



# **GUIDELINES FOR PRIMARY BOARDS OF TRUSTEES**

## **Primary Principals' Performance Review**

A Publication for Members of the New Zealand School Trustees Association

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# PREFACE

The relationship between the principal and the board is a critical hub around which effective governance and management of the school revolves.

The board, as the employer, is responsible and accountable for the principal's performance management, including the performance review. This is a vital aspect of the board's work.

The performance cycle provides a formal process for directing, monitoring, and supporting the principal's work and it is intended to benefit both principal and school.

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, and ensure that each principal participates in a performance review at least every 12 months.

This publication has been compiled as a guide, with specific information and examples, for boards of trustees as the employer of the principal [their chief executive]. It has been revised specifically for primary boards following the establishment of good practice guidelines for principals' appraisal in 2008, amendments to Primary Principals' Professional Standards in 2008, and the introduction of the "Payment for Experience" component of their remuneration.

**Note:** whilst the employment agreement refers to a performance review in other contexts it is often referred to as appraisal and for that reason the terms may be interchangeable within these guidelines and other documents.

## **Additional Resources**

### **Education Review Office [www.ero.govt.nz](http://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](http://www.teacherscouncil.govt.nz)**

Information for Employing Authorities

A Satisfactory Teacher and Renewing a Practising Certificate

**Ministry of Education [www.minedu.govt.nz](http://www.minedu.govt.nz)**

Professional Leadership Strategy (2009)

Kiwi Leadership for Principals (2008)

Principal Performance Management (1989)

**NZSTA [www.nzsta.org.nz](http://www.nzsta.org.nz)**

NZSTA Professional Development for Trustees

NZSTA Trustee Handbook

NZSTA Advisers

NZSTA Professional Development Team

## DEFINITIONS

**Strategic plan:** The board establishes 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 and current needs and opportunities.

**Performance management system (PMS):** This can be a number of board policies relating to anything that assists in performance management. The policies can range from appointment, performance review (which can include professional development), to competency and discipline.

**Performance review/appraisal:** This is a process whereby the principal's performance is reviewed annually by the board against objectives set by the board and professional standards in the collective agreement. A report will identify how well the principal has achieved the objectives and standards.

**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. The professional standards are included as a schedule in the Primary Principals' Collective Agreement.

**Objectives:** Objectives set out what the principal will achieve during the review period and the measures to identify how the professional standards will be met. They should be **Precise, Achievable, and Measurable**.

**Key tasks:** Key tasks are those key tasks that need to be undertaken to achieve an objective.

**Indicators:** Indicators are the particular things that the board will look at or measure to determine how the principal has performed. For example, 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 employer under the State Sector Act 1988, Education Act 1989, and the Employment Relations Act 2000.

### **State Sector Act 1988**

This 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.

## **Education Act 1989**

The board must ensure that the principal of their school is delivering a satisfactory level of performance and meeting the goals and objectives of the board. Section 65 of this Act gives the board the duties, responsibilities, and rights as an employer

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

## **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*

## **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*

## **Employment Relations Act 2000**

This Act sets out how employment relationships will operate.

## **Essentially:**

The board has all the rights, duties, and powers of an employer by virtue of the State Sector Act 1988 and the Education Act 1989.

For organisational processes to achieve those outcomes:

- the board manages the principal; and
- the principal manages the school

That's the legal position but we have a unique self managing model so it is suggested you refer to the Trusteeship section of the NZSTA Trustee Handbook and read the section on **Understanding Governance and Management**.

Think of it as the board managing the principal through:

- the strategic planning and policies the board develops which determines the board's direction for the running of the school and which the principal implements through the day-to-day leadership and management; and
- the performance objectives established by the board and performance standards which the principal is required to achieve; and
- the resolutions and delegations made in board meetings for the principal to act upon; and
- the feedback given to the board by the principal.

The principal is charged with the complete discretion to manage the school subject to the above. This allows the principal to apply judgement to manage the school according to the curriculum requirements and other National Education Goals within board policy. The principal also has specific responsibilities (usually delegated by the board) 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.

NAG 3 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 a performance review linked to the professional standards.

Part 4 of the Primary Principals’ Collective Agreement sets out the process for the performance review.

### ***4.1 Performance Review***

- 4.1.1 Employers will review the performance of principals in carrying out the duties and responsibilities of their positions.
- 4.1.2 The employer shall prepare an annual performance agreement with each principal that details:
  - (a) the objectives of the principal’s position including the relevant professional standards for that year; and
  - (b) the process and criteria by which the principal’s performance is to be assessed for that year.

**Note:** the professional standards applying in this agreement may only be varied during the term of this agreement according to the process set out in the Terms of Settlement.

- 4.1.3 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.
- 4.1.4 The principal will co-operate with the employer during all stages of the performance review process and will provide the employer with such information as the employer may properly require to carry out any review of the principal’s performance.

## **Payment for experience**

The collective agreement (5.2.5) provides for an experience payment which is an allowance for experience and performance in the role.

A primary principal is entitled to an allowance (increased to \$3000 per annum from 28 January 2009) subject to meeting certain criteria. These include:

- completion of three years current continuous service as a principal in a primary state or primary state integrated school; and
- attested to and recently met the principals' professional standards.

A principal who is undergoing a competency procedure does not receive the allowance from the commencement of the procedure until such time as the competency procedure has ended at which time the allowance recommences.

### **Professional Standards for Primary Principals**

The professional standards provide a baseline for assessing satisfactory performance within each area of practice. They form part of the principal's performance agreement, which will reflect the school/board goals, the principal's job description, and more specific objectives. Included in the development of the performance agreement will be the identification and development of appropriate indicators. The performance agreement must also include the New Zealand Teachers Council criteria for registration as a teacher.

Part 4 of the Primary Principals' Collective Agreement describes the responsibility of the employing board to develop the principal's performance agreement.

The professional standards for principals were first established in 1998 on an interim basis. In 2008, the NZEI, NZSTA, NZPF, and the Ministry of Education completed the review of professional standards (provided for in the Terms of Settlement of the Primary Principals' Collective Agreement 2007-2010) and agreement was reached on the revised Professional Standards for Primary Principals, which are now aligned with the Kiwi Leadership for Principals and the New Zealand Curriculum. These new standards are set out in the following section.

Areas of practice	Professional Standards
<p><b>CULTURE</b> Provide professional leadership that focuses the school culture on enhancing learning and teaching.</p>	<ul style="list-style-type: none"> <li>• In conjunction with the board, develop and implement a school vision and shared goals focused on enhanced engagement and achievement for all students.</li> <li>• Promote a culture whereby staff members take on appropriate leadership roles and work collaboratively to improve teaching and learning.</li> <li>• Model respect for others in interactions with adults and students.</li> <li>• Promote the bicultural nature of New Zealand by ensuring that it is evident in the school culture.</li> <li>• Maintain a safe, learning-focused environment.</li> <li>• Promote an inclusive environment in which the diversity and prior experiences of students are acknowledged and respected.</li> <li>• Manage conflict and other challenging situations effectively and actively work to achieve solutions.</li> <li>• Demonstrate leadership through participating in professional learning.</li> </ul>
<p><b>PEDAGOGY</b> Create a learning environment in which there is an expectation that all students will experience success in learning.</p>	<ul style="list-style-type: none"> <li>• Promote, participate in and support ongoing professional learning linked to student progress.</li> <li>• Demonstrate leadership through engaging with staff and sharing knowledge about effective teaching and learning in the context of the New Zealand curriculum documents.</li> <li>• Ensure staff members engage in professional learning to establish and sustain effective teacher / learner relationships with all students, with a particular focus on Māori students.</li> <li>• Ensure that the review and design of school programmes is informed by school-based and other evidence.</li> <li>• Maintain a professional learning community within which staff members are provided with feedback and support on their professional practice.</li> <li>• Analyse and act upon school-wide evidence on student learning to maximise learning for all students with a particular focus on Māori and Pasifika students.</li> </ul>

Areas of practice	Professional Standards
<p><b>SYSTEMS</b> Develop and use management systems to support and enhance student learning.</p>	<ul style="list-style-type: none"> <li>• Exhibit leadership that results in the effective day-to-day operation of the school.</li> <li>• Operate within board policy and in accordance with legislative requirements.</li> <li>• Provide the board with timely and accurate information and advice on student learning and school operation.</li> <li>• Effectively manage and administer finance, property and health and safety systems.</li> <li>• Effectively manage personnel with a focus on maximising the effectiveness of all staff members.</li> <li>• Use school / external evidence to inform planning for future action, monitor progress and manage change.</li> <li>• Prioritise resource allocation on the basis of the school's annual and strategic objectives.</li> </ul>
<p><b>PARTNERSHIPS and NETWORKS</b> Strengthen communication and relationships to enhance student learning.</p>	<ul style="list-style-type: none"> <li>• Work with the board to facilitate strategic decision making.</li> <li>• Actively foster relationships with the school's community and local iwi.</li> <li>• Actively foster professional relationships with, and between colleagues, and with government agencies and others with expertise in the wider education community.</li> <li>• Interact regularly with parents and the school community on student progress and other school-related matters.</li> <li>• Actively foster relationships with other schools and participate in appropriate school networks.</li> </ul>

**Note:** Principals with teaching responsibilities will also need to meet the requirements of current (of the time) standards and/or criteria for teachers.

## 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.

Offers of 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 performance review 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 and the NZSTA Guidelines for Boards of Trustees: Principal Appointment.

(Appendix B – Principal’s job description)

(Appendix C – Principal’s person specification)

## SECTION FOUR:

# WHAT IS A PERFORMANCE REVIEW?

Performance review or performance appraisal of a principal is a tool by which the board can measure whether the objectives set for the school are being met. Through this process, 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 review 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 performance review, assessment, and evaluation are used to describe the monitoring of performance. These terms are distinguished below<sup>1</sup>:

**Evaluation** is a general term used to describe any activity where the quality of provision is the subject of systematic study;

**Performance review** emphasises the forming of qualitative judgements about an activity, a person, or an organisation;

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<sup>1</sup> Organisation for Economic Co-operation and Development [OECD] in Schools and Quality (1989).

**Assessment** implies the use of measurement and/or grading based on known criteria.

A performance review 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 review 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 identified serious performance concerns.

Boards should keep in mind that performance review and competency are separate processes.

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

If a board has conducted a performance review or is part way through a performance cycle and there is cause for concern because of poor performance, the 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 cycle process can be continued. A failure to meet performance objectives through a formal competency process could result in dismissal. (Any board considering whether or not concerns about the performance of their principal may require them to institute a competency process should seek advice from an NZSTA adviser: personnel/industrial relations.)

## SECTION FIVE:

# ELEMENTS OF PERFORMANCE REVIEW

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. A requirement is also contained in the employment agreements for principals for this and performance reviews.

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 and contractual requirement that boards of trustees will review the performance of their principal through a performance review process.

ERO accountability audits will ascertain the value and the rigour of the processes undertaken 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 expectations 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

- monitoring performance
- identifying professional development opportunities and needs
- ensuring feedback to assist with the development of a new performance agreement

## Good Practice Framework

In 2008 The Ministry of Education, NZSTA and experienced appraisal practitioners, including Associate Professor Eileen Piggot-Irvine, Murray Fletcher, and Tim White have, after over a year or more of consultation, developed and agreed on a framework to guide boards in effective practice when managing their responsibility for principal appraisal. This initiative has been driven from regional school support networks to work within the current policy and legislative environment.

<p><b>Managing Principal Appraisal (Performance Review) – Good Practice Framework Purpose</b></p>	<p>1 Appraisal has both <i>accountability</i> and <i>development</i> purposes:</p> <ul style="list-style-type: none"> <li>• <i>Accountability</i> – of the principal for leading and managing the school, achieving agreed goals, and ensuring the quality of teaching and learning;</li> <li>• <i>Development</i> – of the principal against agreed goals, and to ensure the development of the school and the ongoing improvement of student achievement.</li> </ul> <p>2 Appraisal is based on the annual performance agreement.</p> <p>3 The performance agreement contains annual objectives for the principal (including one or more professional development objectives) and all the professional standards relevant to the role (principal/teaching and principal).</p> <p>4 The performance agreement is future focused and must reflect the school's strategic and annual plans, and the principal's job description.</p>
<p><b>Responsibility</b></p>	<p>1 The board, as the employer, is responsible and accountable for the principal's performance management, including appraisal.</p> <p>2 The board will consult<sup>2</sup> with the principal before exercising responsibility for decisions regarding principal appraisal.</p> <p>3 It is the responsibility of both parties to act in good faith. Appraisal effectiveness is linked to high trust and mutual respect, based on collaboration, mutual transparency, and respect for confidentiality.</p> <p>4 The board should ensure that sufficient resourcing (including time and professional development) is given to understanding and implementing the appraisal process.</p>

<sup>2</sup> The board's consultation with the principal, at any stage of the appraisal process, is to assist and inform the board in exercising its responsibility. Consultation includes respecting, understanding, and considering the views of the other. After considering the views, if the parties cannot agree, then respective employment agreements for state sector principals provide direction, as must the board's policy.

<b>Delegations<sup>3</sup></b>	<ol style="list-style-type: none"> <li>1 The board may resolve to delegate<sup>4</sup> to a trustee or a committee of the board the management of the appraisal process.</li> <li>2 When the board delegates in this manner, the board retains the responsibility and accountability for the actions of any delegate.</li> <li>3 Delegations must be written, be specific, and identify where the delegated responsibility begins and ends.</li> <li>4 The board should ensure that any delegated party fully understands all aspects of the principal appraisal process, including documents used.</li> <li>5 A board delegation to a trustee or a committee is distinct from an external agent being contracted to provide a service.</li> </ol>
<b>Contracting<sup>5</sup></b>	<ol style="list-style-type: none"> <li>1 Any person/organisation brought in by the board to assist in principal appraisal is an agent of the board and should be contracted according to a clearly identified need (e.g. objective view, or to supplement the skills and knowledge of the board).</li> <li>2 When the board contracts assistance in this manner, the board retains the responsibility for the actions of any contractor.</li> <li>3 The written contract should clearly set out the parameters of the respective roles and responsibilities of the board, the principal, and the contractor.</li> <li>4 The board will provide overall direction to any contractor about the process.</li> <li>5 Any contractor should be required to follow a documented process that is in line with the board's principal appraisal policy.</li> </ol>

<sup>3</sup> When a board resolves that any of its functions or powers should be exercised by identified trustees and/or a committee, this must be reflected through written delegation. The written delegation can be revoked at any time by board resolution and written notice to the delegated party. The requirements on the board to act in good faith, and to model high trust and mutual respect, based on collaboration, mutual transparency, and respect for confidentiality, extend to any delegated party.

<sup>4</sup> The legislative requirements for any board delegations are stated in section 66 of the Education Act 1989.

<sup>5</sup> When a board (or delegated party) accesses the services of an external provider, to assist the board in the exercise of its powers and functions, it should reflect the extent and nature of those services in a written contract. Contractors can provide a level of expertise, objectivity, and/or professional practice to the board's appraisal process. They may also provide a fresh perspective; assist in solving any problems, and setting new directions. They may also assist in gathering and analysing evidence. The board needs to be assured that the contracted agent (whether they are another principal or other external consultant) sees appraisal as an accountability and development tool; and has the professional integrity to provide honest feedback. The requirements on the board to act in good faith, and to model high trust and mutual respect, based on collaboration, mutual transparency, and respect for confidentiality, extend to any contracted agent.

Process	
1	The principal appraisal process is undertaken at regular agreed intervals on an annual cycle.
2	Written board policy determines the principal appraisal process and respective responsibilities.
3	Delegations and contractual relationships need to be formalised.
4	It is the board's role to determine, in consultation with the principal, what support <sup>6</sup> (if any) may be provided for the principal.
5	To protect the objectivity of the <i>evaluation</i> and the effectiveness of the <i>support</i> , each should be undertaken by different parties. However, if one person undertakes <b>both</b> the <i>evaluation</i> of the principal's performance and also provides the <i>support</i> for the principal, the board should be conscious of any potential conflict between the two roles and manage accordingly.
6	The board and any delegated party and any contractor are required to objectively collect information. Any actual or perceived conflict of interest should be identified and addressed prior to commencing the role.
7	The principal and the appraiser should provide evidence that is relevant to the performance agreement.
8	Evidence should be robust and cross-checked to ensure verification; and may be collected through methods including surveys, interviewing, focus groups, whanau or fono group feedback, observation of teaching (if appropriate), and/or documentary evidence.
9	The board (or its delegated trustee/committee) must consider the report of any contractor, make a written evaluative judgment, and assemble the final appraisal report for the principal.
10	The principal will receive a copy of the final appraisal report for their consideration and comment <sup>7</sup> .
11	Irrespective of whether the board delegates to a trustee/committee the management of the appraisal process, the final appraisal report, or a summary of it, will be prepared for the full board in accordance with the board's own policy.
12	This final appraisal report, or a summary of it, should always be provided to the full board 'in committee' <sup>8</sup> . Provision should be made for the board's discussion of the report, during which time the principal is able to speak to the report; but in accordance with legislation <sup>9</sup> , will not otherwise be in attendance.
13	The final appraisal report must remain confidential to the board and the principal.
14	The board then takes the opportunity to comment and participate in developing the performance agreement for the next annual cycle (unless board policy reflects that this is delegated).

<sup>6</sup> Support for the principal may include a mentor, developer, or confidant. They might be engaged to provide specific developmental support that is outside the expertise of the appraiser.

- 7 Respective employment agreements for state sector principals provide direction in circumstances where parties cannot agree, as must the board's policy
- 8 When a board meeting 'moves into committee', members of the public are excluded from the meeting. The legislative requirements for managing this process are stated in the Local Government Official Information and Meetings Act 1987.
- 9 Education Act 1989, Part 9, Section 117, Schedule 6, Clause 8, Subclauses (9) and (11): (9) Subject to sub clause (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 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

## SECTION SIX:

# POLICIES ON PRINCIPAL REVIEW

Boards are required to have a policy regarding the performance appraisal of their principal as part of the mandated requirements (see Appendix F: Gazette Notice).

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

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. The policies should not have provision for the process or report to be confidential to the reviewer and principal only.

Any issues relating to the process or report 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 a policy should:

- include the review cycle, e.g. be conducted at least once within a 12-month period
- specify the person/s responsible for the implementation of the policy
- specify the process
- include a statement on confidentiality

- specify how any dispute will be dealt with
- state how the results will be reported
- have at least one objective with a professional development orientation.

(Appendix D – Sample policy on principal performance review 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, developing the detail of the final form of the agreement should be delegated to the board members who will be involved in the actual 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 process – are there issues arising from the previous performance agreement that require ongoing action?
3. Are there professional development needs that have arisen from the process?
4. Are there external developments that must be addressed, eg new requirements such as assessments and monitoring of students' work, introduction of new curriculum performance standards for teachers, etc?

5. Has there been an ERO accountability review with recommendations on compliance requirements?
6. What specific board objectives need to be addressed in the performance agreement?
7. Have staff signalled a matter 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, not challenging, and do not take 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.

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 review process**

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

1. Will there be interim reviews and if so, how many, and when?
2. At what part of the process (if at all) will a 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 relevant 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.”*

Before leaving the meeting however, the principal should have the opportunity to comment directly to the board on any aspects of the agreement or the development process that he/she wishes.

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 E – Sample performance agreement incorporating professional standards)

## SECTION EIGHT:

# EMPLOYING A CONSULTANT

Review of a principal's performance 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 means **developmental**, that is to say the process is about developing and extending the skills and abilities of the teacher professionally. The performance review of a principal as the professional leader and "chief executive" of a school is both formative and "summative" (summative means **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 some funding as a component in the board's 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 what is required of a professional leader of a school and "chief executive" of a board?

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

NZSTA discourages the practice for boards, on the recommendation of their own principal, to employ a neighbouring principal to undertake the role of professional consultant. This is often confused with a mentoring or supportive role. It is important that the appraiser takes an objective view of the appraisal. It is difficult to maintain objectivity when a colleague at the nearby school does your principal's review 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 review. 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 (which should be separated from any role as a reviewer).

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 the teaching duties, the board should not leave the process of appraisal totally to the responsibility of a paid consultant. It is important to remember that the consultant is only there to assist the board and provide professionally qualified information. While the consultant may do the "hands on" measurement needed for appraisal, the responsibility and the final judgments are still the board's responsibility.

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

When a board contracts a consultant or education expert, the board should ensure the process is guided by stated "terms of reference" set by the board to provide

information on stated objectives. The information and results should be provided by the consultant to the chairperson or review team in a written report.

Discussion between the consultant and the board members responsible for appraisal before the consultant begins any assessment work is vital. The consultant must have a clear understanding of the board's issues, concerns, and goals.

## SECTION NINE:

# THE REVIEW PROCESS

### **Interim assessments**

During the course of the year there should be at least two if not more occasions when the delegated board member(s) set aside time for 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. Secondly, an interim assessment 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 the review process occurs.

If significant changes to the performance agreement are proposed as a result of the review, the delegated board member(s) will need to have the new agreement ratified by the board.

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 review process and put in place remedial

measures at an appropriate time rather than waiting until the end of the review cycle (see performance review process versus a process for competency).

### **The formal process**

It is appropriate that the performance cycle fits in with the annual school operational plan and thus the performance review has relevance to the planned outcomes for any given school year. Boards may wish to structure their final review point 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 (eg 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.

It is also important that the delegated board member(s) are confident that they speak for the board as a whole when they meet with the principal. This is likely to require a meeting of the board (in committee and in the absence of the principal), so that board members can share their perceptions and knowledge about the principal's performance.

The principal should be given adequate notice of the date of the final review to allow her/him the time to prepare a self review 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 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
- consider any conclusions made by a consultant if one was used
- review the performance standards

During the process it is important that the reviewer(s) are open and direct without fudging or avoiding real issues and weaknesses, stay with the points of discussion when discussing goals and performance, and refrain from generalising when giving feedback – it is good practice to be as specific as possible.

At the close of the process it is useful to summarise the results 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). Ultimately, it is the board's right to adopt (or reject) the review report. Two copies of the report should remain in existence – one for the principal, one for the principal's personal file. The retention of this material on the personal file is important as this enables this information to be accessed by subsequent boards. Personal files should always be kept in a secure place with clear procedures detailing by whom and when they can be accessed.

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 updating 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 principals are quite clear on this matter:

*“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.”*

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 should this occur.

## APPENDIX A:

# FLOW CHART FOR PRINCIPAL PERFORMANCE REVIEW

**Recommended  
timeframe**

Advertise principal's position  
Provide applicants with:

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



Offer and Acceptance of Appointment



**Within (3) months  
of appointment  
OR  
within one (1)  
month of last  
review if renewing  
existing principal's  
performance  
agreement**

Board considers the following in determining  
broad performance objectives

- Strategic Plan
- School Annual Operating Plan
- Job Description
- Prescribed developments by Secretary for Education [eg, Performance Management Systems, Curriculum Changes, Professional Standards].
- Previous Performance Review 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 Performance Review 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**



Final draft agreed with principal by committee



Principal accepts  
Performance  
Agreement

Principal rejects  
Performance  
Agreement



Committee  
considers  
principal's view  
Seeks professional  
advice if necessary



Committee accepts  
principal's views  
and modifies  
Performance  
Agreement

**OR**

Committee rejects  
principal's view



Performance Agreement ratified by board



**Term of agreement  
may be 12 months  
or less to line  
up with board  
planning**

**Throughout  
review period**

Interim [1-3] Assessments



**Satisfactory performance**



**Unsatisfactory  
performance**



**Note this may require a step in here to allow changes to performance agreement**

Process halted  
↓  
Remedial or competency process implemented  
↓  
Short term targets and specific outcomes required  
↓  
Satisfactory performance resumed  
**OR**  
Competency Process results in dismissal



**Performance review process continues**

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

Preparation for final review – sourcing evidence and information including any assessment made by consultant

↓  
Formal interview

↓  
Formal results drafted

↓  
Draft sent to principal

↓  
Principal accepts report

↙

Un satisfactory result  
↓  
**Competency process considered**

↘

Principal disagrees with report  
↓  
Committee considers principal's view  
↓  
Committee accepts principal's view and amends report  
**OR**

Committee rejects  
principal's view  
and principal's  
comments attached  
to report



Performance Review Report to full board  
(principal exits meeting following opportunity to  
address board)



Principal informed personally and in writing  
of outcome



New Performance Agreement and cycle  
recommences for next twelve (12) months

## APPENDIX B:

# JOB DESCRIPTION

(School Logo)

## JOB DESCRIPTION

### PRINCIPAL

\_\_\_\_\_ SCHOOL

#### **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, Educational Support Services, Payroll Service, NZSTA, Unions.

## **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. Formal delegations will be supplied to enable this to occur.

## **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
- Professionally lead and 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
- 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 professionally leading and managing in a positive and exciting environment for students which will result in a high standard of quality education

## APPENDIX C:

# PERSON SPECIFICATIONS

(School Logo)

## PERSON SPECIFICATION

FOR THE PRINCIPAL OF \_\_\_\_\_ SCHOOL

The [.....] School board of trustees requires in its principal, an enthusiastic, committed, and forward thinking professional leader and 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.
- An awareness and positive management of bicultural and multicultural issues

## SKILLS

- To have sound knowledge and demonstrated successful experience of providing education.
- Have a sound and extensive knowledge of the NZ curriculum and pedagogy.
- Strong interpersonal skills which include communicating orally and in writing, listening, negotiating, consulting, leading, motivating, counselling, and mediating.
- 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.

## APPENDIX D:

# POLICY AND PROCEDURES

(School Logo)

## PRINCIPAL PERFORMANCE REVIEW POLICY AND PROCEDURES

### POLICY

It is the policy of the \_\_\_\_\_ School board of trustees to review 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 review 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 reviewed on an annual basis by the board chairperson or delegate(s) with, at the board's choice, the support of 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 the review will be the objectives set in the performance agreement, 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 review. This will be discussed in committee with the principal absent. The principal will have an opportunity to directly address the board before it discusses or makes any decision on the adoption of the report.
8. The performance agreement and results of the performance review are confidential to the principal, the board, and their agents unless both parties agree to wider distribution.
9. In the event of a difference in views relating to the results, the board may choose to exercise its right to make a final decision or establish a process to resolve any difference of views. Ultimately the board will have responsibility of making 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:** 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).

## SYSTEMS

### Objective

As determined by the board, commencing from [date], 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

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### 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

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### Objective

The principal will provide a report to the board 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

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**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
- ongoing operational requirements

Achieved/comment

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General assessment on systems standards as attached:

	<b>Exceeds job requirements</b>	<b>Meets job requirements</b>	<b>Room for improvement</b>	<b>Unsatisfactory</b>
<b>Standard 1</b>	_____	_____	_____	_____
<i>Comment:</i>	_____	_____	_____	_____
<b>Standard 2</b>	_____	_____	_____	_____
<i>Comment:</i>	_____	_____	_____	_____
<b>Standard 3</b>	_____	_____	_____	_____
<i>Comment:</i>	_____	_____	_____	_____
<b>Standard 4</b>	_____	_____	_____	_____
<i>Comment:</i>	_____	_____	_____	_____
<b>Standard 5</b>	_____	_____	_____	_____
<i>Comment:</i>	_____	_____	_____	_____
<b>Standard 6</b>	_____	_____	_____	_____

Comment: \_\_\_\_\_

**Standard 7** \_\_\_\_\_

Comment: \_\_\_\_\_

**CULTURE**

**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

\_\_\_\_\_  
\_\_\_\_\_

**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

\_\_\_\_\_  
\_\_\_\_\_

General assessment on culture standards as attached:

	<b>Exceeds job requirements</b>	<b>Meets job requirements</b>	<b>Room for improvement</b>	<b>Unsatisfactory</b>
<b>Standard 1</b>	_____			
<i>Comment:</i>	_____			
<b>Standard 2</b>	_____			
<i>Comment:</i>	_____			
<b>Standard 3</b>	_____			
<i>Comment:</i>	_____			
<b>Standard 4</b>	_____			
<i>Comment:</i>	_____			
<b>Standard 5</b>	_____			
<i>Comment:</i>	_____			
<b>Standard 6</b>	_____			
<i>Comment:</i>	_____			
<b>Standard 7</b>	_____			
<i>Comment:</i>	_____			
<b>Standard 8</b>	_____			
<i>Comment:</i>	_____			

## **PEDAGOGY**

### **Objective**

The principal will expand the performance appraisal process for teachers to all non teaching 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

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**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

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General assessment on pedagogy standards as attached:

	<b>Exceeds job requirements</b>	<b>Meets job requirements</b>	<b>Room for improvement</b>	<b>Unsatisfactory</b>
<b>Standard 1</b>	<hr/>			
<i>Comment:</i>	<hr/>			
<b>Standard 2</b>	<hr/>			
<i>Comment:</i>	<hr/>			
<b>Standard 3</b>	<hr/>			
<i>Comment:</i>	<hr/>			
<b>Standard 4</b>	<hr/>			
<i>Comment:</i>	<hr/>			
<b>Standard 5</b>	<hr/>			
<i>Comment:</i>	<hr/>			
<b>Standard 6</b>	<hr/>			
<i>Comment:</i>	<hr/>			

## PARTNERSHIPS AND NETWORKS

### Objective

The principal will provide to the board by [date] 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

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General assessment on partnerships and networks standards as attached:

	<b>Exceeds job requirements</b>	<b>Meets job requirements</b>	<b>Room for improvement</b>	<b>Unsatisfactory</b>
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**Standard 1** \_\_\_\_\_

*Comment:* \_\_\_\_\_

**Standard 2** \_\_\_\_\_

*Comment:* \_\_\_\_\_

**Standard 3** \_\_\_\_\_

*Comment:* \_\_\_\_\_

**Standard 4** \_\_\_\_\_

*Comment:* \_\_\_\_\_

**Standard 5** \_\_\_\_\_

*Comment:* \_\_\_\_\_

**General assessment on staff management standards as attached:**

<b>Exceeds job requirements</b>	<b>Meets job requirements</b>	<b>Room for improvement</b>	<b>Unsatisfactory</b>
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**Standard 1** \_\_\_\_\_

*Comment:* \_\_\_\_\_

**Standard 2** \_\_\_\_\_

*Comment:* \_\_\_\_\_

**Standard 3** \_\_\_\_\_

*Comment:* \_\_\_\_\_

**Standard 4** \_\_\_\_\_

*Comment:* \_\_\_\_\_

**Standard 5** \_\_\_\_\_

*Comment:* \_\_\_\_\_

**Standard 6** \_\_\_\_\_

*Comment:* \_\_\_\_\_

Dates for interim assessments

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_

Involvement of others in providing review 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

### **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.

### ***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.*

**NZSTA Note:** This wording reflects the contractual situation in 1999. All principals must now 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.

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