• Building relationships and developing people</li> <li>• Developing the organization to support desired practices</li> <li>• Improving the instructional program</li> <li>• Securing accountability</li> </ul>	<p><b>Personal Leadership Resources</b></p> <ul style="list-style-type: none"> <li>• Cognitive</li> <li>• Social</li> <li>• Psychological</li> </ul>	<p><b>Ongoing Professional Development</b></p> <ul style="list-style-type: none"> <li>• Learning networks</li> <li>• Mentoring</li> <li>• Coaching</li> <li>• Job-Shadowing</li> <li>• Resources</li> </ul>	<p><b>District Effectiveness Framework (DEF)</b></p> <ul style="list-style-type: none"> <li>• Mission, vision and goals founded on aspirational images of the educated person</li> <li>• Coherent instructional guidance</li> <li>• Building district and school staff's capacities and commitments to make informed decisions</li> <li>• Creation of learning-oriented organizational improvement processes</li> <li>• Job-embedded professional development</li> <li>• Alignment of budgets, time, and personnel policies/procedures with district mission, vision and goals</li> <li>• Comprehensive performance management system for school and district leadership development</li> <li>• Advocacy and support for policy-governance approach to Board of Trustees practices</li> <li>• Nurturance of productive working relationships with staff and stakeholders (See OLF)</li> </ul>
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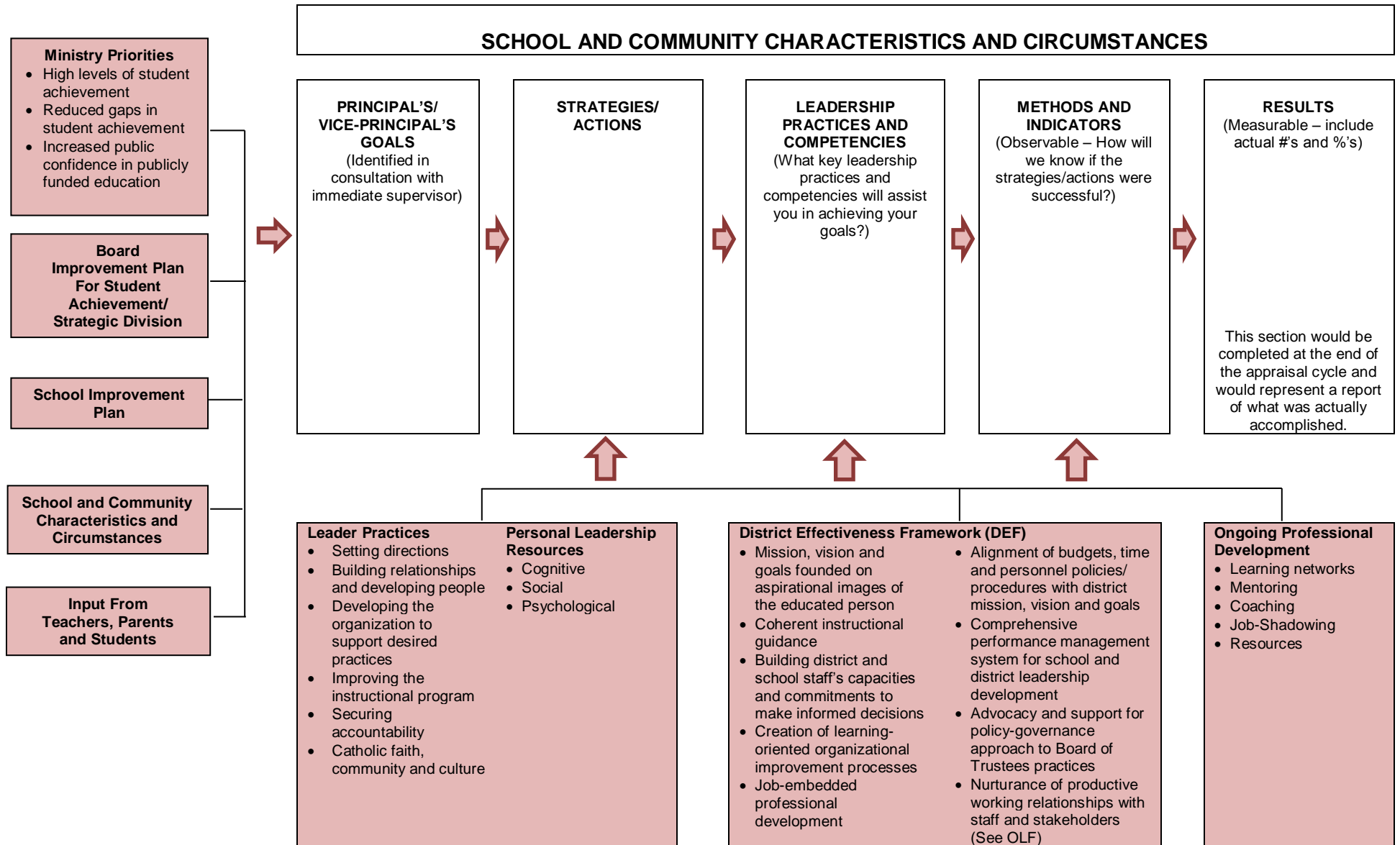
**SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_



**PERFORMANCE PLAN WORKING TEMPLATE**

**NAME:** \_\_\_\_\_ **SCHOOL:** \_\_\_\_\_ **YEAR:** \_\_\_\_\_



**SIGNATURE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

SUPERIOR NORTH CATHOLIC District School Board

**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**

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

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

**Summative Comments**

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

**Supervisory Officer's/Principal's Summative Comments On The Appraisal:**

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

**Principal's/Vice-Principal's Comments (Optional):**

**Overall Rating** (Check The Appropriate Box)

- Satisfactory Performance       Unsatisfactory Performance

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Supervisory Officer's/Principal's Signature

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Date

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

---

Principal's/Vice-Principal's Signature

---

Date

## SUPERIOR NORTH CATHOLIC District School Board

## 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**

<b>Element of Criteria For Rating</b> (as per the criteria from Section 2.7.2.1, 'Determining the Rating')	<b>Explanation Of Concern</b>	<b>Practices And Competencies Needing Attention</b> (from the Ontario Leadership Framework)	<b>Steps To Be Taken</b> (developed by appraiser in consultation with appraisee)	<b>Indicators of Success</b> (developed by appraiser in consultation with appraisee)	<b>To Be Completed By</b>
The extent to which the appraisee worked diligently and consistently towards the implementation of actions identified in the Performance Plan.					
The effectiveness of efforts made to overcome challenges faced by the appraisee in carrying out the actions identified in the Performance Plan.					
The efforts made by the appraisee to engage teachers and others in the development of the goals and implementation of the actions identified in the Performance Plan.					
The actual goals achieved or not achieved by the appraisee.					

<b>Element of Criteria For Rating</b> (as per the criteria from Section 2.7.2.1, 'Determining the Rating')	<b>Explanation Of Concern</b>	<b>Practices And Competencies Needing Attention</b> (from the Ontario Leadership Framework)	<b>Steps To Be Taken</b> (developed by appraiser in consultation with appraisee)	<b>Indicators of Success</b> (developed by appraiser in consultation with appraisee)	<b>To Be Completed By</b>
The rationale provided by the appraisee for goals not achieved.					
The demonstrated ability and willingness of the appraisee to implement actions to address the goals not achieved.					

<b>Learning needs of appraisee, with respect to carrying out the Improvement Plan</b> (to be developed by appraiser, in consultation with appraisee)	
<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