

Principal/Vice-Principal Performance Appraisal (PPA) Frequently Asked Questions

The following are frequently asked questions about:

- I. The Principal/Vice-Principal Performance Appraisal Model
- II. Evaluation Cycle and Scheduling
- III. Implementation
- IV. New Principals/Vice-Principals
- V. The Performance Plan and Annual Growth Plan
- VI. Goals
- VII. Methods and Indicators
- VIII. Rating
- IX. Human Resources

These questions and answers have been designed as a resource to complement the *Principal/Vice-Principal Performance Appraisal Technical Requirements Manual (2010)*. Users should refer to the Education Act and related regulations for actual governing legislation. In the event of any legal questions emerging from application of the Act and accompanying regulations, boards should refer to their own legal counsel.

I. The Principal/Vice-Principal Performance Appraisal Model

Q How does PPA support the goals of the Ontario Leadership Strategy?

- A PPA is a key component of the Ontario Leadership Strategy and supports its two goals:
- To attract people to the role – it is important that aspiring leaders see that supports such as PPA are in place for principals and vice-principals.
 - To develop the best possible instructional leaders – in order to build sector capacity it is important that PPA focus on professional development and growth, which is done through the Performance Plan and Annual Growth Plan.

Q Why is the regulation separated into two parts, one for principals, one for vice-principals?

- A The requirements of the regulation for principals/vice-principals remain exactly the same, however, the two parts have slight differences in procedural matters (e.g. who is notified at what stage, who has delegated responsibility if the principal cannot conduct the appraisal).

Q Why is principal/vice-principal appraisal important from the perspective of the ministry?

- A A goal of the appraisal model is to provide a consistent process for assessing principals/vice-principals across the province. The performance appraisal model provides principals and vice-principals with processes and procedures that will support on-going professional growth and development in their leadership and, in turn, have a positive impact on student achievement. A fair and consistent appraisal process reflecting common professional expectations will contribute to increasing respect and public confidence for principals and vice-principals.

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

A PPA is based on the achievement of one or more goals whereas the TPA is based on the demonstration of competencies. Principals/vice-principals are appraised on their ability to set school goals and lead staff in achieving these goals. The model recognizes that principals/vice-principals are managers and instructional leaders whose professional responsibilities are different from teachers'. There are however, similarities between the two models including:

- A focus on professional growth
- The use of an annual growth plan
- Effective dialogue between the appraiser and the appraisee throughout the process
- The use of a two point rating scale and a five year cycle
- Clear and consistent process in the case of unsatisfactory performance

Q Our board already has an effective model of appraisal for principals. What flexibility is there for boards with well developed PPA models to continue to use their existing process?

A Boards must implement all requirements under Ontario Regulation 234/10. The regulation outlines minimum requirements for implementation. For example, the Annual Growth Plan must include:

- The leadership practices and competencies that will be the focus of the principal's/vice-principal's professional growth for that year.
- The professional growth activities that the principal/vice-principal will undertake to assist in developing the leadership practices and competencies identified
- In an evaluation year, the professional growth activities that will assist in attaining the goals identified in the Performance Plan

The Performance Plan must include:

- One or more goals focused on improving student achievement and well-being which takes into account the school improvement plan, the board improvement plan and provincial educational priorities
- The actions that a principal/vice-principal will take during the evaluation year to attain the goals
- The leadership practices and competencies that will assist the principal/vice-principal to attain the goals
- The methods by which a principal's/vice-principal's success in attaining the goals are to be measured

Q Will all forms accompanying PPA Technical Requirements Manual be mandatory?

A The only mandatory form is the Summative Report Form. This form must be used in accordance with Ontario Regulation 234/10

The mandatory Summative Report Form is found in the PPA manual. Sample templates for the Annual Growth Plan and for the Performance Plan are also provided in the manual. Boards have flexibility to create their own templates for the Annual Growth Plan and the Performance Plan as long as they include the requirements stated above.

Q Can boards develop processes and procedures in addition to PPA?

A Part XI.1 of the *Education Act*, “Performance Appraisal of Principals, Vice-Principals and Supervisory Officers,” gives boards some authority to develop additional processes and procedures related to performance appraisal. However, these processes and procedures cannot be inconsistent with the provisions contained in either the *Education Act* or PPA regulation. Boards should consider referring any new processes or procedures to their legal counsel for review, prior to implementation.

II. Evaluation Cycle and Scheduling

Q How do boards schedule their principals/vice-principals for a five year evaluation cycle? What flexibility do they have to phase-in the PPA implementation?

A With the exception of principals/vice-principals new to the role or the board, the board has flexibility to appraise all principals/vice-principals according to a schedule that they determine. The board may decide to establish some criteria before making their determination. Boards are required to establish a cycle for each appraisee and inform the appraisee when their first evaluation will take place.

The cycle is subject to the following conditions:

- All principals/vice-principals must have at least one appraisal by June 30, 2015.
- Ontario Regulation 234/10 provides that each evaluation cycle is five years and four non-evaluation years must have elapsed before the next evaluation year.
- All principals new to a board who have previously worked in that capacity must be evaluated in the year in which they are hired.
- All vice-principals new to a board who have previously worked in that capacity must be evaluated in the year in which they are hired.
- Principals/vice-principals new to the role must be appraised in their second year.

Q Can a board set a more frequent appraisal cycle?

A No, once the appraisal schedule has been set as described in Q8 above, there must be four non-evaluation years between each appraisal. Additional appraisals can only be conducted at the discretion of the supervisor if he or she considers it advisable to do so in light of circumstances related to performance. Principals/vice-principals may also request additional appraisals.

Q Are there circumstances in which a principal/vice-principal might have less than 4 years between performance appraisals?

A In addition to the situation where a principal/vice-principal changes employment from one board to another, there are two instances in which this might occur:

- A principal/vice-principal may request an additional appraisal at any time (note that the appraiser may decline to conduct the appraisal where he or she reasonably believes that the performance appraisal will not lead to improvement in the principal's/vice-principal's performance).
- An appraiser may conduct additional appraisals if he/she considers it advisable to do so in light of circumstances related to performance.

If an additional appraisal is conducted, the evaluation cycle would restart from the year in which the principal/vice-principal was evaluated (e.g. A principal's evaluation year is scheduled for 2015. If principal requests an additional appraisal in 2013 at his or her request, the next evaluation will be scheduled for 2018.).

Q Can an appraiser conduct an appraisal of a newly appointed principal/vice-principal in their first year in the role?

A No, a new principal/vice-principal has the opportunity to receive mentoring support in their first year before they are appraised. However, PPA does not limit the existing powers of a supervisor to intervene if a principal/vice-principal is not meeting expectations and requires increased support. In their first year, principals/vice-principals are required to develop an Annual Growth Plan in consultation with their supervisor.

Q Are new principals or vice principals who are hired from another board and have no previous experience as new principals or vice principals evaluated in their first year?

A New principals or vice principals who have no prior experience would be evaluated in their second year in the role and would be eligible to receive mentoring support in their first and second years.

Q If a vice-principal is promoted to principal after his or her first year in the role, when would their appraisal occur?

A The evaluation would occur in year two of the role. For example, a vice-principal hired in 2010-11 and promoted to principal in 2011-12 will be appraised in 2012-13. He or she would also have access to the mentoring support for the first two years in the role of principal.

Q If the principal/vice-principal is on leave for one or more years, is this period of time excluded from the 5 year cycle?

A Yes. The cycle excludes the year(s) the appraisee was on leave. For example, if a principal/vice-principal leaves at the beginning of the 2nd year of their evaluation cycle, and they are on leave for 2 years, upon their return, they would still be in their 2nd year of their evaluation cycle.

Q If a principal/vice-principal takes their leave during their evaluation year , upon their return, when will they be evaluated?

A The year that a principal/vice-principal returns from a leave of absence will be his or her evaluation year.

Q If a principal/vice-principal is on secondment, how will this affect his or her evaluation cycle.

A The evaluation cycle continues during the secondment. For example, if a principal/vice-principal goes on secondment in their second year of their evaluation cycle, they will still remain in the second year of their cycle.

Q What happens to the evaluation cycle when a principal or vice-principal is absent or on an extended leave?

A When they return from their leave, their cycle would resume from the point at which it was left.

Q What happens when the principal/vice-principal is on leave the year in which they are to be appraised?

A They will be appraised the year in which they return as a vice principal or principal.

Q If a principal or vice-principal moves to another school, are they required to have a performance appraisal?

A If a principal or vice-principal moves to a different school in the same school board, they remain on the same evaluation cycle that the board has established for the principal/vice-principal.

If a principal or vice-principal moves to a different school board (apart from a secondment), he/she is required to have a performance appraisal in his/her first year of employment with the board.

Q How should boards transition principals/vice-principals who are absent from their position for a period of time into the first evaluation cycle?

A The board may wish to take the expected term of absence into consideration when determining the initial evaluation year and consulting with the principal or vice-principal.

Q What is the requirement for conducting appraisals for principals/vice-principals who indicate they are retiring at the end of the year that is identified as their appraisal year?

A If the year is scheduled as an evaluation year for a principal or vice-principal, the principal or vice-principal must receive a performance appraisal in accordance with the requirements set out under Ontario Regulation 234/10. There is no exception for an experienced principal/vice-principal who plans to retire at the end of the year that is scheduled as his or her evaluation year.

III. Implementation

Q What funding will be available from the Ministry for the PPA?

A In the 2010-11 year, boards are required to support the implementation of PPA and may use their OLS funding (see Board Leadership Development Requirements Manual).

Q What supports are available for the implementation of PPA?

A The Ministry provided funds to the boards in 2009-10 to support the voluntary implementation of the PPA model. In 2010-11 boards may also allocate OLS funds to support PPA implementation. The revised PPA Technical Requirements Manual is a detailed document which provides clarification about the processes and timelines for

appraisal, as well as effective practices. Additional supports such as PPA web casts will be available throughout the year through principal associations. Regional teleconferences will be held with board leads and updated Q&A's will be posted on the ministry website.

Q What training is provided for me as an appraiser?

A Boards are required to offer implementation supports such as training for their appraisers. Principal and supervisory officer associations will continue to offer PPA training as well as web casts and boards will be able to use ministry funding to access this training.

Q What can I, as an appraisee, expect from my appraiser in the appraisal process?

A Section 2.1 "Roles and Responsibilities" - of the PPA Technical Requirements Manual outlines the role of appraisers. You can expect to receive support and guidance from your supervisory officer or principal in the role of appraiser with regard to the development of your Annual Growth Plan and throughout the performance appraisal process. As well, as ongoing professional dialogue about your progress should occur between you and your appraiser.

Q Can a request be made for an alternate appraiser?

A The PPA Regulation does not stipulate procedures for requesting an alternate appraiser. The parties should utilise the structures in place in their respective boards.

Q. In the PPA manual does the term "board" refer to the board of trustees or the board administration (i.e. the director and supervisory officers)?

A. The term "board" in the PPA manual refers to the board administration. When a decision is being made related to an *Unsatisfactory* performance rating (i.e. reassignment, demotion, dismissal, or other actions to be taken) the manual specifically states that this is the responsibility of the board of trustees.

IV. New Principals/Vice-Principals

Q Is a principal/vice-principal considered "new" if he or she moves from an elementary school to a secondary school?

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

Q I am a new principal/vice-principal. Do I need to have a Performance Plan in my first year in the role?

A No. In the first year, the principal/vice-principal is required to develop an Annual Growth Plan. Near the end of the first year (e.g. in May) the principal/vice-principal may begin to consider developing the Performance Plan which will be required for their appraisal in year two of the role. Mentoring is provided for principals/vice-principals in the first two years of the role.

V. The Performance Plan and Annual Growth Plan

Q What's the difference between the Performance Plan and the Annual Growth Plan?

A The Performance Plan is developed by principals/vice-principals in each evaluation year in order to demonstrate how they intend to achieve identified goals. The plan includes goals, strategies and actions, practices and competencies, as well as methods and indicators to measure attainment of the goals. The Plan will be used in conducting the assessment of the appraisee, leading to a performance rating.

The Annual Growth Plan provides a vehicle to plan the principal's or vice-principal's professional learning during the appraisal year and in the intervening years between appraisals. The Annual Growth Plan outlines the individual practices and competencies from the Ontario Leadership Framework. In an evaluation year the Annual Growth Plan is used to help the principal/vice-principal achieve the goals in his or her Performance Plan. In a non-evaluation year, the principal/vice-principal refers to the results and recommendations in the summative report from the most recent performance appraisal in reviewing or updating the Annual Growth Plan.

Q 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?

A The Annual Growth Plan (AGP) is developed by principals and vice-principals every year beginning in their first year. It includes the leadership practices and competencies that will be the focus of the principal's or vice-principal's growth for that year as well as the professional growth activities principal or vice-principal will undertake to develop these practices and competencies. In the case of a new principal/vice-principal, mentoring would be listed on the AGP. It is signed by the principal or vice-principal and the supervisor every year, and each of them retains a copy.

The Learning Plan is developed as part of mentoring for a vice-principal or principal new to the role. It reflects the learning needs of the mentee and guides the mentoring process between the mentor and the mentee. It remains confidential between the mentor and the mentee and is not signed by the supervisor. If the mentee chooses, the Annual Growth Plan can be used as the Learning Plan.

Q Does the School Improvement Plan relate to the Performance Plan?

A The school improvement plan (SIP) is one of the documents, along with the Board improvement plan and provincial educational priorities, that must be considered in developing the Performance Plan. Goals developed for the School Improvement Plan may be included in the Performance Plan if these are the goals that the appraiser and appraisee agree on as the focus of the appraisal.

Q Can I involve the teachers in the development of my Performance Plan?

A It will be helpful to involve staff in setting goals for your Performance Plan and to communicate with staff what the priorities for the year are and how you will work together to accomplish these goals. One of the factors that will be considered in assigning a rating is the efforts made by the principal/vice-principal to engage teachers and others in the development of the goals and implementation of the actions identified in the Performance Plan.

Q In non-evaluation years, how is the Annual Growth Plan connected to a principal's/vice-principal's last appraisal?

A The principal/vice-principal is required to consider their last Summative Report, including recommendations made by the supervisor, when considering personal goals and activities for their current Annual Growth Plan. Consideration is also given to the Annual Growth Plan from the previous year and a principal's /vice-principal's actual growth over the past year

VI. Goals

Q 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?

A No, the Performance Plan requires one or more goals which take into account the School Improvement Plan.

Q My Performance Plan against which I will be appraised may not include many of the 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?

A The selection of one or more 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 priority 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. The focused goals in the plan allow for more in-depth implementation to be done in priority areas.

Q Who writes the performance plan? Is the appraiser able to insist that I choose certain goals that he or she thinks that I should be addressing?

A The principal or vice-principal shall develop a Performance Plan in consultation with the appraiser. The appraiser and appraisee are to discuss and agree upon goals that are focused on improving student achievement and well being, that take into account the School Improvement Plan, the board improvement plan and provincial education priorities and that are measurable. By signing the Performance Plan, the appraiser indicates agreement with the goals identified.

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

A The principal/vice-principal should endeavour to set goals that are realistic, achievable and measurable. 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 appraiser will take into account the demonstrated ability and willingness of the appraisee to implement actions to address the goals that were not achieved by him or her. The rating process, as described in Section 2.7 of the PPA Technical Requirements Manual outlines how the appraiser can take these into account when deciding the rating.

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

A When determining a rating for an appraisee, the appraiser must consider the extent to which the appraisee worked diligently and consistently towards the implementation of actions identified in the performance plan, the demonstrated ability and willingness of the appraisee to implement actions to address the goals that were not achieved by him or her, and the rationale provided by the appraisee for the goals that were not achieved. The actions taken by the appraisee to respond to circumstances that arise are important for the appraiser to know about and should be brought up in discussions between the appraiser and the appraisee.

Q 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 student achievement and well-being.

A Section 2.1 of the PPA Technical Requirements Manual outlines the responsibilities of 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.

VII. Methods and Indicators

Q Are EQAO results the only indicators for student achievement goals?

A No, a broad spectrum of indicators should be considered for goals in the Performance Plan. The PPA Technical Requirements Manual includes the following examples:

- Credit accumulation
- Graduation rates
- Pass rates
- Enrolment in courses
- Safe school – suspension/attendance data
- Survey results
- PM Benchmarks
- Developmental Reading Assessment (DRA) scores
- Comprehension, Attitude, Strategies, Interest (CASI) data
- Early Development Intervention (EDI) data
- Report card results
- Student feedback/comments
- Self-assessment results
- Pre and post test results for specific student performance objectives
- Focus on sub group (e.g., boys, students with special education needs)
- Findings from parent focus groups
- Behaviour tracking results
- Office referral data (absenteeism, bullying)

The PPA resources also provide a number of sample templates that include goals and methods of measuring student achievement.

VIII. Rating

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

A No. The focus of the Performance Plan is on setting goals and achieving them, not rating practices and competencies. 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. The Performance Plan should also include practices and competencies that will help the appraisee achieve his or her goals. See Section 2.7 Performance Rating and Subsequent Procedures in the guideline for more details on how the rating is to be decided.

Q How should principals and vice-principals be using the Ontario Leadership Framework?

A Principals/vice-principals are required to refer to the Ontario Leadership Framework when developing their Annual Growth Plan and their Performance Plan. The Summative Report requires the appraiser to review the practices and competencies in the framework and select a few that have contributed strongly to the principal's/vice-principal's success in achieving the stated goals and some that may 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.

Q Am I able to include teachers' feedback as an indicator of my progress in achieving goals?

A Yes, principals and vice-principals may decide to survey staff on items related to their Performance Plan and results of 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 (e.g., student writing samples) and others may be appropriate to use and in this way would inform the Summative Report.

Q I have a strong relationship with my parent community. Can their opinions be considered in my evaluation?

A Yes, 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.

Q I pride myself on my relationship with students. How can their opinions be included in my appraisal?

A Yes, 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 outcomes.

Q If a principal/vice-principal is not able to meet one or more of their goals, should his or her performance automatically be rated as *Unsatisfactory*?

A No, 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 meet them. When determining a rating for an appraisee, the appraiser shall consider a number of factors including:

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

Appraisers then use their best judgement to determine the rating. Section 2.7 The Rating Scale – Requirements outlines what the appraiser should consider before selecting a rating of *Satisfactory* or *Unsatisfactory*.

Q What happens after an “*Unsatisfactory*” rating?

A When an appraisee receives an *Unsatisfactory* performance appraisal rating, additional requirements of the appraisal process ensure that the appraisee receives the support, and guidance, necessary to assist the appraisee to improve his or her performance within a given period (see Section 2.7.2.3 Procedural Requirements Following an *Unsatisfactory* Rating of the PPA Technical Requirements Manual for detailed steps).

Q What if the time between my unsatisfactory appraisal and my next required appraisal is insufficient for me to demonstrate progress on my improvement plan? Do I still have to be appraised within the PPA timeline?

A The timing between appraisals can be extended with the mutual agreement of appraiser and appraisee. The appraiser shall balance the desirability of giving the appraisee a reasonable opportunity to improve his or her performance against the best interests of the school.

Q If a principal/vice-principal is initially rated as *Unsatisfactory* and the follow-up appraisal is *Satisfactory*, should he or she be appraised more frequently? Waiting four years may not ensure that he or she receives the support they need to improve.

A Once a principal/vice-principal is rated as *Satisfactory*, there must be four non-evaluation years before their next appraisal. As an effective practice, the appraiser would monitor the

performance and follow up with the principal/vice-principal in order to provide on-going support.

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

Additional appraisals can be conducted at the discretion of the appraiser if he or she considers it advisable in light of circumstances related to the performance of the principal/vice-principal. An appraiser will also have the opportunity to review the principal's/vice-principal's Annual Growth Plan annually to determine if further support is needed.

Q. After it is determined that a principal/vice-principal has received an *Unsatisfactory* rating and will be demoted/reassigned, is there any way to appeal the decision?

A. Boards are required to comply with all policies and procedures set out in the board's terms and conditions for the employment of their principals/vice-principals including procedures regarding reassignment and demotion Refer to PPM No. 152: Terms and Conditions of Employment of Principals and Vice-Principals.

In the case of dismissal, the PPA regulation requires boards to give the principal/vice-principal reasonable information about the reasons for the dismissal and an opportunity to make submissions to the board.

Q As part of my terms and conditions agreement there is third party assistance available to me if I am going to be reassigned or dismissed. Do I still have access to these options after I have received three consecutive unsatisfactory appraisals?

A Yes, the board would be required to comply with all policies and procedures set out in the board's terms and conditions for the employment of their principals/vice-principals.

Q. What is an example of principal/vice-principal "reassignment"?

A. An example of principal/vice-principal reassignment would include transferring a principal/vice-principal from one school setting to another (e.g. large school to a smaller school). Each principal/vice-principal will have different individual circumstances that need to be considered in the reassignment.

Q. Does the PPA regulation exclude the board of trustees from the decision-making process when considering the dismissal of a principal/vice-principal?

A. No. Recommendations to dismiss a principal/vice-principal must be approved by the board of trustees.

IX. Human Resources

Q In our board we have teachers who take on the role of "acting principal." Should they be appraised using the PPA process?

A As long as a teacher is considered a member of a teachers' federation, he or she is not to be appraised under the PPA model. However, he or she must participate in the Teacher Performance Appraisal process as it relates to his or her teaching duties.

Q Is a principal who is assigned to a school, and has teaching duties, required to participate in the teacher performance appraisal process?

A Principals are excluded from the definition of teacher for the purposes of the performance appraisal, and are therefore not required to participate in the teacher performance appraisal process. The board will determine how the principal performance appraisal will be conducted based on the individual's duties.

Q If a principal/vice-principal is dismissed as a direct result of PPA, does the board have to notify the Ontario College of Teachers?

A In the case of a dismissal as a result of PPA, a board is not required to notify the College. However, section 43.2 of the *Ontario College of Teachers Act, 1996* requires employers to file a written report with the College, in the case of individuals that are dismissed or have their duties limited due to "professional misconduct" as defined in Ontario Regulation 437/97. This provision continues to apply in the case of principal/vice-principal misconduct.

Q What happens if an issue of professional misconduct is discovered during the PPA process?

A Part IX.1 of the *Ontario College of Teachers Act, 1996*, "Reporting Requirements Related to Professional Misconduct," would apply to a situation where an issue of misconduct is discovered through the PPA process. Depending on the circumstances, a report would have to be filed by the school board with the College, pursuant to Part IX.1 of the *Ontario College of Teachers Act, 1996*.

Q Does the PPA regulation interfere with the public's ability to complain to the College about a principal's/vice-principal's conduct, competency or their capacity to fulfill their role?

A The PPA regulation in no way limits the public's ability to make a complaint to the College under section 26 of the *Ontario College of Teachers Act, 1996*.

Q In the case of an investigation into a principal's/vice-principal's misconduct, incompetence or incapacity, will the College be able to access his or her performance appraisal documents?

A Yes, Part VIII of the *Ontario College of Teachers Act, 1996* "Registrar's Powers of Investigation" gives the College the authority to access documentation during the course of an investigation. Section 47 of the Act provides the College with a more general authority to access information, including performance appraisal documents, in the possession of a school board.