

January 24, 2007

**ADOPT A NEW PROFESSIONAL SUPPORT AND REMEDIATION
OF CONTRACT PRINCIPALS POLICY**

THE CHIEF EXECUTIVE OFFICER RECOMMENDS:

That the Chicago Board of Education ("Board") adopt a Professional Support and Remediation of Contract Principals Policy.

PURPOSE: To establish a uniform system of professional support and remediation for contract principals whose performance needs improvement (Direct Assistance Plan) or is not meeting expectations (Corrective Action Plan) of either the Chief Executive Officer or designee.

POLICY TEXT:

I. **Statement of Policy.** As the instructional leaders of CPS schools, the satisfactory performance of contract principals is of paramount importance. When a contract principal's performance **needs improvement**, the contract principal should be put on notice of the nature of the deficiencies in his or her performance in a direct assistance plan ("DAP") and given a reasonable period of time to correct those deficiencies. When a contract principal's performance **does not meet the expectations** of the Chief Executive Officer, the contract principal should be put on notice of the nature of deficiencies in his or her performance in a corrective action plan ("CAP") and put on notice that such deficiencies are in need of immediate correction. For purposes of this policy, a contract principal's performance needs improvement either when the Chief Executive Officer or designee has evaluated the principal's performance as needing improvement and, after providing the principal an opportunity for making such improvement, the Chief Executive Officer or designee determines that principal has made only limited or no progress in making the identified improvements. For purposes of this policy, a contract principal's performance does not meet expectations of the Chief Executive Officer either when the Chief Executive Officer or designee evaluates the contract principal as not meeting expectations in an annual evaluation or when at the mid-point of a DAP period, the contract principal has not made sufficient progress toward successful completion of the DAP.

II. **Applicability.** This Policy applies to contract principals.

III. **Definitions.**

- A. **"Chief Executive Officer or designee."** "Chief Executive Officer or designee" refers to the Board of Education of the City of Chicago's Chief Executive Officer and those persons to whom the Chief Executive Officer has delegated the responsibility for reviewing and monitoring the performance of contract principals. The Chief Executive Officer's designees include the Chief Education Officer, Chief High School Programs Officer, the Chief Officer of Elementary Areas and Schools, and Area Instruction Officers to whom the Chief Executive Officer has delegated that responsibility.
- B. **"Contract principals."** "Contract principals" refers to principals who have been awarded a contract by the Board as defined in Board Rule 4-3(b)(1) and in accordance with Section II of the Board's Policy on Appointment and Assignment of Teachers and Principals (Board Report #05-0824-PO9), as may be amended. Contract principals do not include acting principals, interim principals or associate principals.
- C. **"Performance Deficiency."** A shortcoming in the contract principal's instructional leadership or managerial abilities that the Chief Executive Officer deems to be:
- a. Of sufficient importance that, if left unaddressed will have a damaging effect upon the school; and

- b. Is remediable within the scope of a direct assistance plan.

For purposes of this policy, "Performance Deficiency" does not include irremediable performance deficiencies or conduct by the contract principal.

- D. **"Direct Assistance Plan" or "DAP"**. A written plan with a duration of no less than nine (9) calendar months and no more than twelve calendar (12) months issued to a contract principal to correct the contract principal's performance deficiencies that are deemed remediable by the Chief Executive Officer or designee which communicates the following:
 - 1) A description of performance deficiencies.
 - 2) A defined performance correction period.
 - 3) An articulation of a plan to address these performance deficiencies, including plan benchmark dates for performance review.
 - 4) Identification of resources and/or supports available to the contract principal to address performance deficiencies.
 - 5) The possible consequences (e.g., a corrective action plan or CAP, warning resolution, discipline etc.) of failing to successfully complete the direct assistance plan.
- E. **"Corrective action plan" or "CAP"**. A written plan with a duration of no less than four (4) calendar months and no more than six (6) calendar months within an academic year issued to a contract principal to correct the contract principal's performance deficiencies that are deemed remediable but in need of immediate correction by the Chief Executive Officer or designee which communicates the following:
 - 1) A description of performance deficiencies.
 - 2) A defined performance correction period.
 - 3) Identification of resources and/or supports available to contract principal to address performance deficiencies.
 - 4) A notice that failure to successfully complete the plan may result in a recommendation that the contract principal be dismissed and/or removed as a contract principal or for other appropriate action in accordance with applicable law and Board policies.

IV. Direct Assistance Plans Process.

A. Issuance of Direct Assistance Plans.

- 1) The CEO or designee shall issue a DAP in writing on a standardized form to principals when the CEO or designee evaluates the principal's performance as needing improvement.
- 2) The CEO or designee may issue a DAP to contract principals coincident with their evaluation by the CEO or designee or by the Local School Council or at any time at which the CEO or designee identifies a performance deficiency.
- 3) Before issuance of the DAP to the contract principal, the CEO or designee must have the DAP approved by the Chief Officer of Elementary Areas and Schools or the Chief High School Programs Officer, as appropriate.

- 4) The CEO or designee must issue the DAP to the contract principal in a meeting between the CEO or designee and the contract principal at which the CEO or designee:
 - a) Discusses the identified performance deficiencies with the principal.
 - b) Summarizes the corrective actions that the principal must take in order to successfully complete the DAP.
 - c) Identifies possible consequences (i.e., warning resolution, discipline, a corrective action plan or CAP, dismissal or removal) of a failure to successfully complete the DAP.

A DAP meeting is not a substitute for a meeting with the contract principal to discuss his or her annual evaluation. An evaluation meeting and a DAP meeting may be held within one meeting, but the CEO or designee must discuss his/her evaluation of the contract principal's performance separately from the DAP.

- 5) The contract principal must sign the DAP to acknowledge its receipt and his/her understanding of the DAP. A refusal by the contract principal to sign the DAP shall not affect the DAP, the contract principal's duty to comply with the DAP, or the consequences of the contract principal's failure to successfully complete the DAP.
- 6) After issuance of the DAP to the principal, the AIO shall submit the original DAP to the Chief Officer of Elementary Areas and Schools or the Chief Officer of High School Programs, who in turn shall send a copy of the DAP, related performance evaluations, and other relevant documentation to the Law Department and the Department of Human Resources Office of Principal Preparation and Development.

B. Form of DAP. The CEO or designee shall develop a standardized DAP form that is consistent with any principal evaluation issued to the principal by the CEO or designee, which may be altered from time to time in the exercise of the CEO or designee's discretion, and which includes the following:

- 1) Description of material performance deficiencies which should be consistent with required CPS evaluation criteria or Principal Competencies set forth in the CPS principal evaluation.
- 2) A plan to address the performance deficiencies, which summarizes the actions that the principal must take and Chief Executive Officer or designee's expectations for successful completion of the DAP and includes plan benchmark dates for reviewing progress toward correcting the deficiencies and meeting the expectations.
- 3) Identification of resources and/or supports available to the contract principal to address performance deficiencies and meet the Chief Executive Officer or designee's expectations.
- 4) An appropriate direct assistance period which shall generally be from nine (9) to twelve (12) calendar months.
- 5) An appropriate mid-term (half-way point) review date consistent with Section IV.D of this Policy.
- 6) A statement by CEO or designee of the possible consequences to the contract principal if the DAP is not successfully completed by the contract principal (i.e., warning resolution, a corrective action plan or CAP, discipline, dismissal or removal).

7) Signature by the contract principal acknowledging receipt of the DAP.

C. DAP period/duration. The DAP period for a contract principal shall generally be for a period of nine (9) to twelve (12) calendar months.

D. Mid-Term (Half-way point) Review of DAP. A mid-term review of the DAP must occur at approximately the half-way point of the DAP period. The CEO or designee shall meet with the contract principal for the mid-term review and advise the contract principal whether the principal is making sufficient progress to correct the deficiencies and meet the Chief Executive Officer or designee's expectations set forth in the DAP by the DAP conclusion date. If the CEO or designee determines that the contract principal has not made sufficient progress to successfully conclude the DAP, a CAP shall be issued to the contract principal in accordance with Section V of this Policy and the process set forth in that section shall be followed thereafter. When the CEO or designee determines that the contract principal has made sufficient progress to successfully conclude the DAP, he/she shall confirm the results of the mid-term review in an appropriate writing and the DAP period shall continue until the final assessment set forth in Section IV.E of this policy.

E. Final Assessment of Principal's Completion of the DAP. At the conclusion of the DAP period, the CEO or designee shall make a written assessment of whether or not the contract principal has corrected the performance deficiencies identified in the DAP. Thereafter, the CEO or designee shall meet with the contract principal and deliver the written assessment to the contract principal. That assessment shall specifically state whether or not the contract principal has successfully completed the DAP and, if not, those areas in which the contract principal failed to successfully complete the DAP.

F. Consequences of Contract Principal's Failure to Successfully Complete the DAP. When the CEO or designee determines that a contract principal failed to successfully complete a DAP, the contract principal may be subject to one or more of the following actions on recommendation of the CEO or designee:

- 1) Appropriate disciplinary action under the Employee Discipline and Due Process Policy.
- 2) A CAP and a warning resolution.
- 3) Other actions that the CEO or designee deem appropriate under the circumstances.

V. Corrective Action Plan Process.

A. Issuance of corrective action plans (CAP).

- 1) The CEO or designee shall issue a CAP in writing on a standardized form to contract principals when the CEO or designee determines that the contract principal's performance in need of immediate correction, including but not limited to, when the CEO or designee evaluates the contract principal's performance as not meeting expectations or when, at the mid-term of a DAP, the CEO or designee determines that a contract principal has not made adequate progress to successfully complete the DAP.
- 4) Before issuance of the CAP to the contract principal, the CEO or designee must have the CAP approved by the Chief Officer of Elementary Areas and Schools or the Chief High School Programs Officer, as appropriate.
- 5) The CEO or designee must issue the CAP to the contract principal in a meeting between the CEO or designee and the contract principal at which the CEO or designee:
 - a) Discusses the identified performance deficiencies with the principal.

- b) Summarizes the corrective actions that the principal must take in order to successfully complete the CAP.
- c) Identifies the consequence (i.e., dismissal and/or removal) of a failure to successfully complete the CAP.

A CAP meeting is not a substitute for a meeting with the contract principal to discuss his/her annual evaluation. An evaluation meeting and a CAP meeting may be held within one meeting, but the CEO or designee must discuss his/her evaluation of the contract principal's performance separately from the CAP.

- 6) The contract principal must sign the CAP to acknowledge its receipt and his/her understanding of the CAP. A refusal by the contract principal to sign the CAP shall not affect the CAP, the contract principal's duty to comply with the CAP, or the consequences of the contract principal's failure to successfully complete the CAP.
- 7) After issuance of the CAP to the principal, the CEO or designee shall submit the original CAP to the Chief Officer of Elementary Areas and Schools or the Chief Officer of High School Programs, as appropriate, who in turn shall send a copy of the CAP, related performance evaluations, and other relevant documentation to the Law Department, the Department of Human Resources and the Office of Principal Preparation and Development.

B. Form of CAP. The CEO or designee shall develop a standardized CAP form that is consistent with any principal evaluation issued to the principal by the CEO or designee, which may be altered from time to time in the exercise of the CEO or designee's discretion, and which includes the following:

- 1) Description of material performance deficiencies which should be consistent with required CPS evaluation criteria or Principal Competencies set forth in the CPS principal evaluations.
- 2) A plan to address these deficiencies, which summarizes the corrective actions that the principal must take in order to successfully complete the CAP and includes plan benchmark dates for reviewing progress toward correcting them.
- 3) Identification of resources and/or supports available to the contract principal to address performance deficiencies.
- 4) An appropriate corrective action period which shall not exceed six (6) calendar months.
- 5) A statement by CEO or designee of the consequence to the contract principal if the CAP is not successfully completed by the contract principal (i.e., dismissal or removal).
- 6) Signature by the contract principal acknowledging receipt of the CAP.

C. CAP period/duration. The CAP period for a contract principal shall be no less than four (4) and no more than six (6) calendar months within an academic year.

D. Warning Resolution. When the CEO or designee issues a CAP to a contract principal, the CEO shall also recommend that the Board adopt a Warning Resolution to be issued to the contract principal immediately, which warning resolution incorporates by reference the terms of the CAP. Warning Resolutions shall be recommended in accordance with the Employee Discipline and Due Process Policy (Board Report # 04-0728-PO1), as may be amended.

E. Final Assessment of Principal's Completion of the CAP. At the conclusion of the CAP period, the CEO or designee shall make a written assessment of whether or not the contract principal has corrected the performance deficiencies or CEO or designee's expectations identified in the CAP. Thereafter, the CEO or designee shall meet with the contract principal to deliver the written assessment to the contract principal. That assessment shall specifically state whether or not the contract principal has successfully completed the CAP and, if not, those areas in which the contract principal failed to successfully complete the CAP.

F. Consequences of Contract Principal's Failure to Successfully Complete the CAP. When the CEO or designee determines that a contract principal failed to successfully complete a CAP, the contract principal may be subject to one or more of the following actions on recommendation of the CEO or designee:

- 1) Dismissal and/or removal of the contract principal.
- 2) Other actions that the CEO or designee deem appropriate under the circumstances.

VI. Principal's Rebuttal. A contract principal who is subject to a DAP or a CAP may submit a rebuttal to the issuance of the DAP or CAP, the mid-term assessment of the contract principal's performance under the DAP or CAP and the final assessment of the principal's performance under the DAP or CAP. The Rebuttal shall be submitted to the Department of Human Resources for inclusion in the contract principal's personnel file and should be copied to the CEO or designee.

VII. Responsibility for Oversight of the DAP and CAP Processes. The Chief Officers of Elementary Areas and School and High School Programs Officer shall oversee and administer the DAP and CAP processes in their respective areas, and provide administrative support to the CEO or designee in issuing DAPs and CAPs to contract principals.

VIII. Effective Date and Effect of Policy and Warning Resolutions Issued prior to the Adoption of this Policy. This policy shall take effect on July 1, 2007. All DAPs or CAPs issued to contract principals or Warning Resolutions issued to contract principals prior to the adoption of this policy shall not be subject to this policy.

IX. Effect of Policy on Board or CEO's Rights to Remove Contract Principals under Policies, Rules or Laws. Nothing in this policy shall be construed as requiring that a DAP or CAP be issued to a contract principal prior to removal or reassignment. Additionally, nothing in this policy shall be construed as limiting the Board or the CEO's right to immediately remove and seek dismissal of a contact principal in accordance with the Employee Discipline and Due Process Policy for conduct that the Board or the CEO deems irremediable. Finally, nothing in the policy shall limit the Board or the CEO's right to reconstitute, intervene in, restructure, consolidate, phase out or close a school.

X. Relationship of Policy and Principal Evaluation Procedures. This Policy is intended as a supplement to evaluation processes and procedures employed by the CEO and designees and shall not be construed as a substitute for that process. This Policy has no effect on contract principal evaluation procedures employed by Local School Councils.

Legal References: 105 ILCS 5/34-8.3; 105 ILCS 5/34-8.4; 105 ILCS 5/34-85

Approved For Consideration:



Barbara Eason-Watkins
Chief Education Officer

Noted:



John Maiorca
Chief Financial Officer

Respectfully Submitted:



Arne Duncan
Chief Executive Officer

Approved as to Legal Form: 



Patrick J. Rocks
General Counsel