



Guiding Principles for Employee Performance Appraisal

The Performance Appraisal Process will...

- ▶ be aligned with HWDSB's vision and strategic directions, including the core values of respect, innovation, accountability and equity.
- ▶ measure an individual's performance related to duties, expectations and core competencies.
- ▶ facilitate opportunities for growth and development.
- ▶ recognize excellence and encourage leadership to support succession planning.
- ▶ include an application of Healthy Workplace perspective, awareness and elements to support a positive and healthy environment.
- ▶ be conducted in accordance with Board policy and applicable legislation.

Glossary of Terms

Performance Appraisal System – the procedure which includes the supervision, evaluation and professional growth of employees

Performance Appraisal – the formal process used to measure an employee's performance using a set of predetermined performance standards

Employee – everyone employed by the Board (exception: all teacher performance appraisal guidelines and administrative detail governed by the Ministry of Education)

Supervisor – the person who has direct responsibility for the job performance of an employee. In this document, supervisors include (but are not limited to) people with the following titles Principal, Vice Principal, Manager, Supervisor and Co-ordinator

Core Competencies – demonstrated required skills of all employees

Look For's – examples of actions/behaviours that demonstrate knowledge and skill

Performance Standards – established range of ratings of required core competencies (making progress to highly successful)

Continuous Improvement Plan – the written statement which is focused on continuous improvement

Review Plan – the written statement outlining specific actions and timelines, intended to bring about positive change in unsatisfactory performance

Rating Scale – of competence level:

Highly Successful - Employee consistently goes beyond job requirements – evidence external and internal to the Board.
Successful - Employee consistently completes job assignments as expected in terms of quality and schedule – solid, fully competent in aspects of job.

Making Progress - Employee is moving toward meeting expected performance standards – improvement needed in some areas – expect success in near future.

Unsatisfactory - Employee is not meeting expected performance standards and needs to make significant improvement in job performance – regardless of reason, lack of desired achievement during review period

Overall Rating – Summary of core competency ratings

Core Competencies

Personal – demonstrates the knowledge, skills, values and motivations to function successfully in the role.

Examples:

Professional characteristics – integrity, ethics and values in all work related tasks and relationships.

Initiative and continuous improvement – engages in an on-going process of setting and achieving goals.

Interpersonal – demonstrates the skills and practices to work successfully with others.

Examples:

Communication – information, ideas and concepts presented in a manner that successfully communicates content and intent, and is responsive to others.

Teamwork – ability to work successfully with others and displays a balance between individual and group efforts.

Organizational – organizes and manages work related tasks efficiently and effectively.

Examples:

Organizational Understanding – knows the operational structure, the workings and the culture of the organization including the political, social and economic climate in which the organization operates.

Health & Safety – knows and applies safe learning and working practices.

Job Specific – demonstrates proficiency in work related tasks
– contributes to a positive and healthy work environment

Examples:

Service Orientation – demonstrates the skills and practices required to optimize service.

Instructional Leadership – demonstrates the skills and practices required to improve student learning.

Administrative Details

I Purpose of Performance Appraisal

1. Encourage the building of successful relationships through effective communication
2. Promote continuous improvement through personal and professional growth
3. Provide leaders with a process that will:
 - i. Assess employee competencies; and
 - ii. Assist employees in correcting and improving performance that does not meet the expected performance standards
4. Provide for our future by assisting employees in their career choices and planning.

II Roles and Responsibilities [Lines of Accountability – see Responsibility Chart]

- ▶ **All Employees shall ...**
 Perform duties according to performance standards
 Participate collaboratively in the performance appraisal process with their immediate supervisor
 Plan, implement and comply with continuous improvement strategies
- ▶ **The Trustees shall:**
 Assess the job performance of the Director of Education in accordance with criteria established and approved by the Board
- ▶ **The Director shall ...**
 Assess Executive Council members' job performance and support the employee in personal and professional growth.
- ▶ **Executive Council members shall ...**
 Assess the job performance of supervisors (including, but not limited to: principals, managers, supervisors and co-ordinators) within their portfolios and support the employee in personal and professional growth
- ▶ **Supervisors shall ...**
 Assess the job performance of employees within their schools/departments and support the employee in personal and professional growth
Note: Supervisors include Executive Council, Principals, Vice Principals, Managers and Supervisors
- ▶ **H.R. shall ...**
 Develop, implement, monitor and review the performance appraisal system
 Provide counsel and direction to leaders in managing employee job performance
 Provide guidelines for storage and access of performance appraisal documents

III Timelines and Frequency

1. Frequency of Performance Appraisals

- a. Permanent Staff:

| Employee Group | Minimum Frequency |
|---|-------------------|
| Director | Annual |
| Executive Council | Every 3 years |
| Principals/Vice Principals | Every 5 years |
| Managers/PASS | Every 3 years |
| Professional Support Services Personnel | Every 5 years |
| Office, Clerical & Technical Staff | Every 5 years |

| | |
|--|--|
| Educational Assistants | Every 5 years |
| Caretaking & Maintenance Staff | Every 5 years |
| Security Staff | Every 5 years |
| Elementary and Secondary Teachers | In accordance with Ministry of Education guidelines for TPA |
| English As a Second Language Instructors | Every 5 years |
| Occasional Staff | As outlined in individual Occ'l employee group Administrative Detail |

Note:

1. *The supervisor may initiate a performance appraisal at any time*
2. *The supervisor will consider an employee's request for a performance appraisal*
3. *Unsatisfactory performance appraisals require structured follow up*

b. Probationary/Newly Appointed Staff:

Performance appraisal to be completed during the first year of appointment to the position or during the period in which the incumbent is considered to be "probationary" in the position

c. Occasional/Casual/Supply Staff:

Performance appraisal in accordance with specific occasional groups' administrative details

2. Frequency of Continuous Improvement Plans

- a. Permanent Staff – In collaboration with their supervisors employees are required to develop and implement a continuous improvement plan at the time of their Performance Appraisal. Thereafter, the growth plan will be reviewed, evaluated and updated on a regular basis (annually) and at the time of the next performance appraisal. See the Administrative Details for Continuous Improvement Plans for more detailed information.

IV Formal Process - Guidelines

Note: Formal Process Guidelines may vary slightly by employee group. These will be noted in the individual employee group sections of the EPAS Binder.

Pre Conference

The supervisor will:

1. Communicate with the employee:
 - a. Intent to enter into the Performance Appraisal Process
 - b. Time and place of meeting
 - c. The process details
2. Gather information regarding employee's performance
3. Review the employee's job performance and prepare supporting documentation

The employee will:

1. Consider career objectives, concerns, suggestions for their growth and development

During the Conference

The supervisor will:

1. Discuss performance standards
2. Review appropriate system/school/department/goals
3. Evaluate individual performance and collaborate on areas for growth (the plan)
4. Provide direction or assistance to employee
5. Seek ideas for change from employee

The employee will:

1. Know what is expected
2. Know to what extent the performance standards are being met (self/supervisor evaluation)
3. Collaborate with supervisor in developing areas for growth and strategies to enhance performance

Post Conference

The supervisor will:

1. Store documents as outlined in the Due Diligence Guidelines
2. Monitor performance and follow up plan

The employee will:

1. Comply with and implement the plan

V Results – Guidelines

| Result | Next Step |
|-------------------|-----------------------------|
| Highly Successful | Continuous Improvement Plan |
| Successful | Continuous Improvement Plan |
| Making Progress | Continuous Improvement Plan |
| Unsatisfactory* | Review Plan |

*** in 1 or more core competency will result in a review plan**

Continuous Improvement Plan – The employee, in collaboration with the supervisor, will prepare, implement, monitor, and evaluate an improvement plan. The purpose of the improvement plan is to facilitate continuous improvement and encourage individual professional development. The improvement plan will focus on S.M.A.R.T. (specific, measurable, achievable, results oriented and time bound) goals and expectations and needs to consider the following: area(s) of focus, indicators of success, strategies for success and timeline for completion. The supervisor and employee should meet on an annual basis to review progress and revise the plan (where necessary).

Note: in the case where an employee is making progress the timeline for reviewing the plan will be no greater than 6 months.

Review Plan – A Review Plan is created when an employee's performance is deemed unsatisfactory. This plan is intended to bring about positive change in performance. The performance of the employee must improve through this plan. The review plan will establish specific goals and expectations and must consider the following: areas of concern, indicators of success, strategies for success and specific timelines for implementation and review (no longer than 6 months).

VI Unsatisfactory Performance – Guidelines

Where a performance appraisal indicates that the employee has not met the performance standards in one or more core competency, the employee will enter the Review Process.

Review Process

The Review Process is a formal course of action that specifies procedures and expectations of the supervisor and employee as a result of performance deemed unsatisfactory in a performance appraisal. It is a process intended to bring about positive change in performance.

The Review Process has very specific timelines and procedures that ensure due process and meet legal requirements.

An employee is in the Review Process when competence is such that performance must improve. Continued Unsatisfactory Performance may lead to the termination of the employment contract.

The employee is entitled to representation during Review Process conferences and must be advised at the beginning of the process. The employee must be provided with a reasonable opportunity to contact and arrange employee representation as required.

Steps in the Review Process (see Performance Appraisal Process Chart)

1. The supervisor shall advise the appropriate Executive Council member when an employee is placed in the Review Process and provide periodic updates regarding the employee's progress.
2. The supervisor shall arrange a Review Process conference with the employee and the employee representative.
3. At the Review Process conference, the supervisor and employee (with an employee representative) shall:
 - Discuss the Review Process
 - Clarify the difference between the employee's job performance and the required performance standards
 - Develop a Review Plan, outlining: areas of concern, indicators of success, strategies for success and specific timelines for implementation and review (no longer than 6 months).
4. Following the conference, the supervisor shall prepare a written summary to be read, reviewed and signed (as read) by the employee. The employee may provide comments which are to be included in the summary. The summary shall also include a statement of possible consequences for failing to improve. The Review Plan should be attached to the summary and copies will be provided to the employee and the Human Resources Department (for inclusion in the Central Human Resources File).
5. The supervisor will adhere to the timelines established in the Review Plan and follow up with the employee to determine whether there has been sufficient improvement. At this point, and in consultation with the appropriate Human Resources representative, the supervisor will:
 - a. Determine that sufficient improvement has taken place and advise the employee in writing, indicating the importance of maintaining a satisfactory level of performance. Copies of this communication will be provided to the employee and the Human Resources Department (for inclusion in the Central Human Resources File).
 - OR**
 - b. Determine that some (but insufficient) improvement has taken place and provide the employee with additional time and support/assistance to continue to show improvement. If sufficient improvement takes place, the supervisor will follow up as outlined in (a) above. If insufficient improvement results, the supervisor shall proceed to (c) below.
 - OR**
 - c. Determine that insufficient improvement has taken place and arrange a conference with the employee, the employee representative and a Human Resources representative. At the second Review Process conference, the discussion will include:
 - specific concerns regarding the employee's performance and improvement required
 - the absence of improvement and need for immediate improvement
 - Review Plan to support immediate improvement (no longer than 6 months)
 - consequences of failing to improve
6. Following the conference, the supervisor shall prepare a written summary that shall include reference to the previous written summary, steps taken to date to assist/support the employee's improvement, lack of sufficient improvement in the specified time, and the updated Review Plan. The employee will read, review and sign (as read) the written summary and may provide comments which are to be included in the summary. Copies will be provided to the employee and the Human Resources Department (for inclusion in the Central Human Resources File).
7. The supervisor will adhere to the timelines established in the Review Plan and follow up with the employee to determine whether there has been sufficient improvement. At this point, and in consultation with the appropriate Executive Council member and the Human Resources representative, the supervisor will:

- a. See 5 a. (above)
- b. Extend the timeline for required improvement
- c. Recommend termination of contract for cause

OR

OR

8. Recommendation to Terminate Employment Contract for Unsatisfactory Performance

- a. Having determined that the employee, given opportunities for assistance, is unable to meet performance standards, the supervisor will, in consultation with the appropriate Executive Council member and Human Resources, recommend the termination of the employee's contract for cause. This decision is to be made only after all previous efforts to assist the employee have failed to bring about positive change in performance.
- b. The appropriate Executive Council member will notify the employee in writing and outline the decision to terminate in compliance with the applicable terms of employment. A copy of this letter will be provided to the applicable employee representative.

VII Storage of Employee Performance Appraisals

Performance Appraisal:

All performance appraisals will be stored electronically on EPAS; original to H.R. Department Employee File, copy to Employee, copy to School/Department Employee File

Continuous Improvement Plans:

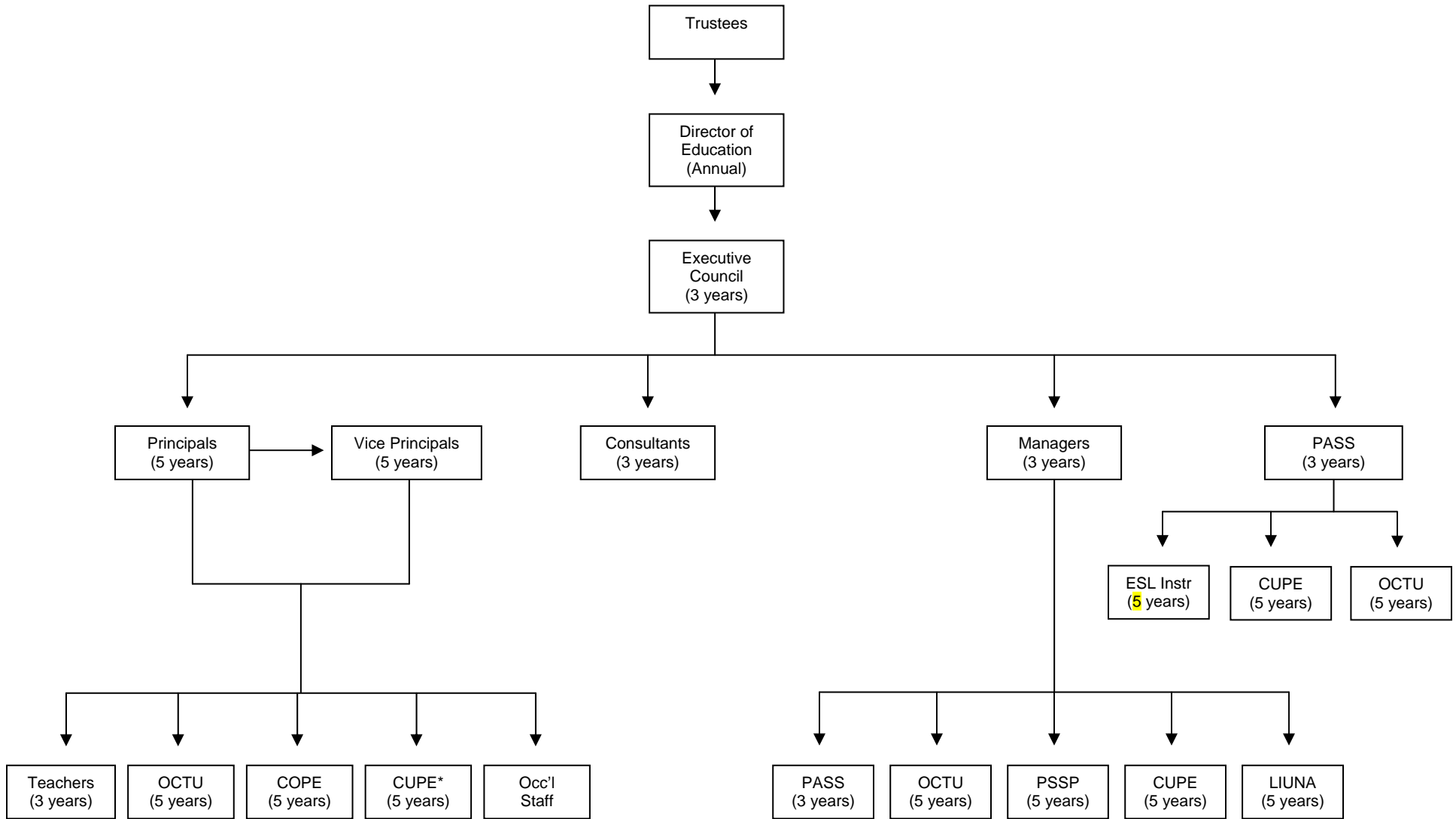
The Continuous Improvement Plan will be stored electronically on EPAS; original to H.R. Department Employee File, copy to Employee, copy to School/Department Employee File

Review Plans:

Blank template can be downloaded from EPAS; completed Review Plan: original to H.R. Department Employee File, copy to Employee, copy to School/Department Employee File

Reference: Due Diligence Guidelines for Documentation, Storage and Access of Information and Managing Information Compilation; page 9, #2 – 2.1: Employee Files

Responsibility Chart



*Note:
 CUPE: Principals/Vice Principals collaborate with Area Supervisors re CUPE performance appraisals

Performance Appraisal Process

