



GUIDELINES FOR BOARDS OF TRUSTEES

Managing Principal Appraisal

A Publication for Members of the New Zealand School Trustees Association

1st Edition - 2005

Guidelines for Boards of Trustees Managing Principal Appraisal

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Preface

One of the most significant impacts of the education reforms of 1989, was the shift of employer responsibility from the Ministry of Education (MoE) to Boards of Trustees as part of their self-governing role.

Boards of Trustees were legally delegated the responsibility to recruit, manage and dismiss all staff in their schools, including the Principal. The MoE retained the role of setting strategic education policy and passing it on to the Board of Trustees for implementation.

Part of the Ministry's policy has been to ensure schools are staffed with high quality Principals.

To ensure high quality Principals, Boards of Trustees have been required to develop and implement a Performance Management System, which includes a Performance Appraisal process. In turn, the MoE has required Boards to ensure specific performance standards are included as part of the criteria to review the Principal's performance.

This publication has been compiled as a guide, with specific information and examples, for Boards of Trustees as the employer of the Principal [Chief Executive]. If Boards have specific questions or need assistance they should contact their local NZSTA adviser: personnel/industrial relations.

Additional Resources

Education Review Office www.ero.govt.nz

- Good Practices in Principals' Appraisal (June 2002)
- The Appointment of School Principals (March 2001)
- Core Competencies for School Principals (Number 6, Winter 1995)

New Zealand Teachers Council www.teacherscouncil.govt.nz

- Information for Employing Authorities
- A satisfactory Teacher and Renewing a Practising Certificate
- Handbook the Registration of Teachers

Ministry of Education www.minedu.govt.nz

- Principal Performance Management (1989)

NZSTA www.nzsta.org.nz

- NZSTA Training
- Trustees Handbook
- Advisers

Definitions

Strategic Plan

The Board establish a strategic plan, this plan sets long-term objectives, for example, 4 to 5 years ahead.

Annual Operating Plan

This plan sets annual objectives for the school. The objectives are drawn from the strategic plan.

Performance Management System

This can be a number of Board policies relating to anything that assists in Performance Management. The policies can range from appointment, performance appraisal (which can include professional development), to competency and discipline.

Performance Appraisal

This is a process whereby the Principal's performance is appraised annually by the Board against objectives set by the Board and professional standards set by the Secretary for Education. A report will identify how well the Principal has achieved the objectives and standards.

Professional Standards

The Secretary for Education has gazetted professional standards. They are a set of standards that a Principal should continually aim to achieve. The standards also provide criteria by which Boards can assess the Principal's performance.

Objectives

Objectives set out the measures to identify how the professional standards will be met. They should be **Precise, Achievable** and **Measurable**.

Key tasks

Key tasks are those primary tasks that need to be undertaken to achieve an objective.

Indicators

Indicators are how a Board can measure how the Principal has performed, e.g., an indicator could be at least 90 percent of a group of parents/caregivers randomly selected and surveyed will be satisfied with the education provided for their children.

Formative Evaluation

A formative evaluation is one which identifies developmental needs which will extend the professional skills and abilities of the Principal.

Summative Evaluation

A summative evaluation is one which measures the performance on issues for which the Principal is accountable.

Section One: The Board as the Employer

Boards of Trustees are the employer in State schools in New Zealand. The Board has all the rights, duties, and powers of an ordinary employer under the State Sector Act 1988 and the Education Act 1989.

State Sector Act 1988

The Act defines the “Employer” of any institution that is subject to Part 9 of the Education Act 1989 as the Board of Trustees; or where a Commissioner has been appointed to act in place of the Board of Trustees then the Commissioner is also defined as the employer.

“Section 77E Employees of institutions -

- (1) Subject to the provisions of any Act relating to the registration of teachers, each employer -
 - (a) May from time to time appoint such employees (including acting or temporary or casual or relieving employees) as the employer thinks necessary for the efficient exercise of the functions, duties and powers of the institution; and
 - (b) May, subject to any conditions of employment included in the employment contract applying to the employee, at any time remove any employee from that employee’s employment.
- (2) Unless expressly provided to the contrary in this Act, the employer shall have all the rights, duties and powers of an ordinary employer in respect of the persons employed in that institution”.

Section 77F provides:

“In matters relating to decisions on individual employees (whether matters relating to the appointment, promotion, demotion, transfer, disciplining, or the cessation of the employment of any employee, or other matters), the employer shall act independently”.

Section 77A establishes the general principle that all employers in the education service will operate as a good employer, Section 77G that the Board will give preference to the best suited person when appointing, and Section 77H that the Board shall notify vacancies in a manner sufficient to enable suitable applicants.

Education Act 1989

To establish the fundamental basis for the Board to ensure that the Principal of their school is delivering a satisfactory level of performance and meeting the goals and objectives of the Board, it is necessary to return to the legislation that endorsed the reforms of the late 1980s.

Section 65, states:

“.. a Board may from time to time, in accordance with the State Sector Act 1988, appoint, suspend, and dismiss staff”.

This gives the Board the duties, responsibilities, and right as an employer.

Boards to control management of schools

“Except to the extent that any enactment or the general law of New Zealand provides otherwise, a school’s Board has complete discretion to control the management of the school as it thinks fit.”

Section 75, Education Act 1989

And, “Principals

- (1) A school’s principal is the Board’s chief executive in relation to the school’s control and management.
- (2) Except to the extent that any enactment, or the general law of New Zealand, provides otherwise, the principal-
 - (a) Shall comply with the Board’s general policy directions; and
 - (b) Subject to paragraph (a) of this subsection, has complete discretion to manage as the principal thinks fit the school’s day to day administration
Section 76, Education Act 1989

Essentially:

- The Board manages the manager, and
- The manager manages the school

A way of demonstrating what this means is to think of it as the Board managing the manager through:

- (a) the policies the Board develops which determine the Board direction for the running of the school and which the Principal implements through the day-to-day management; and
- (b) the resolutions made in Board meetings for the Principal to act upon; and
- (c) the performance objectives established by the Board and performance standards which the Principal is required to achieve.

The Principal is charged under Section 76 of the Act with the complete discretion to manage the school subject to the above. This allows the Principal the judgement to manage the school according to the curriculum requirements and other National Education Goals within Board policy. The Principal also has specific responsibilities with respect to management of staff, health, education, suspensions, etc.

Section Two: Legislative and Contractual Responsibilities

National Education Goals

The National Education Goals (NEGs) form the non-negotiable elements of the School Charter. The National Administration Guidelines (NAGs) section of the NEGs clearly identifies that the Board must:

- Aim towards providing an environment in which high levels of performance are promoted; and
- Act as a good employer; and
- Comply with terms and conditions contained in employment contracts.

NAG3 states:

“According to the legislation on employment and personnel matters, each Board of Trustees is required in particular to:

- Develop and implement personnel and industrial policies within policy and procedural frameworks set by the Government from time to time, which promote high levels of staff performance, use educational resources effectively and recognise the needs of students;
- Be a good employer as defined in the State Sector Act 1988 and comply with the conditions contained in employment contracts applying to teaching and non-teaching staff.”

Performance Management Systems contain “tools” to assist in achieving high levels of performance. The Performance Appraisal “tool” ensures performance is monitored, assessed, and enhanced.

Employment Agreements and Professional Standards

State and integrated school Principals have clauses within their collective or individual agreements that require performance review. Until mid 1998 that review meant a review of performance based on the performance objectives in the Principal’s performance agreement and/or job description which are set by the Board. In 1998 the Government introduced a mandatory requirement (see Appendix F) that professional standards, as set by the Secretary for Education, be added to the appraisal process.

The Professional Standards are “as prescribed” therefore the Board is not at liberty to change the standards, nor reduce the number. The standards are to be included as part of the criteria for assessing the Principal’s performance. The Board does have the ability to establish performance objectives as part of the performance agreement, using any aspect of the Board’s school annual operating plan and the Principal’s job description with the objective of taking a school and the Principal in a particular developmental direction.

The Board is not required to establish a new system to assess standards nor required to establish separate indicators for each standard (unless they wish to). The new requirements can be integrated into the Board’s existing appraisal system or the Board can consider a new format for the agreement which will include the professional standards.

Contractual provisions and gazetted regulations require that performance (including adherence to performance standards), will be reviewed annually.

(Appendix A - Professional standards for)

- (a) primary school Principals and
- (b) secondary and area school Principals)

See also Appendix F

Section Three: Appointment of a Principal

The beginning of Performance Management is at the time of appointment. The appointment of the Principal is probably the most far reaching decision that any Board will make, therefore it is worth seeking sound advice if need be to ensure the best decision is made.

Recruitment processes should be thorough and clearly identify the personal and professional specifications required for the position. This will ensure the Board recruits a Principal with the skills and abilities to meet the objectives of the strategic and annual operating plan.

Letters offering appointment should identify what expectations the board has of the Principal.

Policies regarding personnel appointment should be clear and unambiguous. The Board should be clear about what key functions and accountabilities it requires in the job description, and the skills and abilities required in a person specification. The interview should be used as an opportunity to assess the skills and experience of the applicants and to clearly outline the expectations of the Board as the employer. This is the opportunity to ensure that the goals, aspirations, and values of the Board and Principal are compatible.

On recruitment it is then the responsibility of the Board to put those expectations in written form as the agreed performance objectives in the performance agreement, and outline the Board's appraisal process.

Research undertaken by the Education Review Office (ERO) demonstrates that"

“Trust and respect are most likely to be sustained if they are reflected in written documents such as position statements, job descriptions, and performance agreements that clearly state what the Principal and Board have agreed should be achieved.”

Professional Leadership in Primary Schools, Number 7, Winter 1996

Detail on the appointment process itself can be found in the NZSTA Trustee Handbook.

(Appendix B - Principal's job description

Appendix C - Principal's person specification)

Section Four: What is Performance Appraisal?

Performance Appraisal or performance review of a Principal is a tool by which the Board can measure whether the objectives set for the school are being met. Through Performance Appraisal, the Board and the Principal can ascertain whether the elements of a job description, the performance objectives, and the outcomes are achievable and productive and take both the individual and the organisation forward.

Performance Appraisal can be identified as:

“The process of identifying, evaluating and developing the work performance of employees in the organisation, so that the organisational goals and objectives are more effectively achieved, while at the same time benefiting employees in terms of recognition, receiving feedback, catering for individual work needs and offering career advice.”

Human Resources Management in New Zealand, p. 273

The words appraisal, assessment, and evaluation are used to describe the monitoring of performance. These terms are distinguished in a report by the Organisation for Economic Co-operation and Development [OECD] in *Schools and Quality* (1989) as:

“.. evaluation is a general term used to describe any activity where the quality of provision is the subject of systematic study; appraisal emphasises the forming of qualitative judgements about an activity, a person or an organisation; assessment implies the use of measurement and /or grading based on known criteria.”

A Performance Appraisal programme for the Principal may include all or any of the above descriptions. This is particularly so with the development and implementation of performance standards.

Performance Appraisal Process versus a Process for Competency

Performance review is about taking an organisation (the school) and the individual (the Principal) forward through the setting of objectives and establishing indicators by which those objectives will be measured. Competency is about taking specific remedial action to address serious performance concerns.

Boards should keep in mind that Performance Appraisal and competency are separate processes.

It would be difficult to move to a dismissal process if a Board has not been monitoring a Principal's performance. Case law has established that the employer should have some process by which performance is assessed before decisions regarding the final step to a competency process or dismissal is made.

If a Board has conducted an appraisal or is part way through an appraisal cycle and there is cause for concern because of poor performance, the appraisal process can be halted until such time as remedial processes have addressed the concerns. Failing that, a formal competency process may be implemented. If, during the competency process the Principal demonstrates a return to good performance the Performance Appraisal process can be continued. A failure to meet performance objectives through a formal competency process could result in dismissal. (Any Board in this situation should seek advice from an NZSTA adviser: personnel/industrial relations).

Section Five: Elements of Performance Appraisal

In 1997 the Government introduced the requirement that as part of a Board's Performance Management system (PMS) they must introduce a Performance Appraisal process for Principals and teachers. Performance Management systems can include personnel management policies such as the recruitment and retention of staff, statutory requirements for teacher registration, the appraisal and assessment of staff, career development, remuneration management, and the discipline and dismissal of staff.

It is therefore a mandatory requirement that Boards of Trustees will review the performance of their Principal through a Performance Appraisal process.

It is a matter of taking action to fulfil employment contract obligations subject to the prescribed Performance Appraisal system and the professional standards gazetted by the Secretary for Education.

ERO accountability audits will ascertain the value and the rigour of Performance Appraisal processes of the Principal and will give feedback on the quality or otherwise.

The range of elements to consider to recruit and maintain a well performing Principal include:

- a rigorous recruitment selection process
- stating expectation very clearly in the job description
- developing a performance agreement including:
 - identifying links to the strategic/annual operating plan and staff/student performance
 - professional standards and how they will be assessed
 - monitored performance
 - identifying professional development opportunities and needs
 - ensuring feedback for new performance agreement
- making remuneration decisions which reward the Principal for good performance (where a Board has the discretion to remunerate over and above the base salary through the “concurrence” of the MoE).

Section Six: Policies on Principal Appraisal

Boards are required to have a policy regarding the Performance Appraisal of their Principal as part of the mandated requirements.

Board policy can be reviewed and amended at any point in time,

Some policies record that the appraisal is confidential to the appraiser and Principal only. The whole Board is the “employer entity” and it is therefore appropriate that the whole Board is involved in the management of its Principal. Practicality suggests that the implementation and management of the process may be delegated to a smaller group, the chairperson, or a skilled person on the Board, but at the end of the day it is the Board in its entirety that is responsible and accountable.

Any issues relating to the Principal’s appraisal must be taken “in committee” and treated as confidential to the Board (including any consultants) unless the Board and Principal agree to the release of some of the detail. For example, the Board may wish to praise some aspects of the Principal’s achievements publicly.

The components of an appraisal policy as mandated include:

- the appraisal must be conducted at least once within a 12-month period
- specifying the person/s responsible for the implementation of the appraisal policy
- specifying the process
- including a statement on confidentiality
- specifying how any dispute will be dealt with
- results in an annual appraisal report
- a professional development orientation.

(Appendix D - Sample policy on Principal appraisal policy and procedures)

Section Seven: Establishing the Performance Agreement

The objectives and achievements of the Principal are of vital interest to all Board members as they are the major means of translating the Board's wishes into action in the school.

The process of establishing the performance agreement is one in which the whole Board should be involved. However, the detail of the final form of the agreement should be delegated to the Board members who will be involved in the actual appraisal process.

Determining overall objectives

The whole Board (including the Principal) should set aside time to seriously consider the present state of the school. The following areas could be reviewed for consideration for input into a performance agreement.

1. The Board should be considering elements of the strategic and annual operating plans yet to be achieved and what is appropriate to be considered for the year in question.
2. Review the previous appraisal - are there issues arising from the previous performance agreement that require ongoing action?
3. Are there professional development needs that have arisen from an appraisal?
4. Are there external developments that must be addressed, e.g. new requirements such as assessments and monitoring of students' work, introduction of NZQA quality assurances, introduction of new curriculum performance standards for teachers, etc?
5. Has there been an ERO accountability review with recommendations on compliance requirements?
6. If there is no strategic plan. What specific Board objectives need to be addressed in the performance agreement?
7. Have staff signalled a requirement that the Board considers may need to be addressed?
8. Are there aspects of the "special" character of the school that need to be addressed?
9. Are there specific concerns about the performance of the school?

All objectives should be subjected to scrutiny for their feasibility and resourcing requirements. The Board should consider the number and importance of the individual objectives and also consider the Principal's ability to achieve them.

All objectives should be relevant, achievable, and should help to develop the school. There is no point in setting so many objectives that the Principal has no chance of delivering. Such a process would only discourage achievement. On the other hand. To set objectives that are too basic and not taking the school forward is a worthless and time-wasting process that delivers nothing of value to either the Principal concerned or to the school.

Determining specific objectives and indicators

At this point the whole Board should draft a "broad outline" performance document and delegate the responsibility to at least two members of the Board for further development with the Principal. The Board should also decide whether they wish to involve a consultant or educational expert.

After the development of the overall goals by the Board, the delegated team should then decide what specific objectives and indicators are required for the Board to be assured that the goal has been achieved. For specific objectives relating to educational/professional matters, the Board may wish to include the consultant/expert to assure themselves that the indicators are appropriate and have rigour. The following may be of some assistance when developing objectives

Performance agreement objectives should be:

- Stated in clear, unambiguous language
- Few in number (4 to 8) depending on complexity and/or importance
- Measurable or observable
- Challenging
- Realistic and attainable
- Job orientated and relate to improved school performance
- Related to, and consistent with, the school's philosophy and goals
- Time bound or have clear completion dates

Determining the appraisal process

The delegated team should not only establish criteria for the objectives and indicators, but should also confirm the process by which the appraisal will be undertaken. To do this the team should consider the following:

1. Will there be interim appraisals and if so, how many, and when?
2. At what part of the process will the consultant/expert be involved?
3. If the community or staff need to be surveyed or interviewed in order to be able to determine whether indicators have been met, the process for doing so needs to be determined and documented and include who will be undertaking the process.
4. The date for final review for the current 12 months

Determining good performance

Where possible the delegated team can include some statement of what is considered to be acceptable performance. (This becomes important where there could be disagreement as to whether or not objectives or standards have been met). Boards should also consider what represents good (as against acceptable) performance. For example, is "good performance"?

- Meeting all objectives and professional standards?
- Meeting all objectives and 80 percent of professional standards?
- Exceeding all objectives and at least 80 percent of the standards?
- Exceeding 80 percent of the objectives?
- Meeting one or more critical objectives?

For example, the Principal may have the school providing excellent education, but have very poor financial management. Sound financial management may be a critical objective.

Should a Board fail to clarify expectations in this area at the time the Performance Agreement is established, then it is possible for the outcome to be a source of dispute.

The objectives and their indicators, the professional standards, plus the identified process, make up the performance agreement.

Formal approval of performance agreement

At this stage the final document should be returned to the Board for final consideration. While the Board is discussing this matter the Principal should remove her/himself from the meeting as per the requirements of section 8, Clause 9, of the Sixth Schedule of the Education Act 1989.

“(9) Subject to subclause (11) of this clause, a trustee who is a member of the Board staff shall be excluded from any meeting of the Board while it discusses, considers, considers

anything relating to, or decides, any matter relating to the trustee's employment by the Board, or to the course of action to be taken following the hearing of a complaint against the trustee (being a complaint against the trustee in the trustee's capacity as a member of the Board staff).

(11) A trustee may attend any meeting of the Board to give evidence, make submissions, or answer questions."

The Board should then formally approve the Performance Agreement.

It should be noted that this process is confidential between the Board and the Principal and that the meeting regarding the details of the Performance Agreement should be conducted "in committee". Board members are reminded that issues or details that relate to the management of the Principal's performance are not for dissemination to the public at any time or for any reason.

(Appendix F - Sample performance agreement incorporating professional standards)

Section Eight: Employing a Consultant

Appraising a Principal requires a somewhat different approach from that of appraising a teacher. For the most part the teaching staff are appraised from a “formative” point of view. Formative = developmental, that is to say the process is about developing and extending the skills and abilities of the teacher professionally. The appraisal of a Principal as the “Chief Executive” of a school is both formative and “summative” (Summative = accountable).

Therefore, the Board should view the process as one that:

- (a) develops the Principal professionally in her/his capacity as the day-to-day manager and professional leader; and
- (b) ensures accountability to the Board to achieve the objectives set by them for the year in question.

With the introduction of professional standards, a number of Boards have expressed the concern that they feel ill equipped to make judgements about performance on matters “educational”.

The MoE has provided funding in the Boards’ operation funding, for Boards to use to assist in this area. Boards should consider the following before they employ a consultant or educational expert.

1. Does the individual understand the principles of appraisal of a Chief Executive of a school?
2. If a practising Principal, does she /he demonstrate above-average practice in the delivery of her/his responsibilities and is the person truly independent?
3. Has the consultant kept up to date with external developments e.g. MoE requirements that impact on a Principal’s responsibilities?
4. Can the consultant be of assistance to the Principal in the development (formative) aspect of the process?
5. Does the consultant understand the Board’s role as the employer and the accountability of the Principal in the current education environment?

It has been a common practice for Boards, on the recommendation of their own Principal, to employ a neighbouring Principal to undertake the role of professional consultant. NZSTA discourages this practice. It is important that the appraiser takes an objective view of the appraisal. It is difficult to see how objectivity can be maintained when a colleague at the nearby school does your Principal appraisal and then the favour is reciprocated.

Any practising Principal should demonstrate “best practice” or near to it. Other consultants should be able to demonstrate their knowledge of best practice as well as its application. An additional but critical element that should be considered is the ability of the consultant to assist the Principal on the formative aspect of his/her appraisal. As much as possible it is desirable that the Board’s consultant is able to advise both the Board and the Principal on how to address areas needing development and the most appropriate source of assistance.

In appraising a teaching Principal the involvement of another professional is required to appraise the teaching aspect of the job description and standards. Except in the matter of appraising teaching duties the Board should not leave the process of appraisal totally to the responsibility of a paid consultant. While the consultant may do the “hands on” appraisal, the responsibility and the final judgments are still the Board’s and cannot be delegated to someone else.

It is good practice to work with the consultant as much as possible. This allows the Board representatives, delegated this responsibility, to gain knowledge and expertise in appraisal. Board members should

not hesitate to ask questions if they do not understand a consultant's view. The consultant, after all, is being contracted and paid for by the Board.

When a Board contracts a consultant or education expert, the Board should ensure the appraisal process is guided by stated "terms of reference" set by the Board to provide appraisal information on stated objectives. The appraisal information and results should be provided by the consultant to the chairperson or appraisal team in a written report.

Section Nine: The Review/Appraisal

Interim assessments

During the course of the appraisal year there should be at least two if not more occasions when the Board members delegated to undertake the responsibility of appraisal set aside time to do interim assessments as to how the Principal is progressing with regard to his/her performance requirements. Taking an opportunity to do so is useful from several aspects.

Firstly, it gives the Board an opportunity to determine progress and attitude towards the goals. In some instances the objectives set may have appeared to have been useful and achievable, but unforeseen circumstances may alter that view for both the Board and the Principal. An interim agreement gives the opportunity to extend the timeframe for an objective, to modify the indicators, or to totally replace an objective. No matter how carefully the team has tried to ensure that objectives are unambiguous and easily interpreted in practice, there can at times be different perceptions of achievements. Regular assessments allow this to be recognised and resolved before appraisal occurs.

In cases where the performance of the Principal is of serious concern it allows the Board to make a decision to put on hold the appraisal process and put in place remedial measures at an appropriate time rather than waiting until the end of the appraisal cycle (see Performance Appraisal process versus a process for competency).

The formal appraisal

It is appropriate that the performance cycle fits in with the annual school operational plan and thus the Performance Appraisal has relevance to the planned outcomes for any given school year. Boards may wish to structure their final appraisal for their Principal at any time between November and February.

The final review is not a one-stop event if Boards are to deliver optimum Performance Management feedback to their Chief Executive. Some effort must be made to gather appropriate and relevant information to identify whether the objectives have been met and to assess whether the performance standards have been delivered during that year.

The nature of the gathering of data may have been identified in the agreement but it is important for the sake of transparency and trust, that if questions are to be asked of any stakeholders in the school (e.g. Staff, parents, students, recent ERO report) that, as much as possible, there is agreement on the data to be collected and how it relates to the objectives and/or performance standards.

The Principal should be given adequate notice of the date of the final review to allow her/him the time to prepare a self appraisal against the performance objectives set by the Board and against the professional standards. This may involve the Principal in gathering data and information.

On the day that has been set aside for the Performance Appraisal meeting between those involved, it is important to ensure that the process is conducted without interruption, allows adequate time, and is held in a comfortable environment. The meeting being undertaken is about:

- Acknowledging success and achievements
- Providing performance feedback
- Recognising where professional development is required
- Improving the quality of the day-to-day management of the school
- Fulfilling the Board's contractual obligations as the employer
- Supporting the Principal by an established process

- Evaluating effectiveness
- Resourcing ongoing development needs

It is useful for both parties to have an agenda against which the meeting will be conducted. Agenda items a Board could consider may be:

- Discuss Principal's self-evaluation
- Review the achievements against the objectives set by the Board including the successes, constraints, and difficulties.
- Review the performance standards

During the appraisal it is important that the reviewer(s) be open and direct without fudging or avoiding real issues and weaknesses, stay with the points of discussion, and refrain from generalising when giving feedback - be as specific as possible.

At the close of the process it is useful to summarise the results of the appraisal before the reviewers go away to put them into written form. The written document should be given to the Principal for comment before the report is finally given to the full Board (in Committee). Three copies of the report should remain in existence - one for the Principal, one for the Board and one for the Principal's personal file. The Board's copy should always be kept in a secure place.

At a subsequent meeting to establish the new performance agreement for the next twelve months the Principal and delegated reviewer/s can consider:

- Discussion of future plans of the Principal that are
 - job related
 - school related
 - career/professional development related
- confirming the content of the Principal's job description and update it if necessary
- discussing and drafting the next annual performance objectives
- dates for accomplishment
- necessary action and support

The ongoing professional development of the Principal and the resourcing of that development should be given due consideration. Training should be relevant to the individual and the school needs and be of such a quality that it will enable the Principal to make progress at an appropriate rate given the type of activity it relates to. A consultant may be able to assist with advice.

When the Board and the Principal disagree

By ensuring that all issues are accounted for and agreed to in the development of the performance agreement, there is less possibility of dispute during the process and at the conclusion of the process. However, there are occasions (though relatively few), when there is disagreement either as to the process itself and/or the outcome of the performance review/

The employment agreements for all state sector Principals are quite clear on this matter.

Secondary Principals

“The decision of the board in relation to the contents of any performance agreement for any year will be final, but the principal shall have the right to attach written comments to the performance agreement if the principal considers the performance agreement to be unreasonable.”

Primary Principals

“Every endeavour shall be made by the employer and the principal to arrive at a performance agreement that is acceptable to both of them. Where this has not been able to be achieved the views of the employer shall prevail. The principal may, however, in these circumstances attach such comments to the performance agreement as the employer considers appropriate.”

Area Principals

“Every endeavour shall be made by the Board and the Principal to arrive at a performance agreement that is acceptable to both of them. The Board shall consult with the Principal as to the contents of the performance agreement and the Principal’s views shall be considered prior to the Board finalising the performance agreement. Where agreement has not proved to be possible the decision of the Board shall be final.”

Good communication skills therefore play a part in developing the content and the process. Each party should understand the views of the other; however, at the end of the day, if the parties cannot agree then the Board’s say on the matter is final.

In more serious instances where there appears to be tension between the parties and/or a history of lack of trust, it is possible that the Principal may wish to have a support person with her/him during the formal interview. There is no reason why the Board should not have the consultant or other support (such as an NZSTA adviser) to assist and advise.

Flow Chart for Principal Appraisal

**Recommended
Timeframe**

Advertise Principal's position
Provide applicants with:

- Strategic Plan
- School Annual Operating Plan
- Job Description
- Person Specification



Offer and Acceptance of Appointment



Board considers the following in
determining broad performance objectives

**Within (3) months of
appointment
OR**

**within one (1) month
of last appraisal if
renewing existing
principals'
performance
agreement**

- Strategic Plan
- School Annual Operating Plan
- Job Description
- Prescribed developments by Secretary for Education [e.g. Performance Management Systems, Curriculum Changes, NZQA requirements, Professional Standards].
- Previous Performance Appraisal results for existing Principal

= needs of school



Board drafts broad objectives and considers
contracting consultant/education expert.
Delegates to committee role of formulating
Agreement



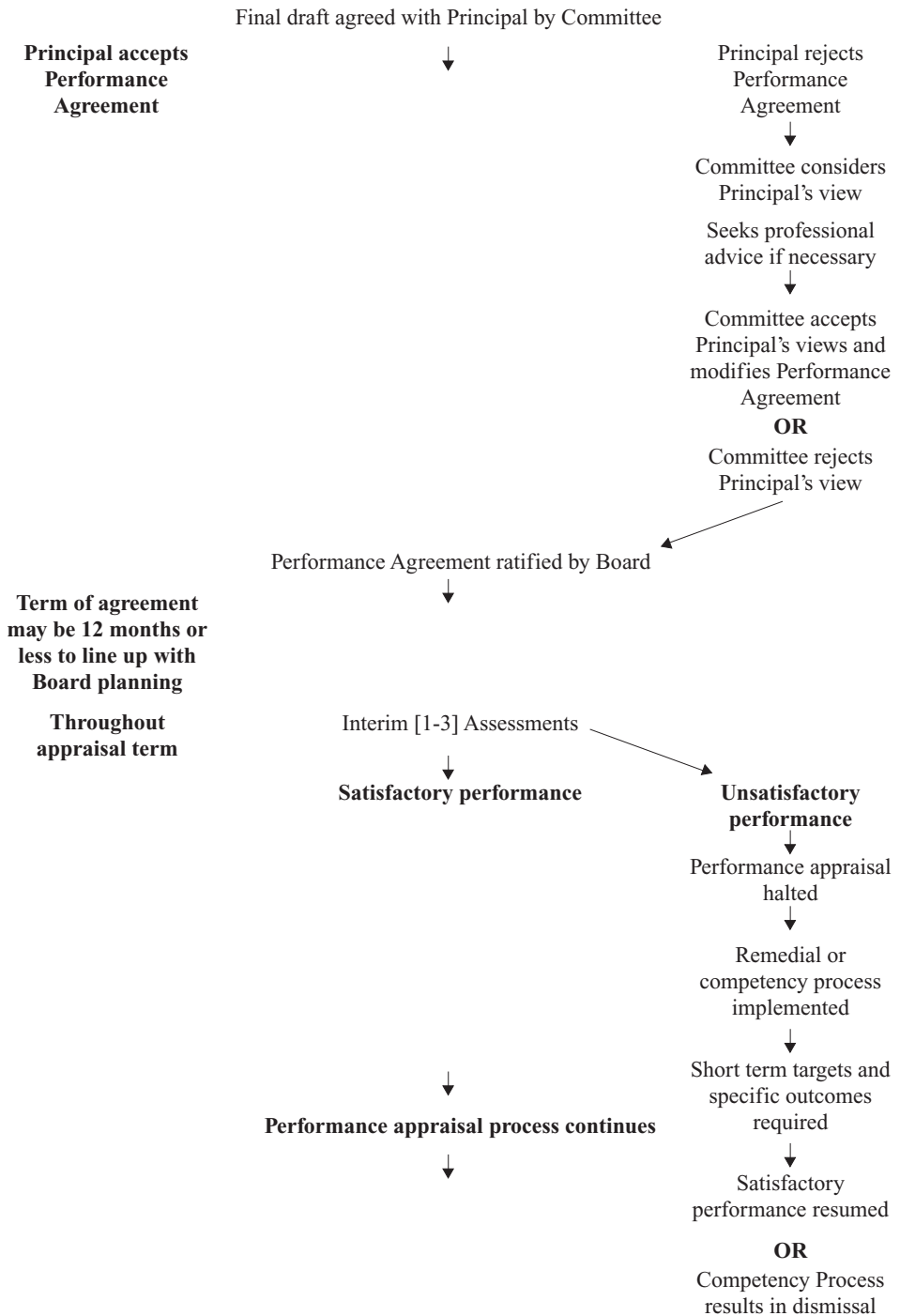
Principal Appraisal Committee
[plus consultant if required]

- Write Performance Objectives and Indicators
- Include Professional Standards
- Document Review Process
- Principal's professional development needs considered

= performance
agreement

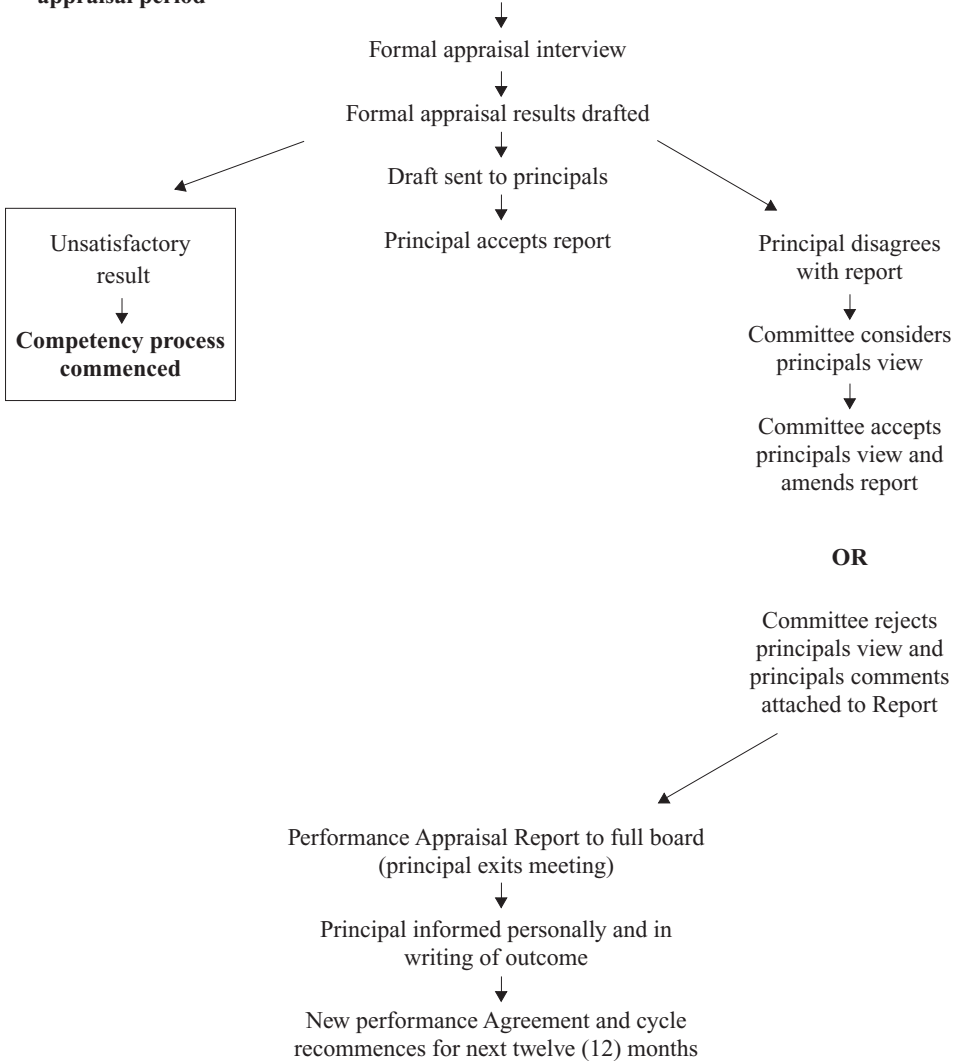
Done in consultation with Principal





**One (1) month
prior to
completion of
appraisal period**

Preparation for final appraisal - sourcing
evidence and information for appraisal



Appendix A: Professional Standards

PROFESSIONAL STANDARDS FOR PRIMARY SCHOOL PRINCIPALS

PROFESSIONAL LEADERSHIP

1. Demonstrates a thorough understanding of current approaches to effective teaching and learning across the curriculum.
2. Provides professional direction to the work of others by encouraging vision and innovation in classroom practice and school organisation
3. Analyses and makes effective, timely responses to school self review, external audits, and outcomes of student learning
4. Understands and applies where appropriate, current practices for effective management from both within and beyond education
5. Fulfils the role of Chief Executive to the Board as outlined in the Performance Agreement
6. Reflects on own Performance Appraisal and demonstrates a commitment to own ongoing learning in order to improve performance.

STRATEGIC MANAGEMENT

1. Understands the implications of NZs changing cultural, social and economic context and ensures that these changes are reflected in the policies and programmes within the delegated areas of responsibility.
2. Actively works towards the future of the school which identifies priorities and targets for:
 - Addressing barriers to learning
 - Fostering high achievement of students
 - Employing teachers of the highest quality available
 - Focusing the school on continued improvement
3. Makes progress towards achieving the vision through the effective management of available resources.

STAFF MANAGEMENT

1. Staffs the school to support effective delivery of the curriculum, the implementation of the charter, and improved learning outcomes for students.
2. Establishes procedures and practices to maintain and improve staff effectiveness through appropriate recruitment, supervision, Performance Management, provision of professional development, and encouragement of self-development.
3. Motivates and supports staff to improve the quality of teaching and learning.

RELATIONSHIP MANAGEMENT

1. Fosters relationships between the school and its community
2. Demonstrates an understanding of, and is responsible to, the diverse concerns and needs of students, parents, staff, Board, community and government and non-government agencies.
3. Communicates effectively both orally and in writing to a range of audiences
4. Manages conflict effectively and actively works to achieve solutions
5. Represents the school and acts to achieve its objectives.

FINANCE/ASSET MANAGEMENT

1. Effectively and efficiently uses available financial resources and assets, with delegated areas of authority, to support improved outcomes for students.
2. Operates an effective budget planning system, and works within available resources.
3. Works effectively and efficiently with the Board of trustees in controlling, monitoring and reporting on the use of finances and assets.

STATUTORY AND REPORTING REQUIREMENTS

Complies with all relevant statutes and regulations, and with monitoring and reporting requirements.

PROFESSIONAL STANDARDS FOR SECONDARY AND AREA SCHOOL PRINCIPALS

PROFESSIONAL LEADERSHIP

1. Demonstrates a thorough understanding of current approaches to effective teaching and learning.
2. Provides professional direction to the work of others by encouraging vision and innovation in classroom practice and school organisation
3. Analyses and makes effective, timely responses to school self-review, external audits, and outcomes of student learning
4. Understands and applies where appropriate, current practices for effective management from both within and beyond education
5. Fulfils the role of Chief Executive to the Board as outlined in the Performance Agreement
6. Reflects on own Performance Appraisal and demonstrates a commitment to own ongoing learning in order to improve performance.

STRATEGIC MANAGEMENT

1. Understands the implications of NZs changing cultural, social and economic context of the school's community, and ensures that these changes are reflected in the school's strategic planning.
2. Actively works with the Board of Trustees towards the development of a shared vision for the future of the school, which identifies priorities and targets for:
 - addressing barriers to learning
 - fostering high achievement of students
 - employing teachers of the highest quality available
 - focusing the school on continued improvement
3. Makes progress towards achieving the vision through the effective management of available resources.

STAFF MANAGEMENT

1. Manages the staff of the school, within available resources, to support effective delivery of the curriculum, the implementation of the charter, and improved learning outcomes for students.
2. Establishes procedures and practices to maintain and improve staff effectiveness through appropriate recruitment, supervision, performance management, provision of professional development, and encouragement of self-development.
3. Motivates and supports staff to improve the quality of teaching and learning.

RELATIONSHIP MANAGEMENT

1. Fosters relationships between the school and its community
2. Creates a teaching and learning environment that is perceived as safe and supportive by students, parents, Board of Trustees and the community.
3. Demonstrates an understanding of, and is responsive to the diverse concerns and needs of students, parents, staff, Board of Trustees, and the community, and the policies of government.
4. Communicates effectively, both orally and in writing to a range of audiences
5. Manages conflict effectively and actively works to achieve solutions
6. Represents the school and acts to achieve its objectives.

FINANCIAL AND ASSET MANAGEMENT

1. Effectively and efficiently uses available financial resources and assets to support improved student learning outcomes.
2. Manages an effective budget planning system, in association with the Board of Trustees, and works within available resources.
3. Works effectively and efficiently with the Board of Trustees in controlling, monitoring and reporting on the use of finances and assets.

STATUTORY AND REPORTING REQUIREMENTS

1. Works with the Board to ensure compliance with all relevant statutes and regulations, and with monitoring and reporting requirements.

N.B. Principals with teaching responsibilities would also need to meet the requirements of the Interim Professional Standards of Teachers.

Appendix B: Job Description

(School/College Logo)

JOB DESCRIPTION

PRINCIPAL

_____ SCHOOL/COLLEGE

PURPOSE OF POSITION:

The position exists to ensure the provision of high quality education to the students of the school.

ACCOUNTABLE TO:

The Principal will report and be accountable to the school Board of Trustees, (as the Principal's employer), through the Board Chairperson.

The Principal has the dual role of being a Board Member in his/her own right whilst undertaking the role of the Chief Executive of the school.

FUNCTIONAL RELATIONSHIPS:

The Principal will liaise, when necessary, with educational agencies such as the Ministry of Education, Education Review Office, College of Education, pay roll service, NZSTA.

DELEGATIONS:

The Principal is responsible for the successful management and professional leadership of the school by taking direction from the Board, the school charter, and the Board's policies.

KEY FUNCTIONS:

The Principal will:

- assist the Board with the development of the strategic and annual operational plans
- advise the Board on policy, professional, and administrative matters
- implement policies and decisions of the Board
- manage the day-to-day running of the school by:
 - implementing, monitoring, and reporting progress on the educational and operational plans.
 - Ensuring that student educational needs are met and that parents are consulted when necessary and provided with timely advice of students' progress and achievement
 - Developing, promoting, and monitoring a culture which values and positively encourages learning, competence, achievement, discipline, and high standards of conduct and integrity
 - Developing and maintaining effective relationships with the Board, staff, students, parents and the community
 - Delegating duties and responsibilities to staff and ensuring good communication is maintained within the school
 - Co-ordinating the school's day-to-day operations
 - Providing and maintaining the school's facilities, equipment, and educational facilities

- Controlling, monitoring, and reporting on the school's finances
- Be responsible for implementing and monitoring policy on staffing and staff performance, appraisal, and development
- To provide the Board with reports and feedback on the achievement of educational, financial, and administrative objectives

GENERAL

The Principal will be required to achieve the above key functions by meeting objectives and professional standards outlined in an annual performance agreement ratified by the Board after consultation with the Principal.

It is expected that the achievement of the key functions by the Principal will result in the Principal managing and leading in a positive and exciting environment for students which will result in a high standard of quality education.

Appendix C: Person Specifications

(School/College Logo)

PERSON SPECIFICATION

FOR THE PRINCIPAL OF _____ SCHOOL

The school Board of Trustees requires in its Principal, an enthusiastic, committed, and forward thinking Chief Executive to lead the school.

The skills and personal attributes required for the Principal of the school are:

PERSONAL ATTRIBUTES

- A drive and commitment to ensure that the best quality education is delivered to students.
- High expectations of success and the ability to give effect to these expectations.
- Good communication skills which result in well-informed students, staff, and community.
- Innovative and forward thinking to provide input to board planning.
- Ability and flexibility to work co-operatively and effectively with individual board members.
- Strong interpersonal skills which include communicating orally and in writing, listening, negotiating, consulting, leading, motivating, counselling, and mediating.

SKILLS

- To have sound knowledge and demonstrated successful experience of providing education.
- A competent trained teacher with experience in senior positions and /or experience as a Principal.
- Knowledge and experience in managing staff including industrial, personnel, and performance management.
- Experience in administration including budgeting, accounting, delegating, developing systems, computer literacy.
- Demonstrated strong self-management skills including good time management, decision making, and self control.
- An awareness and positive management of bicultural and multicultural issues

Appendix D: Policy and Procedures

(School/College Logo)

PRINCIPAL PERFORMANCE APPRAISAL POLICY AND PROCEDURES

POLICY

It is the policy of the _____ School Board of Trustees to appraise the Principal's performance on an annual basis with the objective of ensuring high quality education opportunities for the students of the school.

PROCEDURES

1. The appraisal process will result in a written assessment of the Principal's performance on an annual basis, identifying any training/professional development needs for the Principal to undertake.
2. The Principal's performance will be formally appraised on an annual basis by the Board Chairperson or delegate(s) and, at the Board's choice, an independent consultant who specialises in education and is able to review the effectiveness of the education provided.
3. There will be three informal meetings during the review period between the Principal and Chairperson or delegate(s) to discuss progress.
4. The criteria for appraisal will be the objectives set in the Performance Agreement, the objectives being drawn from the school's strategic and annual operating plans, the Principal's job description, and professional standards.
5. If there is any disagreement between the Principal and the Board as to the objectives, the Board, after considering the Principal's input, will amend and confirm the amended objectives or confirm the unchanged objectives. The Board's decision will be final.
6. The Board Chairperson or delegate(s) may seek feedback on the Principal's performance from staff, parents, or any other person/s who are in the position of providing feedback on how the Principal has performed.
7. The Chairperson or delegate(s) will report back to the Board the result of the appraisal. This will be discussed in committee with the Principal absent.
8. The Performance Agreement and results of the appraisal are confidential to the Principal, the Board and their agents unless both parties agree to wider distribution.
9. In the event of a dispute relating to the appraisal results, the Board may choose to exercise its right to make a final decision or appoint an independent mediator to mediate. Ultimately the Board will have responsibility of any final decision.

Appendix E: Performance Agreement

EXAMPLE

This example of a Performance Agreement is based on an experienced primary principal.

Boards with new Principals with little management experience may wish to consider objectives broken into tasks.

Boards can adopt either a “management by objectives” or a “total quality management” style. Management by objectives is the board setting the outcome and letting the Principal decide what tasks need to be done to achieve the outcome, whereas the total quality management approach requires more focus and control by the Board on what tasks need to be done to achieve the outcome.

NOTE: The following example can be adapted to suit a primary, area, or secondary school principal. If a principal has teaching duties, the standards and any objectives for teaching also need to be included.

PERFORMANCE AGREEMENT

Between _____(Principal) _____

And _____Board of Trustees _____

Term of review period _____to_____

Attached to this agreement are the professional standards required to be met by the Principal. Following are the objectives and indicators for the standards, specific to _____ School, that the Board will include when assessing the Principal’s performance. The tasks and indicators are drawn from the Board’s strategic and annual operating plans, the Principal’s job description and the results of the Principal’s last performance review (where applicable).

PROFESSIONAL LEADERSHIP

Objective

As determined by the board, commencing from _____ the .the Principal’s reporting format for board meetings is to be changed to reflect the boards Strategic Goals and policy areas.

It is expected that meeting job requirements means the:

- Provision of written reports that will be informative
- Reports are in the hands of the Board no later than ___ days before the meeting
- Reports demonstrate professional leadership
- Reports ensure there are “no surprises” for the Board
- Reports maintain focus and track towards the strategic direction of the school.

Achieved/comment

General assessment on professional leadership standards as attached:

Exceeds job requirements	Meets job requirements	Room for improvement	Unsatisfactory
---------------------------------	-------------------------------	-----------------------------	-----------------------

Standard 1 _____

Comment: _____

Standard 2 _____

Comment: _____

Standard 3 _____

Comment: _____

Standard 4 _____

Comment: _____

Standard 5 _____

Comment: _____

Standard 6 _____

Comment: _____

STRATEGIC MANAGEMENT

Objective

Strategic Plan

The Principal will be required to put to the Board by _____ matters to be considered for the strategic plan including funding implications.

It is expected that the Principal will:

- Consult with staff on matters to be considered
- Bring forward matters that are innovative and achievable for the Board's consideration

Business Plan

After the strategic plan is approved by the Board the Principal will:

- Consult with staff on issues to be considered for the operational plan
- Bring forward objectives to the Board for consideration by _____

Achieved/comment

General assessment on strategic management standards as attached:

Exceeds job requirements

Meets job requirements

Room for improvement

Unsatisfactory

Standard 1 _____

Comment: _____

Standard 2 _____

Comment: _____

Standard 3 _____

Comment: _____

Standard 4 _____

Comment: _____

Standard 5 _____

Comment: _____

Standard 6 _____

Comment: _____

STAFF MANAGEMENT

Objective

The Principal will expand the performance appraisal process for teachers to all ancillary staff by _____. The Principal will report to the Board on ____ on the completion of the task.

It is expected that meeting job requirements means that the Principal will:

- implement the system
- ensure that staff feel positive about the process
- ensure that staff fully understand what is expected of them

Achieved/comment

Objective

Weekly staff meetings are to be maintained. The Principal will ensure a record, including the noting of actions to be taken. The Chairperson will, on an ad hoc basis throughout the year, sight the records. As part of the final review, staff feedback on the value of the meetings will be considered.

It is expected that meeting job requirements means:

- specialist/technical information has been communicated to staff
- staff have been listened to and ideas acted on
- staff feel motivated and part of the school life

Achieved/comment

General assessment on staff management standards as attached:

Exceeds job requirements	Meets job requirements	Room for improvement	Unsatisfactory
---------------------------------	-------------------------------	-----------------------------	-----------------------

Standard 1 _____

Comment: _____

Standard 2 _____

Comment: _____

Standard 3 _____

Comment: _____

Standard 4 _____

Comment: _____

Standard 5 _____

Comment: _____

Standard 6 _____

RELATIONSHIP MANAGEMENT

Objective

The Principal will report to the Chairperson on _____ on the outcome of the dispute that happened between parent x and teacher y in _____. The report will outline the process the Principal used.

It is expected that meeting job requirements means that the Principal will:

- have used good verbal and written communication skills
- have ensured that the issue was dealt with in a timely manner
- have used mediation skills which resulted in a satisfactory outcome.

Achieved/comment

Objective

The Principal will provide to the Board by ___ a draft plan on communication that will ensure parents/whanau have the opportunity to be involved in the life of the school. This may include a review of the current communication practices.

It is expected that meeting job requirements will mean:

- a comprehensive draft plan will be tabled on time
- there will be evidence that wide consultation has been undertaken on the current practices
- recommendations on any improvements/additions.

Achieved/comment

General assessment on relationship management standards as attached:

Exceeds job requirements	Meets job requirements	Room for improvement	Unsatisfactory
---------------------------------	-------------------------------	-----------------------------	-----------------------

Standard 1 _____

Comment: _____

Standard 2 _____

Comment: _____

Standard 3 _____

Comment: _____

Standard 4 _____

Comment: _____

Standard 5 _____

Comment: _____

Standard 6 _____

FINANCIAL AND ASSET MANAGEMENT

Objective

The Principal will review the use of the computers to ensure that maximum use of the computers is being made and whether further computer purchases (including costings) are recommended. A report will be given to the Board at the _____ Board meeting.

It is expected that meeting job requirements will mean:

- the report is tabled on time
- the report will detail how effective the current use is
- recommendations on whether improvements can be made for more effective and efficient use.

Achieved/comment

Objective

The Principal will provide a report to the Board on ____ on the benefits and disadvantages of contracting out the cleaning of the school, a recommendation as to whether the work should be contracted out, employment contract implications, and any savings to be made if this option is chosen.

It is expected that meeting job requirements will mean the Principal will provide a report that clearly communicates information Board members can understand and confidently vote on.

Achieved/comment

Objective

The Principal will present a draft annual budget to the Board by _____

It is expected that meeting job requirements will mean the budget will take into account

- the annual operating plan and the strategic plan budget will take into account
- ongoing operational requirements

Achieved/comment

General assessment on staff management standards as attached:

Exceeds job requirements

Meets job requirements

Room for improvement

Unsatisfactory

Standard 1 _____

Comment: _____

Standard 2 _____

Comment: _____

Standard 3 _____

Comment: _____

Standard 4 _____

Comment: _____

Standard 5 _____

Comment: _____

Standard 6 _____

STATUTORY AND REPORTING REQUIREMENTS

The Principal will meet all relevant statutes and regulations, and monitoring and reporting requirements on time, at all times. It is expected the Board will not need to prompt the Principal in meeting statutory and reporting requirements including Ministry returns and reports, student suspensions, staff employment rights, etc.

Achieved/comment

General assessment on statutory and reporting requirement standards as attached:

Exceeds job requirements	Meets job requirements	Room for requirements	Unsatisfactory improvement
---------------------------------	-------------------------------	------------------------------	-----------------------------------

Dates for interim assessments

1. _____
2. _____
3. _____

Involvement of others in providing appraisal data:

Data to be collected

By Whom

When

Overall performance

It is expected that the Principal will be leading and managing a school which provides a positive and exciting learning environment for students which will result in a high standard of quality education.

Training/professional development agreed for _____

Signed _____ Principal

Dated _____

Signed _____ Chairperson for Board of Trustees

Dated _____

Appendix F: Gazette Notice

APPRAISAL AND ASSESSMENT OF TEACHER PERFORMANCE

SOURCE: s77C State Sector Act 1988 (NZ Gazette No 180: Dec 1996)

(Note amendment notice follows)

Performance of Teachers - Criteria to be Taken into Account

Pursuant to Section 77C of the State Sector Act 1988, and following agreement by the State Services Commission, I hereby prescribe the following matters are to be taken into account by boards of trustees in assessing the performance of teachers.

3. The Matters to be taken into Account

The Secretary for Education hereby prescribes the following matters to be taken into account by the employers when assessing the performance of teachers:

- **Principles** which should underpin the policies and processes boards have in place for the appraisal of teacher performance;
- **Features** of the **process** which is followed in appraising teacher performance;
- **Aspects** of teacher's **performance** which should be appraised.

3.1 The Principles

Boards of trustees should ensure that policies and procedures for the appraisal of teacher performance:

- i. Are part of an integrated performance management system operating within the school;
- ii. Are appropriate to individual teachers, the school and the wider community;
- iii. Are developed in a consultative manner with teachers;
- iv. Are open and transparent;
- v. Have a professional development orientation;
- vi. Are timely and helpful to the individual teacher;
- vii. Give consideration to matters of confidentiality, including the provisions of the Privacy Act and the Official Information Act.

3.2 The Features of the Appraisal Process

3.2.1 The board of trustees is responsible for ensuring that:

- i. A policy for the appraisal of teacher performance is in place which is in accordance with the principles;
- ii. Responsibility for the implementation of the appraisal policy and process is formally delegated to a professionally competent person or persons;
- iii. The appraisal process for each teacher is completed in accordance with the policy;
- iv. Each teacher participates in the appraisal process at least once within a twelve month period.

3.2.2 Boards of trustees must have a documented policy on the appraisal of teacher performance. This policy must:

- i. Specify the person(s) responsible for the implementation of the appraisal policy and process;
- ii. Specify the process which will be followed in the appraisal of teacher performance;
- iii. Include a statement on confidentiality;

iv. Specify a process for dealing with disputes.

3.2.3 Boards of trustees (through the person(s) responsible) must ensure that the appraisal process includes the following elements:

- The identification of an appraiser, in consultation with the teacher concerned;
- The development of a written statement of performance expectations in consultation with each teacher;
- The identification and written specification of one or more development objectives to be achieved during the period for which the performance expectations apply;
- For each development objective, the identification and written specification of the assistance or support to be provided;
- Observation of teaching (for those with teaching responsibilities);
- Self-appraisal by the teacher;
- An opportunity for the teacher to discuss their achievement of the performance expectations and the development objective(s) with their appraiser;
- An appraisal report prepared and discussed in consultation with the teacher.

3.3 The aspects of teacher performance to be appraised

Boards of trustees (through the person(s) responsible) must ensure that:

3.3.1 The performance expectations for teachers must relate to the key professional responsibilities and key performance areas of their position;

3.3.2 Key professional responsibilities/performance areas are:

- i. *Teaching responsibilities* (such as planning and preparation, teaching techniques, classroom management, classroom environment, curriculum knowledge, student assessment);
- ii. *School-wide responsibilities* (such as contribution to curriculum leadership, school wide planning, school goals, the effective operation of the school as a whole, pastoral activities and student counselling, and to community relationships);
- iii. Management responsibilities (such as planning, decision-making, reporting, professional leadership, resource management).

Official Notice for the Promulgation of the Professional Standards for Principals

SOURCE: New Zealand Education Gazette 8 February 1999

Performance Management in Schools: Professional standards for Primary, Secondary and Area School Principals

Pursuant to Section 77C of the State Sector Act 1988, and following agreement by the State Services Commission, I hereby prescribe that boards of trustees must take the following requirements into account when assessing the performance of principals.

The Preamble

The leadership and management skills of principals are essential to the effectiveness of New Zealand's schools. Managing the performance of principals allows boards of trustees to set priorities for the school and to specify what they want from their principal. It also ensures the principal's skills continue to be developed.

Professional Standards have been introduced to enhance existing performance management systems in schools, in line with the Government's strategy to develop and maintain the quality of teaching and leadership, and improve learning outcomes for students.

The objectives of the Professional Standards for Principals are to:

- Clarify the knowledge, skills and attitudes all principals are expected to demonstrate;
- Improve the quality and outcomes of principal performance management;
- Provide a framework for identifying the professional development needs of principals; and
- Provide a means of linking performance management to remuneration decisions.

The Professional Standards for Principals will help ensure that schools are led and managed by high quality professionals. Clear direction and agreed priorities will ultimately lead to a stronger partnership between boards and principals and to improved learning outcomes for students.

Existing Requirements

Performance management systems have been mandatory in New Zealand schools since 1 January 1997. Boards are required to have policies and procedures in place for the performance management of all teachers, including the principal.

Responsibilities of boards of trustees

Since 1 January 1997, boards of trustees have been required to ensure that each principal participates in a performance appraisal at least every 12 months.

Job description

Boards of trustees must ensure that:

Principals on individual employment contracts have a job description.

The job description is reviewed each year to ensure it reflects any changes in circumstances and board expectations.

Note: Principals on the Collective Employment Contract may also have a job description.

Annual performance appraisal

Boards of trustees must have a documented policy on the appraisal of principals' performance that specifies the:

1. Person(s) responsible for the implementation of the appraisal policy and process.
2. Process for the appraisal of performance.
3. Process for dealing with disputes.
4. Requirements for confidentiality.

Boards of trustees (through the person(s) responsible) must ensure that the appraisal process includes the following elements:

- Documented performance expectations developed in consultation with the principal;
- Identification and written specification of one or more development objectives to be achieved during the period for which the performance expectations apply;
- Identification and written specification of the assistance or support to be provided to achieve the development objectives agreed;
- Signed annual performance agreement;
- Observation of teaching (for those with teaching responsibilities);
- Self-appraisal by the principal;
- An opportunity for the principal to discuss their achievement of the performance expectations and the development objective(s) with their appraiser; and
- An appraisal report prepared and discussed in consultation with the principal.

New Requirements

Schools must now incorporate the following additional requirements into existing principal performance management policies.

Incorporation of the Professional Standards for Principals

Both the Collective and Individual Employment Contracts for principals introduced in 1998 require the Professional Standards to be incorporated in each principal's performance agreement. Boards are required to assess the principal against the Professional Standards as part of the annual performance appraisal.

Draft Interim Professional Standards for Primary, Secondary and Area School Principals

During April and May 1998 the Ministry of Education consulted with principals and boards of trustees on the Interim Professional Standards for Primary, Secondary and Area School Principals. Following consultation proposed amendments were discussed with representatives of area and secondary principals and boards and, following their general support, incorporated into the Revised Professional Standards for Secondary and Area School Principals.

The New Zealand Educational Institute (NZEI) advised the Ministry that it would not agree to the proposed amendments to the Interim Professional Standards for Principals until a decision is made whether a professional body is to be established, as suggested in the Review of Teacher Education Green Paper. The existing Interim Professional Standards for Primary School Principals will therefore remain in place.

Revised Professional Standards for Secondary and Area School Principals

The Revised Professional Standards for Secondary and Area School Principals must have been incorporated into the performance agreements of all secondary and area school principals by 1 February 1999 for principals to access the increase to base salary effective from that date. This increase was only available to those principals who have also signed the fixed term individual employment contract (IEC) promulgated in May 1998.

Interim Professional Standards for Primary School Principals

- *Principals on fixed term individual employment contracts:* The Interim Professional Standards for Primary School Principals must have been incorporated into the principal's performance agreement by 15 August 1998, for the school to access the Supplementary Grant from 1 July 1998.
- *Principals on fixed term individual employment contracts in a school that has not applied for the Supplementary Grant:* The Interim Professional Standards for Primary School Principals must be incorporated into the principal's performance agreement by 1 February 1999 for the principal to access the increase to base salary available from this date.
- *Principals on the Collective Employment Contract:* The Interim Professional Standards for Primary School Principals must be incorporated into the principal's performance agreement by 1 February 1999.

For any primary school principal to access the increase to base salary available from 1 February 1999 the school must also attest that the Interim Professional Standards for Primary School Deputy/Assistant Principals and Teachers have been incorporated into the performance expectations and development objectives of these groups by 1 February 1999.

Incorporation of the Professional Standards into the Principal's Performance Agreement

All employment contracts for principals require boards of trustees to include the following details in the principal's annual performance agreement:

1. The objectives of the principal's position including the relevant set of professional standards for the year specified; and
2. The process and criteria by which the principal's performance is to be appraised for that year.

Principals with teaching responsibilities in Primary Schools

Where a primary school principal has teaching responsibilities, the principal's performance must also be assessed against the Interim Professional Standards for Primary School Teachers.

Competency

Where the competency of the principal is causing concern, for example through failure to meet the appropriate professional standards, boards of trustees must ensure that appropriate assistance and guidance are put in place.

Revised Professional Standards for Secondary and Area School Principals

Dimensions and Standards

See Appendix A

Interim Professional Standards for Primary School Principals

Dimension Standards

See Appendix A

Note: Primary principals with teaching responsibilities will also need to meet the requirements of the Interim Professional Standards for Primary School Teachers.

Dated at Wellington this 28th day of January 1999.

Howard Fancy, Secretary for Education