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# **PRINCIPAL AND ASSISTANT PRINCIPAL EMPLOYMENT GUIDELINES**

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## **FOR THE APPOINTMENT, ASSIGNMENT, DISPLACEMENT, PERFORMANCE MANAGEMENT AND DISCIPLINE OF PRINCIPALS AND ASSISTANT PRINCIPALS**

Issued by

Forrest Claypool, Chief Executive Officer

Effective - May 25, 2016

# **Principal and Assistant Principal Employment Guidelines**

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### **GUIDELINES INTRODUCTION**

These principal and assistant principal employment guidelines are issued by the Chief Executive Officer of the Board of Education of the City of Chicago ("Board") in accordance with the authorities granted under Board Rule 4-1.a. and Board Rule 4-7.a.

These guidelines are intended to establish professionally sound and respectful performance management practices for managers and employees. They are not intended to impose contractual obligations on the Board or to create rights for employees with respect to any term or condition of employment. Consistent with Board Rules 4-3(b) and 4-3(c) and 4-5(b), employees in the job classifications covered by these guidelines are and shall remain at-will employees who serve at the pleasure of the Board and/or the Chief Executive Officer. They may be removed from their positions and their employment relationship with the Board ended for any or no cause and with or without notice.

**These guidelines are not to be construed as containing binding terms and/or conditions of employment. They should not be considered a contract.**

These guidelines may be amended and reissued, in whole or in part, as deemed necessary and appropriate by the CEO.

**I. APPOINTMENT, ASSIGNMENT AND DISPLACEMENT OF PRINCIPALS AND ASSISTANT PRINCIPALS**

**A. Introduction and Scope**

Section I of these guidelines set forth the requirements for the appointment, assignment and displacement of principals and assistant principals. Section II sets forth the guidelines to discipline and dismiss a principal or assistant principal for misconduct or a performance deficiency.

The employment rules established by the Board define the categories of employees and their qualifications and further grant the Chief Executive Officer (“CEO”) the authority and responsibility to manage the process through which principals and assistant principals are appointed, assigned and displaced as set out in these guidelines. Any limitation on the CEO or designee’s authority to manage the appointment, assignment and displacement of principals and assistant principals is specifically set forth in Board Rules and in state or federal law. The CEO reserves the right to change the content of these guidelines as the CEO deems necessary.

**Individuals serving as an interim principal, acting principal, assistant principal, acting assistant principal, and assistant principal serving an 8.3 interim principal serve on an at-will basis at the pleasure of the CEO or designee and have no property right to their position, employment or expectation of continued employment and therefore are subject to displacement at any time. At-will employees may be displaced from employment with or without cause and with or without prior notice.**

All employees, except contract principals, are classified as probationary employees for the first twelve (12) months of employment with the Board. Any period of absence from work in excess of five (5) days during the probationary period, including, but not limited to, approved leaves of absence shall extend the probationary period for a period of time equal to the absence. For probationary employees promoted or appointed to a different position, their probationary period shall be extended for sixty (60) days. To the extent an interim principal, acting principal, assistant principal, acting assistant principal or assistant principal serving an 8.3 interim principal qualifies as a probationary employee, s/he is further subject to the displacement provisions applicable to all probationary employees.

## **B. Contract Principals**

1. Qualifications and Position Advertisement: Whenever a vacancy or new position of contract principal becomes available at a school, the elected Local School Council (“LSC”) or the Appointed Local School Council (“ALSC”) shall request that the Principal Quality Initiatives Office advertise the contract principal position vacancy in the Career Opportunities (Job Postings) Bulletin. The LSC/ALSC may, at its own expense, also advertise the position in external publications or by whatever method the LSC/ALSC deems appropriate. All position advertisements shall indicate the qualifications, experience and other criteria that will be considered by the LSC/ALSC, including that the candidate must:

- i. be a member of the CPS Principal Eligibility Pool at time of contract award,
- ii. meet all Board hiring pre-requisites and satisfy the Board’s employee requirements,
- iii. hold all state-required certificates and licenses, and
- iv. hold a valid teacher evaluation certification issued by the Illinois State Board of Education (“ISBE”) within 90 calendar days of appointment or assignment.

Any additional qualifications, criteria and/or provisions identified by an LSC/ALSC shall not unlawfully discriminate and shall be consistent with the provisions of the Uniform Principal’s Performance Contract approved by the Board.

### 2. Contracts:

(a) *School with an LSC with Authority to Appoint a Contract Principal*: Principal contracts shall be awarded by the LSC for a duration of four (4) years, except that contracts for principals retained by the decision of a hearing officer under 105 ILCS 5/ 34-2.3(1.5) may be extended for a maximum period of two (2) years.

(b) *Alternative or Small School with an ALSC*: Principal contracts for the principalship of a small or alternative school operated by the Board under 105 ILCS 5/34-2.4(b), shall be awarded by the Board for a duration of four (4) years.

(c) *Uniform Principal’s Performance Contract*: The Board has established a Uniform Principal’s Performance Contract for use with principal contracts awarded by an LSC and also principal contracts awarded by the Board for schools with an ALSC [105 ILCS 5/34-8]. The Uniform Principal’s Performance Contract sets out the requirements for principal performance and also the conditions under which the principal may be removed and/or the contract terminated before the expiration of the four (4) year term. Nothing in these guidelines is intended to limit or condition the Board’s right to, at any time, undertake disciplinary action or performance management measures described in section II of these guidelines that may result in the discharge and early termination of a contract principal.

### **C. Interim Principals**

An interim principal is a temporary principal assigned by the CEO or designee to a school for up to one (1) year, or longer as described below, who exercises all the powers and authority of a contract principal during their interim assignment. **The CEO or designee may end the interim principal's assignment at any time at the CEO or designee's discretion.** An interim principal shall be a member of the CPS Principal Eligibility Pool and meet all other qualification requirements specified for Contract Principals. The CEO or designee shall assign interim principals as follows:

1. When an LSC Fails to Act: Whenever there is a principal vacancy that has not been filled by the LSC's selection of a contract principal, and the LSC fails to submit three principal candidate names to the CEO or designee within 90 calendar days of the position being vacant, the CEO or designee may appoint an interim principal for the school to serve for up to one (1) year or until the LSC selects a new contract principal, whichever occurs first. Within the period of appointment, the LSC may directly select a new principal by the affirmative vote of at least seven members. If an LSC fails or refuses to select a new contract principal, the CEO or designee may reappoint the interim principal, or select and appoint a new interim principal, for an additional year or until the LSC selects a new contract principal, whichever occurs first. [105 ILCS 5/34-2.3]
2. Pending the Effective Date of the Principal Contract: After an LSC selects an individual to serve as the school's contract principal, the CEO or designee may appoint the individual selected to serve as the interim principal pending the effective date of the principal contract.
3. When an LSC/ALSC Has Not Yet Been Established: In all cases in which a new school's LSC/ALSC has yet to be established, the CEO or designee may assign an interim principal to serve at the direction of the CEO or designee, until the LSC/ALSC is duly constituted and a contract principal is in place.
4. When an LSC Has No Authority to Act: In all cases in which the LSC has no authority to select a contract principal (e.g., including, but not limited to, when the contract principal has been removed by the Board under 105 ILCS 5/34-8.3), the CEO or designee shall assign an interim principal to serve at the pleasure of the CEO or designee, until the school is not on probation, at which time the LSC shall select a contract principal.

### **D. Acting Principals**

An acting principal is a temporary principal who is assigned on a temporary basis to a school by the CEO or designee whenever a contract or interim principal is absent for an extended period of time. **The CEO or designee may end the acting principal's assignment at any time at the CEO or designee's discretion.** An acting principal shall be a member of the CPS Principal Eligibility Pool and meet all other qualification requirements specified for contract principals. Acting principals serve as follows:

1. Assignment: Whenever a contract or interim principal is absent for an extended period of time, the CEO or designee may appoint an acting principal to serve for up to one-hundred (100) school days. The acting principal will be paid the same salary as an interim principal. If a tenured teacher is appointed as an acting principal, s/he shall have the right to return to the position that s/he held prior to the date of appointment. The CEO or designee may reappoint an acting principal for successive one-hundred (100) day periods as the CEO or designee deems necessary.

2. Limitation on Authority: An acting principal exercises all the powers and authority of a contract principal during their assignment, except an acting principal may not terminate or seek the termination of an assistant principal, teacher or any other educational support personnel employee assigned to the school to which they are assigned without the prior approval of the CEO or designee.

#### **E. Assistant Principals Appointed on or after August 28, 2013 – Terms and Conditions of Employment, Retention and Displacement**

Assistant principals appointed on or after August 28, 2013 shall be subject to the following appointment and displacement rules:

1. Qualifications: To be eligible for appointment to the position of assistant principal, a person must:

- i. have a master's degree from an accredited college or university;
- ii. meet all Board hiring pre-requisites and satisfy the Board's employee requirements,
- iii. hold all state-required certificates and licenses, and
- iv. hold a valid teacher evaluation certification issued by ISBE within 90 calendar days of appointment.

2. Annual Retention or Displacement Due To Annual Fiscal Considerations: An assistant principal's continued employment is subject to an annual fiscal appropriation for the position in the school's budget. The principal shall notify an assistant principal in writing by June 1 (approximately 30 day notice) whether the school's budget for the next fiscal year includes or excludes, or is projected to exclude, the assistant principal's position. Upon a notice that the budget excludes, or is projected to exclude, the position, an assistant principal will be displaced and start the severance period described in Section I.E.6., below, effective July 1 if s/he has not secured another position by June 30.

If funds are allocated for the assistant principal's position in the school's budget for the following fiscal year, the incumbent assistant principal shall remain in the budgeted position until the following June 30, except in special circumstances when the budget for the assistant principal's position is lost due to mandated school budget adjustments

resulting from a significant loss or reduction in the school's state or federal categorical funding or per-pupil funding based on the school's actual enrollments.

Any assistant principal displacement notice issued due to mandated school budget adjustments shall provide fourteen (14) days advance notice of displacement and shall include information on displacement benefits. The principal shall follow the procedures and timelines established by the Budget Office and the Principal Quality Initiatives Office to implement mandated school budget adjustments. Upon displacement due to any of the annual fiscal considerations, an assistant principal shall be eligible for the displacement benefits described in Section I.E.7.

In addition to displacements based on annual fiscal considerations, an assistant principal is further subject to displacement in accordance with subsections 3, 4, 5 and 6 below, as applicable.

3. Re-Appointment or Displacement by a New Contract or Interim Principal: A new contract or interim principal appointed may, at his/her sole discretion, select and re-appoint the incumbent assistant principal(s) to continue to serve in the position or instead select and appoint a new assistant principal(s). The new contract or interim principal shall notify the incumbent assistant principal by giving fourteen (14) days advance written notice within forty-five (45) calendar days of the effective date of the principal's appointment or assignment, of their decision to either re-appoint the individual to the position or not to re-appoint and displace the individual from the position. Upon displacement, an assistant principal shall be eligible for the displacement benefits described in Section I.E.7.

4. Displacement of an Assistant Principal serving an Interim Principal due a Principal Removal under 34-8.3: In order to ensure the CEO or designee's ability to lead effective school turnaround and remediation efforts at schools with an interim principal who is filling a vacancy created as a result of the removal of the contract principal under 105 ILCS 5/34-8.3 ("8.3 interim principal"), the CEO or designee reserves the right to change the school's leadership team as s/he deems necessary to achieve improvements in school performance. **The CEO or designee may end the assignment of an assistant principal serving an 8.3 interim principal at any time at the CEO or designee's discretion.** An assistant principal serving an 8.3 interim principal is subject to displacement at any time with or without cause as determined by the CEO or designee with fourteen (14) calendar days advance notice. Upon displacement by the CEO or designee, an assistant principal shall be eligible for the displacement benefits described in Section I.E.7.

5. Re-Appointment or Displacement of an Assistant Principal by a Renewed Contract Principal: The current contract principal upon their contract renewal may, at his/her sole discretion, select and re-appoint the incumbent assistant principal(s) to continue to serve in the position or instead select and appoint a new assistant principal(s). The principal shall notify the incumbent assistant principal by giving fourteen (14) calendar days advance written notice prior to the effective date of the principal's contract renewal, of



their decision to either re-appoint the individual to the position or not to re-appoint and displace the individual from the position. Upon displacement, an assistant principal shall be eligible for the displacement benefits described in Section I.E.7.

6. School Actions: The displacement notice requirements set out in this section I.E. do not apply to circumstances in which displacement results from a school action or school reconstitution. In such cases, notice of displacement will be made as practicable following a Board-approved school action or school reconstitution. Upon displacement, an assistant principal shall be eligible for the displacement benefits specified in their displacement notice.

7. Displacement Benefits: Displaced assistant principals are eligible to receive 60 calendar days of pay and benefits, which will allow time to search for a new position. If the displaced assistant principal does not secure a new position by the end of the 60 calendar-day period, he/she will be honorably terminated. The displacement benefits time period begins the first business day following the individual's final day in the position. At that time, the individual will be staffed into a citywide assistant principal position. The assistant principal may be required to report to a work location as directed by the CEO or designee during the 60 calendar-day period. Benefits continue until the last day of calendar month in which employment is terminated.

8. Displacement vs. Discharge: Any displacement notice issued to an incumbent assistant principal in accordance with this section I.E. constitutes the end of a fixed term of employment rather than a discharge. Nothing in this section I.E. is intended to limit or condition the Board's right to, at any time, undertake disciplinary action or performance management measures described in section II of these guidelines that may result in the discharge of an assistant principal.

#### **F. Acting Assistant Principals – Appointed on or after August 28, 2013**

The acting assistant principal position exists when: (i) the regularly assigned assistant principal is on leave for an anticipated duration that necessitates a temporary coverage assignment; (ii) an acting principal is serving at a school with a vacancy in an assistant principal position that is otherwise funded in the school improvement plan, or (iii) the CEO or designee otherwise deems it necessary and appropriate. **The CEO or designee may end the acting assistant principal's assignment at any time at the CEO's or designee's discretion.**

1. Qualifications: To be eligible for appointment to the position of acting assistant principal, a person must satisfy all assistant principal qualification requirements set out in Section I.E.1 herein

2. Right of Return: In instances where the acting assistant principal is a teacher at the same school, the teacher retains the right to return to the position s/he vacated provided s/he serves as the acting assistant principal for no more than 10 months. The Principal must hold that teaching position for at least 10 months and can only fill it temporarily while the teacher is serving as acting Assistant Principal. If the acting

assistant principal serves for more than 10 months, then there is no right to return to the position he/she vacated and s/he will instead be eligible to receive the displacement benefits set out in Section I.E.7 above. Teachers staffed in acting assistant principal positions continue to pay CTU union dues during the first 10 months of their assignment.

In instances where the acting assistant principal is a teacher or administrator from elsewhere in the District, s/he has no right to return to their vacated position regardless of their length of service as an acting assistant principal. In such cases, upon completion of their assignment as acting assistant principal, s/he will be eligible to receive the displacement benefits set out in Section I.E.7 above. Nothing herein prevents or limits the CEO or designee from granting a right of return when appropriate.

**Section I.G. expires August 27, 2017 when the transition of qualifying Assistant Principals to the terms and conditions found in Section I.E. of these guidelines will be complete.**

**G. Assistant Principals Appointed Before August 28, 2013 - Transition to the Terms and Conditions Found in Section I.E. of these Guidelines**

1. Background:

Beginning with Fiscal Year 2014, the Board established a student-based budgeting system that replaced the former quota-based budgeting system except as to certain specified schools. Coincident with this revised budget system, the Board determined to establish a single category of assistant principals who serve under standard terms and phase out the previous two categories of assistant principals (quota assistant principals and discretionary assistant principals).

Transition to the new single category of assistant principals will occur in accordance with the rules described below. During the transition period, qualifying formerly-designated quota assistant principals and discretionary assistant principals shall be eligible to receive the displacement benefits provided in the Board's prior Policy on the Appointment and Assignment of Teachers and Principals (Board Report 06-0823-PO1) as described below. **If a formerly-designated quota assistant principal or discretionary assistant principal is re-appointed to an assistant principal position after August 28, 2013, the individual shall be subject to the new standard terms, conditions and displacement benefits set out in Section I.E. of these guidelines.**

2. Formerly-Designated Discretionary Assistant Principal (typically funded under funds 367, 114 or 225):

(a) Displacement and Re-Appointment: An existing discretionary assistant principal as of August 27, 2013 (except those covered under section I.G.5 below) may continue to serve in that position until June 30, 2014, unless a new contract or interim principal is appointed/assigned or the current principal's contract is renewed prior to June 30, 2014.

The principal shall notify the discretionary assistant principal in writing by June 1 whether the school's budget for the next fiscal year includes or excludes, or is projected to exclude, the assistant principal's position. Upon a notice that the budget excludes, or is projected to exclude, the position, the formerly-designated discretionary assistant principal will be displaced and start the severance period described in Section I.G.2.b below effective July 1 if s/he has not secured another position by June 30. The notice shall include information on displacement benefits.

**If a re-appointment notice is provided by June 1, the assistant principal shall be deemed re-appointed effective July 1, 2014 as an assistant principal and subject to the new terms, conditions and displacement benefits set out in Section I.E. of these guidelines.**

**Section I.G. expires August 27, 2017 when the transition of qualifying Assistant Principals to the terms and conditions found in Section I.E. of these guidelines will be complete.**

If, however, a new contract or interim principal appointed or assigned or the current principal's contract is renewed prior to June 30, 2014, the new contract or interim principal or renewed principal shall notify the discretionary assistant principal of their decision to either re-appoint or to not re-appoint and displace the assistant principal by giving fourteen (14) calendar days advance written notice within thirty (30) calendar days from the effective date of the principal's assignment, appointment or contract renewal. **If a re-appointment notice is provided, the discretionary assistant principal shall be deemed re-appointed as an assistant principal and subject to the new terms, conditions and displacement benefits set out in Section I.E. of these guidelines.**

(b) Displacement Benefits: Upon displacement by July 1, 2014, the formerly-designated discretionary assistant principal is eligible to receive full pay and benefits for up to sixty (60) workdays thereafter, including holidays and benefit days. If, at the end of the sixty (60) workdays-of-pay grace period, s/he has not obtained a new position, the former-designated discretionary assistant principal's employment will be honorably terminated.

3. Formerly-Designated Quota Assistant Principal serving a Contract Principal (typically funded under fund 115):

(a) Displacement and Re-Appointment: An existing formerly-designated quota assistant principal serving a contract principal as of August 27, 2013 may continue to serve in that position until such time as the principal's contract is terminated or is otherwise subject to renewal.

When a new contract principal is appointed or a new interim principal is assigned or the current principal's contract is renewed, the new principal or renewed principal shall notify the quota assistant principal of their decision to either reappoint or not re-appoint and displace the quota assistant principal by giving fourteen (14) calendar days advance written notice within thirty (30) calendar days from the effective date of the principal's assignment, appointment or renewal. **If a re-appointment notice is issued by the principal, the quota assistant principal shall be deemed re-appointed as an assistant principal and subject to the new terms, conditions and displacement benefits set out in Section I.E. of these guidelines.**

(b) Displacement Benefits: Upon displacement by a new principal or renewed principal, the displaced formerly-designated quota assistant principal is eligible to receive full pay and benefits for up to sixty (60) workdays, including holidays and benefit days. If, at the end of the sixty (60) workdays-of-pay grace period, s/he has

not obtained a new position, the formerly-designated quota assistant principal's employment will be honorably terminated.

**Section I.G. expires August 27, 2017 when the transition of qualifying Assistant Principals to the terms and conditions found in Section I.E. of these guidelines will be complete.**

4. Formerly-Designated Quota Assistant Principal Serving an Interim Principal (typically funded under fund 115):

(a) Displacement and Re-Appointment: An existing formerly-designated quota assistant principal serving an interim principal as of August 27, 2013 (except those covered under section I.G.5 below) may continue to serve in that position until such time as the interim principal's assignment ends.

When a new contract principal is appointed or a new interim principal is assigned, the new principal shall notify the quota assistant principal of their decision to either reappoint or not re-appoint and displace the quota assistant principal by giving fourteen (14) calendar days advance written notice within thirty (30) calendar days from the effective date of the principal's assignment or appointment. **If a re-appointment notice is provided by the new principal, the quota assistant principal shall be deemed re-appointed as an assistant principal and subject to the new terms, conditions and displacement benefits set out in Section I.E. of these guidelines.**

(b) Displacement Benefits: Upon displacement by a new principal, the displaced formerly-designated quota assistant principal is eligible to receive full pay and benefits for up to sixty (60) workdays thereafter, including holidays and benefit days. If, at the end of the sixty (60) workdays-of-pay grace period, s/he has not obtained a new position, the formerly-designated quota assistant principal's employment will be honorably terminated.

5. Formerly-Designated Quota and Discretionary Assistant Principals with an Interim Principal due a Principal Removal under 34-8.3 (typically funded under fund 115):

(a) Displacement and Re-Appointment: An assistant principal serving under an interim principal who is filling a vacancy created as a result of the removal of the contract principal under 105 ILCS 5/34-8.3 (an "8.3 interim principal"), serves on an at-will basis at the pleasure of the CEO and has no property right to their employment or expectation of continued employment and is subject to displacement at any time.

An existing formerly-designated quota or discretionary assistant principal serving an 8.3 interim principal as of August 27, 2013 may continue in this position until June 30, 2014 or until a new contract principal is appointed or until a new interim principal is assigned by the CEO or designee or the CEO or designee otherwise displaces the assistant principal, whichever occurs first.

**Section I.G. expires August 27, 2017 when the transition of qualifying Assistant Principals to the terms and conditions found in Section I.E. of these guidelines will be complete.**

The 8.3 interim principal shall notify the assistant principal in writing by June 1 whether the school's budget for the next fiscal year includes or excludes, or is projected to exclude, the assistant principal's position. Upon a notice that the budget excludes or is projected to exclude the position, an assistant principal will be displaced from their position effective July 1, 2014 and start the severance period described in I.G.5.b below effective July 1 if s/he has not secured another position by June 30.

**If a re-appointment notice is provided by June 1, the assistant principal shall be deemed re-appointed effective July 1, 2014 as an assistant principal and subject to the new terms, conditions and displacement benefits set out in Section I.E. of these guidelines.**

If a new contract principal is appointed or a new interim principal is assigned prior to June 30, 2014, the new principal shall notify the quota or discretionary assistant principal of their decision to either reappoint or not re-appoint and displace the quota or discretionary assistant principal by giving fourteen (14) calendar days advance written notice within thirty (30) calendar days from the effective date of the principal's assignment or appointment. **If a re-appointment notice is issued by the principal, the discretionary assistant principal shall be deemed re-appointed as an assistant principal and subject to the new terms, conditions and displacement benefits set out in Section I.E. of these guidelines.**

Notwithstanding the foregoing, the CEO or designee may displace an assistant principal serving an 8.3 interim principal at any time, with or without cause and with or without prior notice and such assistant principal is not entitled to performance management measures or disciplinary process as outlined in Section II of these guidelines.

(b) **Displacement Benefits:** Upon displacement, a formerly-designated quota or discretionary assistant principal serving an 8.3 interim principal is eligible to receive full pay and benefits for up to sixty (60) workdays thereafter, including holidays and benefit days. If, at the end of the sixty (60) workdays-of-pay grace period, s/he has not obtained a new position, the formerly-designated quota or discretionary assistant principal's employment will be honorably terminated.

**Section I.G. expires August 27, 2017 when the transition of qualifying Assistant Principals to the terms and conditions found in Section I.E. of these guidelines will be complete.**

6. Acting Assistant Principal:

(a) Displacement and Re-Appointment: An existing acting assistant principal as of August 27, 2013 may continue to serve in that position until June 30, 2014, unless the regular assigned assistant principal returns from a leave or a new assistant principal assigned prior to June 30, 2014 in which case the individual will be immediately displaced. If no displacement notice is issued by June 30, 2014 and the principal requires the acting assistant principal to continue to serve after June 30, 2014, the principal shall notify the acting assistant principal. **If the acting principal agrees to continue serving as an acting principal, s/he shall be deemed re-appointed effective July 1, 2014 as an acting assistant principal and subject to the new terms, conditions and displacement benefits set out in Section I.E. of these guidelines.**

(b) Displacement Benefits: Upon displacement by July 1, 2014, the acting assistant principal retains the right to return to the position s/he held before accepting the acting assistant principal position.

7. School Actions: The displacement notice requirements set out in this section I.G. do not apply to circumstances in which displacement results from a school action or school reconstitution. In such cases, notice of displacement will be made as soon as practicable following a Board-approved school action or school reconstitution. Upon displacement, a formerly-designated quota or discretionary assistant principal shall be eligible for the displacement benefits specified in their displacement notice.

8. Displacement vs. Discharge: Any displacement notice issued to an incumbent assistant principal in accordance with this section I.G. constitutes the end of a fixed term of employment rather than a discharge. Nothing in this section I.G. is intended to limit or condition the Board's right to, at any time, undertake disciplinary action or performance management measures described in section II of these guidelines that may result in the discharge of an assistant principal.

## II. PERFORMANCE MANAGEMENT & CORRECTIVE DISCIPLINE OF PRINCIPALS AND ASSISTANT PRINCIPALS

### A. Introduction and Scope

Board Rules 4-1.a and 4-7.b grant the Chief Executive Officer (“CEO”), the authority to undertake performance management and corrective discipline of principals and assistant principals as specifically identified in these guidelines. Any limitation on the CEO’s or designee’s authority to manage the performance and corrective discipline of principals and assistant principals is specifically set forth in the Board Rules and in state or federal law.

These guidelines are a general statement of performance expectations, performance improvement planning and disciplinary procedures for misconduct. **These performance management and discipline guidelines are not intended to limit or restrict in any way the Board’s right to discharge a Contract Principal or Assistant Principal for cause; nor do they affect a Local School Council’s ability to non-renew a Principal’s contract. These guidelines do not limit or restrict a Principal’s ability to non-renew and displace an Assistant Principal at the end of their fixed term, nor does it restrict the Board’s or the Principal’s ability to lay off an Assistant Principal based on budgetary decisions. Moreover, these guidelines are not to be construed as containing binding terms and/or conditions of employment. They should not be considered a contract.** The CEO reserves the right to change the content of these guidelines as the CEO deems necessary.

**Individuals serving as an interim principal, acting principal, assistant principal, acting assistant principal and assistant principal serving an 8.3 interim principal serve on an at-will basis at the pleasure of the CEO and have no property right to their position, employment or expectation of continued employment and therefore are not entitled to the performance management measures or disciplinary process outlined in Section II of these guidelines. At-will employees may be discharged from employment with or without cause and with or without prior notice.**

### B. Performance Expectations

The Board is a public employer that requires its employees to perform their job duties and responsibilities in a manner that promotes the best interests of the students of the Chicago Public Schools, furthers the goals of the Chicago Public Schools, and results in the highest level of public trust and confidence.

If a principal or assistant principal is not performing in a manner that satisfies the requirements of the position or has acted in a manner that is not in the best interests of the Chicago Public Schools, an assessment of the situation should occur at the onset to identify whether the concern is based upon a lack of performance or misconduct.



“Performance” relates to an employee’s competence/ability to fulfill the duties and responsibilities of their position. “Misconduct” relates to compliance with rules, policies and behavioral norms.

In addition to determining whether the concern is related to a lack of performance or misconduct, a determination must also be made as to the appropriate steps to be taken to change the unwanted conduct including training and the timeline within which sufficient improvement will be evidenced. Once the appropriate action has been identified, the CEO or designee follows the steps for issuing either a Corrective Action Plan or Performance Improvement Plan as outlined in sections II.C and II.D., below, or a misconduct form as set forth in section II.E., below. Any principal or assistant principal, dismissed, discharged or removed pursuant to this section II shall not be entitled to receive displacement benefits identified in section I of these guidelines.

<b>Performance-Related – Assistant Principals and Contract Principals</b>				
<b>Situation</b>	<b>Appropriate Action</b>	<b>Intent</b>	<b>Review</b>	<b>Support</b>
Assistant principal performance improvement is necessary. Not meeting requirements of the job.	Development of an Assistant Principal Performance Improvement Plan (AP PIP)	The AP PIP is a plan to give struggling assistant principals the opportunity to succeed while still holding them accountable for past performance.	Principal Quality Initiatives Office, or CEO designee	Principal
Contract principal performance improvement is urgent and employee is not meeting requirements of the job.	Development of a Corrective Action Plan (CAP)	The CAP is a plan to give struggling contract principals the opportunity to succeed while still holding them accountable for past performance.	Principal Quality Initiatives Office, or CEO designee	Principal’s Supervisor

### **C. Corrective Action Plans for Contract Principals**

The CEO acknowledges that school principals must be highly effective educators, managers and leaders to produce high academic achievement for all their students. Therefore, identifying and addressing principals with performance deficiencies is of paramount importance. The uniform system administered by the CEO or designee described in this section II.C provides professional support and remediation for contract principals with performance deficiencies. The Corrective Action Plan (“CAP”) requirements described below are in addition to any support and remediation measures specified in the Principal Professional Development Plan established for each principal in accordance with the Chief Executive Officer’s principal evaluation system.

1. Performance Deficiency: The CEO or designee is authorized to issue a CAP to a contract principal when s/he determines that the principal’s performance is in need of immediate correction, including, but not limited to, when the CEO or designee determines the principal’s performance is not at or above the proficient level or when, at any time, the CEO or designee identifies a performance deficiency. For purposes of these guidelines, the term performance deficiency means a remediable shortcoming in the principal’s instructional leadership or managerial abilities that the CEO or designee deems to be of sufficient importance that, if left unaddressed, will have a damaging effect upon the school. The term performance deficiency does not include misconduct or irremediable performance deficiencies or conduct by the contract principal. [105 ILCS 5/34-85]

2. Form and Components of a CAP. The CEO’s standardized CAP form (See Appendix) is consistent with the principal evaluation issued to the principal by the CEO or designee, and may be altered from time to time in the exercise of the CEO or designee’s discretion. The CAP form includes the following:

- i. Description of performance deficiencies which shall be consistent with required CPS evaluation criteria or principal competencies;
- ii. A plan to address these performance 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;
- iii. Identification of resources and/or supports available to the principal to address performance deficiencies including what the principal’s supervisor’s role will be in supporting the principal during the CAP;
- iv. Identification of the defined corrective action period;
- v. A notice that failure to successfully complete the plan may result in a recommendation that the principal be dismissed and/or removed as a principal or for other appropriate action in accordance with applicable law and Board policies; and
- vi. Acknowledgement that the principal has received the CAP.

3. CAP Issuance Procedures. The CAP may be issued at any time that the performance deficiency becomes apparent. The issuance of a CAP is not necessarily tied to a contract principal's annual performance evaluation. Prior to meeting with the employee, the supervisor shall request a review and approval of the CAP by the Principal Quality Initiatives Office. The purpose of the Principal Quality Initiatives Office review is to ensure that the CAP is fact-based, clear and comprehensive both as to the underlying concerns, as well as the expectations and measures for improvement. Upon CAP approval by the Principal Quality Initiatives Office:

(a) The CEO or designee shall issue the CAP to the principal in a meeting between the CEO or designee and the principal at which the CEO or designee:

- i. Discusses the identified performance deficiencies with the principal;
- ii. Summarizes the corrective actions that the principal must take in order to successfully complete the CAP; and
- iii. Identifies the consequence (e.g., dismissal, removal or other consequences) of a failure to successfully complete the CAP.

(b) A meeting to issue a CAP is not a substitute for a meeting with the 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 should discuss his/her evaluation of the contract principal's performance separately from the CAP.

(c) The principal shall sign the CAP to acknowledge its receipt and his/her understanding of the CAP. A refusal by the principal to sign the CAP shall not affect the CAP, the principal's duty to comply with the CAP, or the consequences of the principal's failure to successfully complete the CAP.

4. CAP Duration. The duration of a CAP shall be no less than three (3) and no more than six (6) calendar months, provided, however the CEO or designee may, at his/her discretion, extend the term of a CAP when necessary and appropriate.

5. Mid-Term Review of CAP. A mid-term review of the CAP shall occur at approximately the half-way point of the CAP period. The CEO or designee shall meet with the principal for the mid-term review and advise the principal whether s/he is making sufficient progress to correct the deficiencies and to meet the CEO's or designee's expectations set forth in the CAP by the CAP conclusion date.

6. Warning Resolution. After the CEO or designee issues a CAP to a principal, the CEO may also recommend that the Board adopt a Warning Resolution to be issued to the principal, which Warning Resolution incorporates by reference the terms of the CAP. As a General Rule, the CEO will not recommend that the Board issue a Warning Resolution until the mid-term of the CAP. Warning Resolutions shall be recommended to the Board in accordance with the Illinois School Code [105 ILCS 5/34-85].

7. 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

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 principal to deliver the written assessment to the principal. That assessment shall specifically state whether or not the principal has successfully completed the CAP and, if not, those areas in which the principal failed to successfully complete the CAP.

8. CAP Conclusion. If the contract principal has responded positively by meeting the CAP requirements and objectives, the CEO or designee shall formally close the CAP and allow the contract principal to continue employment. If a contract principal is unable or fails to improve, refuses to commit to the CAP or his or her performance declines, then the CEO or designee shall seek dismissal or removal of the contract principal in accordance with the procedures set for in the Illinois School Code, 105 ILCS 5/34-8.3, 34-8.4, 34-85 or other applicable law or procedure.

9. Principal's Rebuttal. A principal who is subject to a CAP may submit a rebuttal to (a) the issuance of the CAP, (b) their mid-term CAP assessment, and (c) their final CAP assessment. The rebuttal shall be submitted to the Principal Quality Initiatives Office for consideration, review and inclusion in the contract principal's personnel file and should be copied to the CEO or designee.

10. Effect of Rights to Remove Contract Principals under Policies, Rules or Laws. Nothing in these guidelines shall be construed as (i) requiring that a CAP be issued to a contract principal prior to removal or reassignment; (ii) limiting the Board or the CEO's right to immediately remove and seek dismissal of a contact principal in accordance with the employee discipline procedures set forth in section II.E. of these guidelines for conduct that the Board or the CEO deems irremediable; or (iii) limiting the Board or the CEO's right to reconstitute, intervene in, restructure, consolidate, phase out or close a school or take other action at a school as permitted under state or federal law.

#### **D. Performance Improvement Plans for Assistant Principals**

The CEO designee and Principal may place an assistant principal on an Assistant Principal Performance Improvement Plan ("AP PIP") when his/her performance falls below expectations. An AP PIP may be issued at any time that a performance deficiency becomes apparent or after an assistant principal's annual performance evaluation rating of less than proficient.

1. Form and Components of an AP PIP. The CEO's standardized AP PIP form is consistent with the assistant principal evaluation. The AP PIP form includes the following:

- i. Description of performance deficiencies which shall be consistent with required CPS evaluation criteria set forth in the CPS assistant principal evaluations;
- ii. A plan to address these performance deficiencies, which summarizes the corrective actions that the assistant principal must take in order to

successfully complete the AP PIP and includes plan benchmark dates for reviewing progress toward correcting them;

- iii. Identification of resources and/or supports available to the assistant principal to address performance deficiencies;
- iv. Identification of the defined corrective action period;
- v. A notice that failure to successfully complete the plan may result in a recommendation that the assistant principal be dismissed and/or removed as an assistant principal or for other appropriate action in accordance with applicable law and Board policies; and
- vi. Acknowledgement that the assistant principal has received the AP PIP.

2. AP PIP Issuance Procedures. The AP PIP may be issued at any time that the performance deficiency becomes apparent. The issuance of an AP PIP is not necessarily tied to the assistant principal's annual performance evaluation. Prior to meeting with the employee, the CEO designee or principal shall request a review and approval of the AP PIP by the Principal Quality Initiatives Office. The purpose of the Principal Quality Initiatives Office review is to ensure that the AP PIP is fact-based, clear and comprehensive both as to the underlying concerns, as well as the expectations and measures for improvement. Upon AP PIP approval by the Principal Quality Initiatives Office:

(a) The CEO designee or principal shall issue the AP PIP to the assistant principal in a meeting at which time the CEO designee or principal:

- i. Discusses the identified performance deficiencies with the assistant principal;
- ii. Summarizes the corrective actions that the assistant principal must take in order to successfully complete the AP PIP; and
- iii. Identifies the consequence (e.g., dismissal, removal or other consequences) of a failure to successfully complete the AP PIP.

(b) A meeting to issue an AP PIP is not a substitute for a meeting with the assistant principal to discuss his/her annual evaluation. An evaluation meeting and a AP PIP meeting may be held within one meeting, but the CEO designee or principal should discuss his/her evaluation of the assistant principal's performance separately from the PIP.

(c) The assistant principal shall sign the AP PIP to acknowledge its receipt and his/her understanding of the AP PIP. A refusal by the assistant principal to sign the AP

PIP shall not affect the AP PIP, the assistant principal's duty to comply with the AP PIP, or the consequences of the assistant principal's failure to successfully complete the AP PIP.

(d) The Chief Executive Officer or designee shall remove individuals from the CPS Principal Candidate Pool, who during their membership are Assistant Principals placed on a PIP under these guidelines, but only until the PIP is successfully completed.

4. AP PIP Duration. The duration of a AP PIP shall be no less than three (3) and no more than six (6) calendar months, provided, however the CEO designee or principal may, at his/her discretion, extend the term of a PIP when necessary and appropriate.

5. Mid-Term Review of AP PIP. A mid-term review of the AP PIP shall occur at approximately the half-way point of the AP PIP period. The CEO designee or principal shall meet with the assistant principal for the mid-term review and advise the assistant principal whether s/he is making sufficient progress to correct the deficiencies and to meet the expectations set forth in the AP PIP by the conclusion date.

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

7. AP PIP Conclusion. If the assistant principal has responded positively by meeting the AP PIP requirements and objectives, the CEO designee or principal shall formally close the AP PIP and allow the assistant principal to continue employment.

If the assistant principal is unable or fails to improve, refuses to commit to the AP PIP or his or her performance declines, then the CEO designee or principal shall seek the dismissal or removal of the assistant principal in accordance with applicable law, Board rules and procedures.

8. Assistant Principal's Rebuttal. An assistant principal who is subject to an AP PIP may submit a rebuttal to (a) the issuance of the AP PIP, (b) their mid-term AP PIP assessment, and (c) their final AP PIP assessment. The rebuttal shall be submitted to the Principal Quality Initiatives Office for consideration, review and inclusion in the assistant principal's personnel file and should be copied to the CEO designee or principal.

9. Effect of Rights to Remove Assistant Principals under Policies, Rules or Laws. Nothing in these guidelines shall be construed as (i) requiring that an AP PIP be issued to an assistant principal prior to removal or reassignment; (ii) limiting the Board or the CEO's right to immediately remove and seek dismissal of an assistant principal in

accordance with the employee discipline procedures set forth in section II.E. of these guidelines; or (iii) limiting the Board or the CEO's right to reconstitute, intervene in, restructure, consolidate, phase out or close a school or take other action at a school as permitted under state or federal law.

An assistant principal serving under an 8.3 interim principal, serves on an at-will basis at the pleasure of the CEO and has no property right to their employment or expectation of continued employment. Therefore, requirements of this section II.D. do not apply to assistant principals serving an 8.3 Interim Principal.

An assistant principal serving an 8.3 interim principal is not entitled to performance management measures or disciplinary process as outlined in Section II of these guidelines.

## **E. Discipline Process for Principals and Assistant Principals**

### **1. Progressive Discipline and Types of Discipline.**

(a) *Types of discipline.* When a principal or assistant principal commits an act of misconduct, there are three disciplinary options:

- Written Reprimand,
- Suspension without pay from one (1) to thirty (30) work days; or
- Recommendation of Dismissal.

Progressive discipline. The CEO encourages the use of progressive discipline in correcting employee misconduct or behavior. In deciding what level of discipline is appropriate in a given circumstance, the CEO or designee should consider the following factors: (1) the seriousness of the misconduct; (2) the number of times the misconduct has occurred; (3) prior acts of misconduct; (4) the length of time between acts of misconduct; (5) the reflection and cooperation of the employee in recognizing the misconduct and his/her willingness to take action to correct it; (6) the employee's work history; and (7) the totality of the circumstances.

While the Board encourages the use of progressive discipline, circumstances dictate that it cannot be used for every act of misconduct. Therefore, the Board uses progressive discipline at its discretion and does not solely rely on this concept in every instance when taking disciplinary action.

(b) *Categories of Misconduct.* Categories of Misconduct include but are not limited to:

- Discrimination prohibited by the Board's Comprehensive Non-Discrimination, Title IX and Sexual Harassment Policy, which includes discrimination on the basis of race, color, sex, gender identity/expression, age, religion, disability, national origin or sexual orientation. Pregnancy discrimination is a form of sex discrimination.
- Retaliation prohibited by the Board's Comprehensive Non-Discrimination, Title IX and Sexual Harassment Policy, which includes retaliation against any person for having made a complaint or report of discrimination or sexual harassment whether made internally, or externally with a federal, state, or local agency; or participating or aiding in an investigation of discrimination or sexual harassment, whether internal, or external with a federal, state, or local agency
- Insubordination
- Integrity/Ethics
- Law/Policy/Rule Violation
- Residency Policy Violation
- Providing False/Incomplete Information During an Investigation
- Payroll/Time Fraud
- Attendance Abuse
- Fiscal Mismanagement
- Test Cheating
- Failure to Carry Out Duties
- Job Qualifications
- Drug/Alcohol Violations
- Corporal Punishment
- Negligent Supervision
- Conduct Unbecoming



(c) *Progressive Discipline Guidelines.* The chart below provides guidance as to the Misconduct disciplinary process.

<b><u>Overview of Types and Progressive Discipline</u></b>			
<b><u>Type of Misconduct</u></b>	<b><u>Discipline</u></b>	<b><u>Description of Discipline</u></b>	<b><u>Support</u></b>
First instance of misconduct that should not be repeated but that does not warrant a suspension or dismissal	Written Reprimand	This is a notice to the employee that his/her conduct is inappropriate and if repeated after the Written Reprimand may result in dismissal, depending on the circumstances.	Principal Quality Initiatives Office, Principal and/or Chief of Network of Schools
Violation of a serious workplace infraction	Suspension without pay of one (1) to thirty (30) work days; Warning Resolution <u>(for Principals only)</u>	This is a suspension without pay to the employee that he/she committed a serious workplace infraction and if repeated may result in dismissal, depending on the circumstances.	Principal Quality Initiatives Office, Principal and/or Chief of Network of Schools
Serious or repeated misconduct that warrants dismissal	Dismissal	A formal notice that the employee will be dismissed from Board employment due to serious or repeated misconduct.	Principal Quality Initiatives Office, Principal and/or Chief of Network of Schools

## 2. Discipline Process.

For all discipline meetings, the following procedures shall apply:

- The supervisor shall give the principal or assistant principal a Pre-Meeting Notice Form a minimum of three (3) business days prior to scheduling a misconduct conference. The Pre-Meeting Notice shall set forth the categories of misconduct violated and alleged misconduct. The written notice shall also include relevant documents, if any, regarding the alleged misconduct of the principal or assistant principal;

The employee shall be entitled to one continuance request of the conference so long as prior notice is given at least one (1) business day in advance of the scheduled conference. The Principal Quality Initiatives Office is strongly encouraged to seek a mutually agreeable date with all parties when scheduling a conference date. The Principal Quality Initiatives Office employee in charge of the conference shall have the authority to schedule a new conference date. The Principal Quality Initiatives Office may grant additional continuance requests as

necessary and appropriate. The employee is responsible for ensuring that his/her representative is present at the conference.

- The principal or assistant principal shall be entitled to a representative of their choice during the misconduct conference;
- At the misconduct conference, the principal or assistant principal shall be given an opportunity to respond to the alleged misconduct by presenting documents or making a statement;
- After the misconduct conference, and after consultation with the Principal Quality Initiatives Office, the supervisor shall determine whether to issue a Written Reprimand, a suspension without pay, or a Recommendation of Dismissal. The supervisor's final decision shall be provided to the principal or assistant principal and his or her representative in writing (see Appendix for relevant forms).
- A suspension without pay may be for one (1) to thirty (30) days and may only be issued for serious workplace infractions. Examples of serious workplace infractions include discrimination, sexual harassment, retaliation, workplace violence, creating unsafe working conditions, and similar serious misconduct.
- A Recommendation of Dismissal shall be presented to the Board or CEO or designee for a final decision in accordance with Board Rules and State Law.

When a principal or assistant principal engages in alleged misconduct, but transfers to a new Chicago Public Schools position before discipline is instituted, the employee's former supervisor or manager shall follow the discipline process outlined in this Section against that principal or assistant principal for misconduct that occurred prior to the new reporting relationship. The former supervisor or manager shall contact the Principal Quality Initiatives Office when they encounter this situation to coordinate this discipline with the principal's or assistant principal's new supervisor or manager.

An assistant principal serving under an 8.3 interim principal, serves on an at-will basis at the pleasure of the CEO and has no property right to their employment or expectation of continued employment. Therefore, the requirements of Section II.E. do not serve as a condition or prerequisite for the termination of an assistant principals serving an 8.3 interim principal.

## **F. Effective Date**

These Guidelines shall become effective upon their issuance. Any misconduct that occurred before the issuance of these Guidelines shall be governed by the prior Board rules and policies that were in effect at the time the misconduct occurred. Any misconduct that occurs on or after the issuance of these Guidelines shall be governed herein. Any CAPS or PIPs in effect prior to the issuance of these Guidelines shall be governed by the prior Board policy in effect at the time the CAP or PIP was issued. All CAPs and PIPs issued thereafter shall be governed by these Guidelines.

### **Appendices:**

**Appendix A – Corrective Action Plan for Contract Principals**

**Appendix B – Performance Improvement Plan for Assistant Principals**

**Appendix C – Pre-Meeting Notice Form**

**Appendix D – Misconduct Form**

**CORRECTIVE ACTION PLAN**  
(For Use with Contract Principals)

**Appendix A**

Name:

School:

Employee ID #:

Immediate Supervisor/Evaluator:

Start Date:

Deputy Supervisor:

Mid-Term Review Date:

End Date:

Based on the principal's immediate supervisor's assessment of your performance as the school's leader, the school's performance and the deficiencies outlined in your performance evaluation, the supervisor, as the Chief Executive Officer's designee, has determined that deficiencies exist in your principalship of \_\_\_\_\_ School which is in need of immediate correction and your urgent attention.

Consequently, this Corrective Action Plan ("Plan or CAP") has been developed to immediately address the deficiencies in your principalship. The Plan commences on \_\_\_\_\_ and will terminate on \_\_\_\_\_.

The goal of the Plan is to provide you an opportunity to remediate your performance; consistent with the Board of Education's duty to provide high quality education to its students, it has been determined that your deficiencies are of such a nature or of such a duration that they must be urgently attended to and immediately corrected. The identified deficiencies are set forth in this Plan. The Plan identifies the deficiencies and resources available to you to assist you in correcting deficiencies. These resources may include supports that have already available to you.

Whether you agree or disagree with the decision to issue this Plan to you, it is your obligation to read the plan, and make a sincere effort to satisfactorily remediate the identified deficiencies.

On or about \_\_\_\_\_, your supervisor will conduct a mid-term review and assess your progress on this Plan. A final review will occur on or about \_\_\_\_\_. Your actions during this time period will determine whether the Plan has been satisfactorily or unsatisfactorily implemented. If, in the judgment of the supervisor the Plan has not been satisfactorily implemented by that date, the supervisor will recommend that the Chief Executive Officer take one or more of the following actions:

- 1) Removal from contract principalship, termination of the principal's contract, and dismissal from employment, after appropriate hearing, under 105 ILCS 5/34-8.3, 105 ILCS 5/34-8.4, or 105 ILCS 5/34-85;
- 2) Other actions that the CEO or designee deem appropriate under the circumstances.

**Principal and Assistant Principal Performance Improvement Plan  
(Not for Use with Contract Principals)**

**Conditions in Need of Immediate Change:** Principal \_\_\_\_\_ has failed to provide adequate instructional leadership at \_\_\_\_\_ School based on the factors noted below (check areas targeted for improvement).

Principal Competency	Deficiencies	Objectives for Improvement	District Support	Actions and Benchmark Dates
A: Champions teacher and staff excellence through continuous improvement				
B: Creates powerful professional learning systems				
C: Builds a culture focused on college and career readiness				
D: Empowers and motivates families and the community to become engaged				
E: Pursues self-disciplined thinking and action				

**SYSTEM FOR MONITORING PROGRESS**

Immediate supervisor \_\_\_\_\_, as the designee of the Chief Executive Officer, will monitor your progress of this Corrective Action Plan by periodic observations (both announced and unannounced), evaluations, review of relevant documents and data, meetings and conferences with you and any other indicia of progress or lack of progress in remediating identified deficiencies. \_\_\_\_\_ may designate certain individuals to assist him/her in the monitoring of your progress toward the satisfactory completion of this Corrective Action Plan.

It is \_\_\_\_\_ responsibility to complete the requirements of this Corrective Action Plan within the timeframe allotted.

The Board encourages the use of progressive discipline. However, the appropriate step should be dictated based on the severity of the conduct, its impact on the workplace, colleagues and students, prior efforts to correct the conduct and any mitigating factors.

**Principal and Assistant Principal Performance Improvement Plan  
(Not for Use with Contract Principals)**

**TIMELINE FOR COMPLETION AND CONSEQUENCES OF UNSATISFACTORY COMPLETION**

This Corrective Action Plan shall terminate on \_\_\_\_\_. At the conclusion of this Plan, the supervisor will determine whether you have satisfactorily completed the Plan. If in the supervisor's judgment you have not satisfactorily completed the Plan, the supervisor will recommend one or more of the following actions: 1) Removal from contract principalship, termination of the principal's contract, and dismissal from employment, after appropriate hearing, under 105 ILCS 5/34-8.3, 105 ILCS 5/34-8.4, or 105 ILCS 5/34-85; 2) Other actions that the CEO or designee deem appropriate under the circumstances.

**INITIAL CONFERENCE DATE AND SIGNATURES:**

\_\_\_\_\_  
\_\_\_\_\_, Immediate Supervisor

\_\_\_\_\_, Principal

Initial Conference Date: \_\_\_\_\_

**CORRECTIVE ACTION PLAN REVIEW:**

\_\_\_\_\_  
\_\_\_\_\_, Principal Quality Initiatives Office

Date: \_\_\_\_\_

**ROUTING:** The immediate supervisor shall deliver the Corrective Action Plan to the Principal, obtain the principal's signature, keep a copy on file and return copies with all signatures to the Chief Executive Officer's designee, Principal Quality Initiatives Office and Legal Department.

The Board encourages the use of progressive discipline. However, the appropriate step should be dictated based on the severity of the conduct, its impact on the workplace, colleagues and students, prior efforts to correct the conduct and any mitigating factors.

Principal and Assistant Principal Performance Improvement Plan  
(Not for Use with Contract Principals)

Appendix B

**ASSISTANT PRINCIPAL PERFORMANCE IMPROVEMENT PLAN**

*Nothing in this Plan shall be construed as a binding term and/or condition of employment.  
No part of this Plan shall be construed to create contractual or other rights or expectations. Assistant Principals are at-will employees.*

Name: [REDACTED]

School: [REDACTED]

Employee ID #: [REDACTED]

Principal/Supervisor: [REDACTED]

Start Date: [REDACTED]

Network Chief of Schools: [REDACTED]

Mid-Term Review Date: [REDACTED]

End Date: [REDACTED]

Based on the assessment of your performance as the assistant principal, your supervisor has determined that deficiencies exist in your Assistant Principalship at [REDACTED] School which are in need of immediate correction and your urgent attention.

Consequently, this Assistant Principal Performance Improvement Plan ("Plan") has been developed to immediately address the deficiencies in your Assistant Principalship. The Plan commences on [REDACTED] and will terminate on [REDACTED]. However, the Plan may terminate at any time at the discretion of the CEO or designee.

The goal of the Plan is to provide you an opportunity to remediate your performance consistent with the Board of Education's duty to provide high quality education to its students. The Plan identifies the deficiencies and resources available to you to assist you in correcting deficiencies. These resources may include supports already made available to you.

Whether you agree or disagree with the decision to issue this Plan to you, it is your obligation to read the plan, and make a sincere effort to satisfactorily remediate the identified deficiencies.

On or about [REDACTED], your supervisor will conduct a mid-term review and assess your progress on this Plan. A final review will occur on or about [REDACTED]. Your actions during this time period will determine whether the Plan has been satisfactorily or unsatisfactorily implemented. If, in the judgment of your supervisor the Plan has not been satisfactorily implemented, your supervisor may recommend that the Chief Executive Officer take one or more of the following actions:

- 1) Removal from assignment, and/or dismissal from employment.
- 2) Other actions that the CEO or designee may deem appropriate.

The Board encourages the use of progressive discipline. However, the appropriate step should be dictated based on the severity of the conduct, its impact on the workplace, colleagues and students, prior efforts to correct the conduct and any mitigating factors.

**Principal and Assistant Principal Performance Improvement Plan  
(Not for Use with Contract Principals)**

**Conditions in Need of Immediate Change:** Assistant Principal [redacted] has failed to provide adequate leadership at [redacted] School based on the factors noted below (check areas targeted for improvement).

CPS Competency	Deficiencies	Objectives for Improvement	District Support	Actions and Benchmark Dates
A: Champions teacher and staff excellence through continuous improvement				
B: Creates powerful professional learning systems				
C: Builds a culture focused on college and career readiness				
D: Empowers and motivates families and the community to become engaged				
E: Pursues self-disciplined thinking and action				

The Board encourages the use of progressive discipline. However, the appropriate step should be dictated based on the severity of the conduct, its impact on the workplace, colleagues and students, prior efforts to correct the conduct and any mitigating factors.



Principal and Assistant Principal Performance Improvement Plan  
(Not for Use with Contract Principals)

INITIAL CONFERENCE DATE AND SIGNATURES:

\_\_\_\_\_

\_\_\_\_\_, Immediate Supervisor

\_\_\_\_\_

\_\_\_\_\_, Assistant Principal

Initial Conference Date: \_\_\_\_\_

PLAN REVIEW:

\_\_\_\_\_

\_\_\_\_\_, Principal Quality Initiatives Office

Date: \_\_\_\_\_

ROUTING: The immediate supervisor shall deliver the Assistant Principal Corrective Action Plan to the Assistant Principal, obtain the Assistant Principal's signature, keep a copy on file and return copies with all signatures to the Chief Executive Officer's designee, Principal Quality Initiatives Office and Legal Department.

The Board encourages the use of progressive discipline. However, the appropriate step should be dictated based on the severity of the conduct, its impact on the workplace, colleagues and students, prior efforts to correct the conduct and any mitigating factors.

Rev. Date October, 2012

**Pre-Meeting Notice Form**

Date

Name  
Job Title  
Work Location  
Employee ID #

Dear \_\_\_\_\_:

The purpose of this letter is to invite you to a private, confidential meeting to discuss your conduct, namely: *(insert description of conduct and misconduct categories allegedly violated)*.

I am scheduling the meeting for:

- Date and time
- Location

Please be advised that you may have a representative present to assist you at the meeting. If you choose to do so, you must contact your representative to secure his or her attendance.

I enclose all documents in my possession that I believe relate to the issues to be discussed.

Due to the severity of the allegations or the repeated nature of the conduct, this meeting may result in your being issued a written reprimand, suspension from one (1) to thirty (30) days, or a recommendation for your dismissal.

Sincerely,

[insert name of Board Representative]

cc: Principal Quality Initiatives Office (with enclosures)  
Office of Employee Engagement (with enclosures)

---

My signature below acknowledges receipt of this notice.

\_\_\_\_\_  
Employee Name

\_\_\_\_\_  
Date

**PRINCIPAL AND ASSISTANT PRINCIPAL DISCIPLINE FOR MISCONDUCT FORM**

<b>Employee Name:</b>	<b>Date:</b>
<input type="checkbox"/> Written Reprimand <input type="checkbox"/> Suspension without pay for 1 to 30 days (serious workplace violations) <input type="checkbox"/> Recommendation for Dismissal	Follow Up Date (if any):
Principal Quality Initiatives Office Signature Approval (obtain prior to issuance):	
Corrective Action Category(s): <i>List the overall reason for the meeting (e.g., Attendance)</i>	
<p>Description: <i>Describe in detail the employee's misconduct. Include facts, such as the date(s), time(s) and location(s) of the event as well as dates of prior discussions about this issue. Include the impact of the deficiency on students, other team members, etc.</i></p> <p align="center">Complete this Section in Advance</p>	
<p><i>Follow Up: Describe specifically any changes that need to occur to resolve the deficiency as well as assistance that will be provided to support needed changes, if any.</i></p> <p>This Section May be Based on the Discussion with the Employee</p> <p>If issuing a suspension without pay for serious workplace violations:</p> <p>a) Length of Suspension without pay_____</p> <p>b) Start and End date of suspension without pay_____</p>	
<p>Failure to improve this deficiency will result in a progression of this process.</p> <p>Supervisor Signature: _____ Date: _____</p> <p>Employee Signature: _____ Date: _____</p>	
Employee Comments:	