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FOREWORD

During April and May 1998, the Ministry of Education sought feedback on the Interim Professional Standards for Principals. This process enabled boards of trustees and principals to consider the content and the implications of the professional standards and to provide feedback on how the standards could be improved. Constructive comment highlighted areas that needed further clarification and guidance. These suggestions led to the development of this booklet.

The Ministry has worked closely with a number of principals and boards to develop this resource. We were keen to ensure the ideas were practical and had been used successfully. We also wanted the resource to include examples of different approaches from a range of schools.

Effective performance management requires clear communication and ensures the expectations of both boards and principals are clear and understood. It is also an opportunity to plan the changes that would really make a difference to the performance of the school and student achievement.

The leadership and management skills of the principal have a huge impact on whether a school is successful or not. Performance management enables boards to be specific about what they want from their principal and the priorities they want to emphasize most. It also encourages boards and principals to consider how the leadership and management skills of the principal can be further developed. These issues need to be discussed and agreed between the board and the principal.

Performance management is not new. Many schools have developed effective systems and this resource is based on the experiences of some of these schools. While the introduction of Professional Standards will be a new element for some schools, for others the standards merely reflect what has already been developed.

Clear direction and agreed priorities will ultimately lead to a stronger partnership between boards and principals and to improved learning outcomes for students.

Howard Fancy

Secretary for Education

PRINCIPAL PERFORMANCE MANAGEMENT

1. Introduction

This resource is to help boards of trustees and principals to establish effective systems for principal performance management, and incorporate the Professional Standards for Principals into their existing principal performance management systems.

The resource outlines the existing requirements for principal performance management and explains how the Professional Standards fit into these. It also draws together the experience and ideas of many schools who are already operating effective systems. This will prevent the need to “reinvent the wheel”, while ensuring the ideas are practical and relevant for schools.

The booklet describes principal performance management, why it is important, the requirements of boards and principals, and how these requirements can be met.

The appendices contain sample policy statements, job descriptions, objectives and indicators for the Professional Standards for primary, secondary and area school principals that have been drawn from a range of different types of schools.

The aim is to encourage boards, principals and schools to use principal performance management as an effective tool for ensuring consistent professional development, and to further the capabilities of the school in meeting the needs of its students.

My performance is critical to the success of the board, the school and the community. It is not just a matter of monitoring. It is also about getting clarity around expectations and a focus for my performance.

2. Importance of principal performance management

The principal's ability to organise people and resources to deliver high quality education to students directly impacts on the effectiveness of the school.

Research also shows that:

- principals who create stimulating learning environments and establish effective relationships with their wider communities develop schools that bring out the best in students, teachers, parents and caregivers
- teachers who see their principals as effective instructional leaders are more satisfied with their professional role.

The Government is introducing Professional Standards to enhance performance management systems already operating, in line with its strategy to develop and maintain the quality of teaching and leadership in New Zealand schools.

We believe that the principal is the single most important factor that impacts on the performance of the school. Therefore it's obvious that the appraisal of the principal is an important function of the board.

3. Legislative requirements

The State Sector Act 1988 requires boards to have personnel policies that contain provisions for the fair and proper treatment of employees in all aspects of their employment (Section 77A); and provides for the Secretary for Education to prescribe matters to be taken into account when assessing the performance of teachers¹ (Section 77C).

Several sections of the Education Act 1989 refer to the roles and responsibilities of boards and principals. Section 76 identifies the role of principals in relation to school boards of trustees. It states:

(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 to 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 section, has complete discretion to manage as the principal sees fit the school's day to day administration.**

Section 64 of the Education Act requires boards to:

take all reasonable steps (not inconsistent with any enactment, or the general law of New Zealand) to ensure that—

- (a) the school is managed, organised, conducted, and administered for the purposes set out or deemed to be contained in the charter; and**
- (b) the school, and its students and community, achieve the aims and objectives set out or deemed to be contained in the charter.**

Section 60A of the Education Act 1989 provides legal authority for the National Administration Guidelines (NAGs) which are part of the National Education Guidelines. Guideline 2 of the NAGs relates to personnel policies and performance management of staff, including the principal.

¹ The definition of a teacher includes principals.

The board's role

A board's role is to oversee the principal's management and control of the school so that all legal obligations are met. A board's obligations for employment contracts and principal performance management, as described in the NAGs, require boards to:

Develop and implement personnel and industrial policies, within policy and procedural frameworks set by the Government from time to time, that promote high levels of staff performance, use educational resources effectively, and recognise the needs of students.

Be a good employer as defined in section 77A of the State Sector Act 1988 and comply with the conditions contained in employment contracts applying to teaching and non-teaching staff.

More detail on NAG 2 can be found in part one of the Ministry of Education's 1997 publication *Governing and Managing New Zealand Schools* (pages 20-23).

Employment contracts and performance management systems

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. Boards are also required to ensure that each teacher and the principal participate in a performance appraisal at least once a year.

Generally, boards delegate responsibility for the performance management of staff directly to their principal.

All boards should have a policy on principal performance management as part of their personnel policies (see *Appendix 1* on pages 15-17 for examples).

All employment contracts for principals now also require performance agreements between principals and their employing board of trustees.

A description of a performance agreement is on page 6 of this booklet.

As the legal employer, boards must:

- develop an appropriate policy for the performance management of all staff
- ensure the policy is implemented
- regularly monitor and review the policy to ensure its effectiveness
- provide the necessary resources each year to maintain a performance management system, together with appropriate professional development.

PRINCIPAL PERFORMANCE MANAGEMENT

4. Principal performance management - a definition

Principal performance management formalises the relationship and accountabilities between principals and their boards, and links these to the annual planning and review cycle.

Although input may be required from other parties, it is essentially a joint process between principals and their boards of trustees to help them keep 'on track'.

The principal performance management cycle comprises a series of tasks which boards and principals work through together each year. These are to:

- clarify board expectations and develop the principal's performance agreement, which must include the Professional Standards for Principals
- ensure the performance objectives in the performance agreement are based on the strategic plan
- identify professional development objectives
- monitor the principal's performance and formally appraise performance against the requirements of the performance agreement at least annually
- ensure both principal and board receive feedback based on the performance appraisal.

Performance agreement

The performance agreement highlights the priorities for the principal's performance and professional development. It's drawn up between the principal and board each year, and is the basis for the principal's annual performance appraisal. A joint approach ensures the agreement reflects the aspects the school community wants to emphasise and leads to greater commitment on both sides to achieving the specified results.

Preamble to the performance agreement

A preamble to the performance agreement may include:

- a purpose statement setting out the broad aims of the agreement which may highlight special features of a school, for example it may be kura kaupapa Māori, a single sex school, or an integrated Catholic school
- the school's mission statement to highlight its overall aims
- a context statement which may describe, for example, the community and environment in which the school operates, the circumstances and manner in which the principal is expected to perform, and the delegations agreed to
- the period the agreement is to cover, and how and when it will be reported
- a dispute resolution process. Sample preambles to performance agreements are in *Appendix 2* on pages 18-19.

We rely on the principal to ensure the school is meeting parent and board expectations. The principal is the CEO and has the authority and autonomy to do the job, but their performance has to be measured.

Our school's special character must be one of the achievement areas in the performance agreement.

PRINCIPAL PERFORMANCE MANAGEMENT

Major elements of the performance agreement

A principal's performance agreement brings together four separate elements:

- Job description
- Professional Standards for Principals
- Performance objectives
- Development objectives.

4.1 Job description

Principals on individual employment contracts must have a job description. Many principals on the collective contract also have job descriptions. Examples are in *Appendix 3* on pages 20-24.

In some schools job descriptions are based on charter goals and objectives to emphasise local needs and priorities that are driving the strategic plan. Other schools group the principal's tasks according to the operational areas defined by the NAGs, or to recognised areas of professional expertise (as in the dimensions of the Professional Standards).

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

4.2 Professional Standards for Principals

The Professional Standards for Principals have been developed to:

- help schools clarify the knowledge, skills and attitudes all principals are expected to demonstrate
- improve the quality and outcome of principal performance management
- provide a framework for identifying the professional development needs of principals
- provide a means of linking performance management and decisions on remuneration.

The Professional Standards for Principals are grouped in six categories or professional dimensions:

- professional leadership
- strategic management
- staff management
- relationship management
- financial and asset management
- statutory and reporting requirements.

Both the Collective and Individual Employment Contracts for Principals require the Professional Standards for Principals to be incorporated in each principal's performance agreement. The Interim Professional Standards for Primary School Principals and the Revised Professional Standards for Secondary and Area School Principals are in *Appendix 4* on pages 25-28.

We think that the introduction of Professional Standards can change the dialogue and help people to be more specific. They will give boards another avenue for providing feedback to the principal.

Reviewing existing performance agreements

All schools need to check their performance agreements to see if they accurately reflect all the qualitative aspects of the Professional Standards and clearly state the knowledge, skills and attitudes the principal should demonstrate. Any standards not included should be written into the performance agreement.

Additional Professional Standards may be needed

Boards can also include additional standards to reflect the school's special character, in negotiation with the principal. For example, kura kaupapa Māori or integrated schools might use this provision to give fuller expression to their founding philosophy.

Assessing the Professional Standards

Some boards and principals may prefer to annually assess performance directly against the Professional Standards for Principals. Others may decide to develop "indicators" or "performance criteria" for the standards to help clarify what is being expected.

Indicators offer two advantages - they allow boards and principals to highlight the aspects of the professional standards the school most values in the principal's performance, and they reflect more effectively the practical context in which the principal operates.

PRINCIPAL PERFORMANCE MANAGEMENT

The number of indicators needed is entirely for boards and principals to determine. It may be as few as two or three for each dimension. Alternatively, some boards and principals may want to develop indicators for each professional standard.

Indicators can be drawn from the school's charter, strategic plan, and other components of the principal's performance agreement. Boards and principals may consult others for input or advice, for example:

- staff (in addition to the staff representative on the board)
- key members of the parent-teacher association
- parents with skills and experience in performance management or who could bring a particular perspective to the task
- a principal or board chair from a neighbouring school
- an adviser or a consultant from outside the school.

Sample indicators are suggested in *Appendix 5* on pages 29-36. These are based on contributions from principals and board chairs in a range of schools (including kura kaupapa Māori), the New Zealand School Trustees Association, the Association of Proprietors of Integrated Schools, and on issues raised in Education Review Office publications.

4.3 Performance Objectives

Performance objectives describe the results a principal is expected to achieve. They are set at the beginning of the principal performance management cycle and need to take into account the:

- mission statement, charter goals and objectives, particularly the priorities identified as part of the ongoing up-dating of the school's strategic plan
- tasks and responsibilities identified in the principal's job description
- Professional Standards for Principals.

Boards and principals should agree on the indicators that will be used in the appraisal to check the objectives have been met. The indicators should then be included in the performance agreement. Sample performance objectives are in *Appendix 6* on pages 37-39.

Effective performance management requires both boards and principals to be clear about the results that the principal is expected to achieve in leading the school and managing the quality of teaching and learning. The objectives should be achievable. Occasionally they may need to be re-negotiated, for example when circumstances or priorities change.

4.4 Development objectives

Development objectives focus on areas identified during the appraisal process where increasing the principal's knowledge and skills would be beneficial. All performance agreements should include at least one professional development objective each year to ensure that the principal continues to extend the knowledge and skills needed to provide effective leadership in the school.

Boards and principals may find it easier to identify professional development objectives for the next performance management cycle, after the performance appraisal for the previous year is completed. Examples of development objectives are in *Appendix 7* on page 40.

When the development objectives are agreed, the board needs to commit to providing any financial or other assistance to enable the principal to undertake suitable professional development to meet the objectives. At the same time the board and principal should agree on the expected outcomes.

When the components of a performance agreement are acceptable to the board and the principal, both parties should validate the agreement by signing and dating it. (Employment contracts for principals outline the processes that are to be used when the board and principal cannot agree on the content of the performance agreement.)

The link to the strategic plan is particularly important as this is what school development is all about. It's a particularly important link for the principal as this is one of the prime functions of the principal and it's what the board is looking for.

We always try to set challenging objectives. It's no use just writing down things you'll do anyway.

5. Performance appraisal

A principal's performance appraisal is based on the performance agreement signed at the beginning of the performance management cycle between the principal and the board of trustees. The process of monitoring and giving feedback needs to be ongoing throughout the year. The arrangement works best when principals and board chairs have regular contact, and an open style of communication based on high levels of trust and understanding.

The appraisal process usually draws on information from a wide range of sources, but the formal appraisal usually takes place between the principal and board chair to maintain confidentiality. Some boards appoint a small sub-committee to manage the task. At the beginning of each appraisal cycle, board chairs and principals need to decide the timeline, the kind of information they want to gather, and who they want to involve.

Each year the principal's performance is formally assessed against the:

- tasks and responsibilities identified in the principal's job description
- knowledge, skills and attitudes included in the Professional Standards for Principals
- performance objectives and related indicators or performance criteria identified during the performance management cycle
- development objective(s) and related indicators or criteria arising from the last performance management cycle.

Who has input?

A thorough and systematic performance appraisal needs to be based on more than one person's view. Boards however, vary in the range of people they ask to provide feedback on the principal's performance.

At the beginning of the appraisal process principals and boards need to agree who they will involve and what their contribution will be.

Options include:

- *Self-appraisal:* Principals may seek feedback from others as part of their self-appraisal before the final appraisal interview.
- *Peer appraisal:* Boards with teaching principals could, with the principal's agreement, invite a neighbouring school principal to monitor and appraise the teaching component.
- *Board:* Board members not directly involved in the appraisal

interview may comment to the board chairperson orally, or in writing. Alternatively, their comments may be given confidentially through a third party, such as a consultant.

- *Staff:* One or more of the following approaches are often used:

- the staff representative on the board of trustees gathers feedback from other staff, with the agreement of the principal
- a cross-section of staff provides feedback to the board
- a representative sample is selected (by age, seniority, syndicate, subject department, or support role)
- a random sample is selected

- people are chosen on the basis of their involvement in the issues included in the performance objectives.

- *Students:* A sample can be drawn by age, gender, ethnicity, sport, cultural involvement, or responsibility within the school.

- *Parents:* The board and principal need to agree beforehand which parent groups to approach, and who will collate and report on the information gathered.

- *Community:* People surveyed might include the local marae committee, leaders of church or ethnic groups, the community newspaper editor, professional staff in the Children and

Young Persons Service, the community constable, and others who have a special involvement with the school.

- *Neighbouring schools:* Principals of neighbouring primary and secondary schools are sometimes asked to comment on the principal's performance.

Performance management provides the board with the opportunity to know the principal's needs and to help the principal address these. The future of 600 children depends on this. It's the board's chance to say you're doing a good job, and for the principal to identify where support is needed to ensure that the needs of children and teachers are met.

The principal shares the performance agreement with all staff, and seeks feedback from staff as part of the self-review.

PRINCIPAL PERFORMANCE MANAGEMENT

It is important to ensure that people who are approached for comment are clear about what aspects of the principal's performance they are being invited to assess. Any comments provided should be objective and given in confidence.

Other sources that could also provide information for the appraisal include:

- monthly board reports
- a report prepared by the principal for the appraisal interview
- newsletters
- prospectus
- staff handbook
- outline of management structure
- Quality Management Systems document prepared for NZQA accreditation (this applies only to area and secondary schools)
- ERO reports
- records of truancy, and suspension or disciplinary procedures
- records of music, drama and other cultural activities, student visits, and visitors to the school
- educational plans for students at risk, and associated welfare networks
- reports of any research undertaken in the school
- outcomes of the principal's professional development activities.

A working relationship

Information for the principal's annual performance appraisal is usually collected throughout the year. Schools vary in when they hold the formal appraisal - some schedule it at the end of the year, others use a different annual cycle. Also, some schools organise the formal appraisal as a single meeting, where others prefer a series of interim appraisals to avoid trying to cover too much at one time.

Most board chairs and principals are in regular contact by telephone or meeting informally to keep up with current issues and events. Boards often check during the year that specific goals and objectives are being completed to agreed deadlines.

Board chairs and principals need to have enough uninterrupted time for the appraisal interview to be sure they complete the task without having to rush. A comfortable place also helps both to feel at ease.

Scope and content of the appraisal

Before the formal performance appraisal begins the principal and board chair need to establish which aspects of the performance agreement to cover in broad terms and those that need more time.

Also it is important to have a balance between quantitative aspects (and therefore the more readily measured) and the more qualitative aspects of a principal's performance.

Role of consultants

From 1 October 1998, the Government provided an additional annual sum of \$845 (GST inclusive) in schools' Operations Grants to assist boards with principal performance management.

A board might decide to use this funding to employ an outside consultant for any of the following:

- training the board for their role in principal performance management
- helping the board develop or refine the principal's performance agreement
- assisting with the principal's performance appraisal (although the overall responsibility remains with the board)
- helping the board identify professional development opportunities for the principal
- providing one-to-one management training for the principal.

We have our appraisal discussion towards the end of the year. The board chair writes a commentary on each of the performance areas. We don't smooth things over. We never say this is good enough for now. We always say that by our own standards we can do better.

I present material for this like I would for an ERO review. I include minutes, departmental reports, strategic planning documents, internal organisation matters, committee reports and newsletters.

To keep the cost of these services down schools:

- first define clearly how best to use any outside help
- seek feedback from other boards and principals about the suitability of people who might assist
- ask advice from someone who is familiar with the process, and has a knowledge of their community
- check out consultants' range of work and experience
- brief any consultant carefully, and discuss this with them before finalising any arrangement
- write out the task, an agreed timeline, and the fee to be paid when the task is complete.

Because we have good communication, when it comes to appraisal there's nothing new. When we sit down to do the appraisal there is common knowledge about what has happened. We also know what things we need to carry over to next year. We shouldn't be scared of this.

Both the principal and the board have a consultative process that leads up to the appraisal where we get input from a number of people on different aspects of the principal's performance.

Is training helpful?

Boards and principals should gather information about the training options they can access locally, and decide how and when training would be most helpful.

6. Following up the appraisal

After each performance appraisal both the principal and board need feedback from the board chair, based on the performance agreement.

Generally, the board chair gives the principal an overview of the information gathered for the appraisal, and summarises the key points. A report is written on the outcome of the appraisal process and the principal needs to be provided with opportunities to respond to it. Any necessary amendments are made and the principal and board chair then sign and date the report.

In reporting back to the board, the board chair should describe how the appraisal was carried out, and summarise the points agreed to by both parties. Any discussion should be in committee, and should focus on the processes used and the extent to which the principal met the requirements in the performance agreement.

Boards intending to link the principal's remuneration for the coming year to the principal's performance need to make their decision based on the board's pay policy and the results of the performance review, together with any other considerations agreed with the principal beforehand. (See *Section 7- Principal Remuneration and Performance Management* for more information.)

The board and principal need to review the performance agreements after each formal appraisal. Before signing a new

Last year, one of my performance objectives wasn't met, but the good thing was that this was noted in the appraisal report, together with the reasons why it wasn't met. I think this acknowledgement is part of ensuring the appraisal process is transparent and credible.

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performance agreement for the next performance management cycle, board and principal need to jointly:

- confirm or change the job description
- set new performance objectives
- set new development objectives
- confirm or change the relevant performance indicators.

We've already had a very successful experience with an educational consultant to appraise the principal. All three of us sit down together and decide how the principal is to be appraised. Nine months later we sit down again, and all three of us take part. It works very well. I wouldn't do it on my own.

7. Principal remuneration & performance management

Boards with principals on Individual Employment Contracts are required to have a pay policy as one of the conditions for accessing the Supplementary Grant.

Pay policies need to be reviewed and agreed on with the principal at the start of each appraisal cycle in case of any change in circumstance. If a new principal is appointed, the policy needs to be reviewed at the time of the appointment.

A pay policy should set out:

- the factors the board will take into account in making decisions on the use of the Supplementary Grant
- the emphasis each factor should be given
- when the principal's pay will be reviewed.

What determines a principal's base pay?

Base salary rates for principals are now calculated from the roll of each school - across the school sector.

The Supplementary Grant and how it can be used

The Supplementary Grant is available to all secondary and area school boards and to some primary school boards. It is also roll-based. From 1 February 2000 a decile weighting will be added to the Supplementary Grant for decile 1-4 schools.

The boards of primary schools can access the Supplementary Grant if the principal has signed the new fixed term Individual Employment Contract, and the board has attested that they have developed a pay policy for principal remuneration, and have met all previous requirements related to performance management.

The Supplementary Grant is paid quarterly through the Operations Grant.

Boards have full discretion over whether they use this Grant as a bonus payment for the principal, to fund the professional development of the principal, or direct all or part of it to other management purposes. It cannot be used to pay any other teacher.

8. Additional sources of information

The following resources, already in schools contain information relevant to performance management.

Ministry of Education Circulars:

- 1998/32 Revised Professional Standards for Secondary and Area School Principals 10 July 1998.
- 1998/31 Interim Professional Standards for Primary School Principals 10 July 1998.
- 1998/21 Principals Individual Contracts 11 June 1998.
- 1998/16 Secondary Principal's Individual Employment Contract (IEC) Remunerations Framework and Employment Contract Arrangements 7 May 1998.
- 1998/14 Primary Principal's Individual Employment Contract (IEC) Remunerations Framework and Employment Contract Arrangements 5 May 1998.

Ministry of Education, *Governing and Managing New Zealand Schools*, 1997.

Education Review Office, *The Professional Leadership of Secondary School Principals*, number 4, winter 1997.

Education Review Office, *Professional Leadership in Primary Schools*, number 7, winter 1996.

Education Review Office, *Core Competencies of School Principals*, number 6, winter 1995.

Teacher Registration Board, *Handbook: The Registration of Teachers in Aotearoa New Zealand*, 1997.

The appendices that follow contain components of principals' performance agreements that have been contributed by a number of schools. Boards and principals may wish to use these examples when considering how to develop or modify their own performance agreements. This material is provided for guidance only.

APPENDIX 1: SAMPLE BOARD POLICY STATEMENTS

Sample board policy statement: principal's performance management policy

Rationale

1. The principal is the chief executive of the school and is consequently responsible for overall leadership and management. In turn, the board of trustees as employer, has an obligation to conduct an appraisal programme for both the formative (professional development) and summative (performance management) procedures.

Purpose

2. To provide clear guidelines for principal appraisal that:
- Recognise the need for the principal and board to work closely in developing the principal's performance agreement and appraisal process
 - Ensure that expectations and requirements fit within the parameters of the principal's Individual Employment Contract (IEC)
 - Recognise that Professional Standards as specified, are integral to the appraisal process.

Guidelines

3. The basis for the annual appraisal is the principal's performance agreement in which key components are:
- Individual Employment Contract (IEC): from 1 July 1998 both the principal and the board of trustees will operate under the conditions of the IEC as promulgated on 5 May 1998 by the Secretary for Education.
 - Job description: performance expectations will be summarised and documented in the principal's job description that sets out key tasks and expected outcomes. Appraisal associated with the job description will be conducted annually in May/June.
 - Professional standards: as of 1 July 1998 the Professional Standards for Principals as promulgated by the Ministry of Education will become a vital component in the annual (May/June) determination of performance. Essentially these will measure important knowledge, skills and attitudes that all principals should be able to demonstrate, with respect to Professional Leadership, Staff Management, Financial and Asset Management, Strategic Management, Relationship Management and Statutory Reporting Requirements.

4. The annual appraisal of the principal relating to the IEC, job description and Professional Standards will consider achievement against both performance objectives relating to school initiatives for which the principal is responsible, and current development objectives relating to the professional development activities being undertaken by the principal to improve personal performance.

Note that as a natural consequence, future performance and development objectives will be identified, negotiated, listed and set for the following 12 months.

5. General operating mechanisms inherent in the management of the principal's performance are:
- The board shall ensure that all legal and contractual requirements relevant to this policy are met, and that the annual budget will set aside appropriate provision to enable the process to be satisfactorily conducted.
 - The board chairperson is directly responsible for developing performance expectations and ensuring the various appraisal requirements for the principal meet legal requirements. It is anticipated that the staff will be included in this process.
 - Should the board, through the chairperson, determine to use the services of an independent appraiser, the principal will be consulted as to the final selection.

APPENDIX 1: SAMPLE BOARD POLICY STATEMENTS

- d) The board chairperson, in consultation with the principal, shall prepare a written appraisal report detailing the conclusions of the appraisal review. This report will be tabled and discussed “in committee” at a board meeting. Any documentation related to the annual Performance Agreement and appraisal remain confidential to the principal and the board.
- e) In the event of a dispute related to the appraisal process or its results, an independent arbitrator agreed to by all parties would be called upon to mediate. In such an event, the principle of natural justice will apply. Ultimately the board will have responsibility for any final decision.

Conclusion

- 6. Clear guidelines regarding appraisal will allow aspects of governance and management to operate positively and with respect to the principal’s performance will provide feedback, identify focus areas for attention, affirm success and support professional development.

Approved: _____ Date: _____

Reviewed: _____ Date: _____

APPENDIX 1: SAMPLE BOARD POLICY STATEMENTS

Sample board policy statement: performance appraisal of the principal

Rationale

1. It is a contractual obligation to appraise the principal's performance on an annual basis.

Purposes

2. To provide feed back for both the principal and the board on a regular basis.
3. To ensure that the job of management of the school on a day to day basis is being carried out in accordance with the board's requirements.

Guidelines

4. The principal will have a job description and an annual performance agreement which together will form the basis of the appraisal.
5. The principal's appraisal will be carried out by the chair of the board, or a mutually acceptable alternate as agreed by the principal and the board.
6. An interim formative appraisal may take place during the year as agreed at the beginning of the year and a summative appraisal at the conclusion of the year.
7. Performance will be appraised in the form of mutually negotiated goals and procedures. A person should be agreed upon to mediate/arbitrate on any disagreements or disputes between the principal and the appraiser. The previous issues should be established between the appraisee and appraiser at the commencement of each year.
8. The board will provide the principal with opportunities to be involved in professional development in both curriculum and administration management.
9. The principal can expect that fees and related expenses for approved courses of professional development will be paid for by the board.
10. All appraisals are confidential between the principal and the chair.
11. The annual appraisal may be used for salary discussions based on an agreed statement to the board from the principal and the appraiser (whoever that may be). The board will conduct the salary discussion in committee with the principal, non-board members and employees absent from the meeting.

Conclusion

12. The appraisal process with the principal is a tool to enhance his/her professional development.

Formulated by:

Reviewed: _____ Date: _____

APPENDIX 2: SAMPLE PREAMBLES TO PERFORMANCE AGREEMENTS

Sample preamble to performance agreement (1)

School Vision

To offer a secure, caring, learning environment where the unique potential of each pupil is developed and where the appropriate life skills are provided through competent teaching and effective community support.

Purpose of Position

The principal is the professional and administrative head of the school. His/her role is to lead and manage the school in the achievement of its vision and mission in a manner consistent with the school charter, strategic plan, board policies, and statutory and regulatory requirements.

Delegation of Authority

The board delegates to the principal *all* of the day to day responsibilities for the management of the school. He/she has the full authority of the board, and in law, to manage the day to day administration of the school as he/she thinks fit, consistent with the board's general policy directions.

The principal is also a member of the board by virtue of the position and is generally responsible for advising the board with respect to the development of policies and implementing approved board policies.

He/she is appointed by the board on an agreed employment contract and is directly responsible to the board for the overall performance of his/her responsibilities.

The board uses policies and the position description to indicate how it wishes the principal to meet board obligations. The principal provides evidence to the board, on a planned basis, about the extent to which policy and performance objectives have been met and guidelines followed. The performance agreement provides a mechanism for independent assessment of this information and an opportunity to recognise performance in terms of the board's obligation as an employer.

The performance agreement is negotiated annually.

APPENDIX 2: SAMPLE PREAMBLES TO PERFORMANCE AGREEMENTS

Sample preamble to performance agreement (2)

Purpose of Performance Agreement

The purpose of this document is to assist in determining whether the objectives of the principal's position, as agreed between the principal and the board of trustees (BOT), have been achieved. These objectives are to be consistent with the school's charter mission statement.

School Mission Statement

As a school with a commitment to quality we will provide a learning climate that will enable every child to develop intellectually, emotionally, socially, aesthetically, morally and physically.

Expansion

These key responsibilities will be expanded in the principal's job description.

Reporting

The principal and the board chairperson or the appraiser(s) for this period will meet regularly to discuss progress made in meeting the objectives in this performance agreement as expanded in the job description.

At the end of the period for which the performance agreement applies, a report on achievements will be written and presented to the principal. A copy will be presented by the Chairperson to the board of trustees.

Term of Agreement

The term of the agreement shall be for one year, commencing 1 December 1997 after which time the agreement will be reviewed to take account of new objectives as agreed between the BOT and the principal.

This performance agreement was made between:

Chairperson: _____ Principal: _____

Board of Trustees

Date: _____

APPENDIX 3: SAMPLE JOB DESCRIPTIONS

Sample job description (1)

Job Description	Principal
Responsible To Responsible For	<p>The chairperson of the board of trustees</p> <p>The overall management and professional leadership of the school, for the implementation of policies and programmes, direction and supervision of all staff including administrative and all other non-teaching personnel.</p> <p>The principal directs the day to day operations of the school, taking direction from the school's charter, its policies, and the board of trustees. The principal is a board member in his/her own right and at the same time in the role of the school manager, fulfils a position as a consultant to the board and its committees.</p>

The principal is a full member of the board of trustees, sharing with other trustees collective responsibility for the governance of the school, including the preparation of the annual budget and the development of school policy.

The principal is, as well, employed by and responsible to the board of trustees for the effective operation of the school. The principal's management role involves four main areas of responsibility: The educational success of the school, the professional performance and development of its staff, the day to day administration of school life, and effective communication between all members of the school's community.

In each of these areas, the principal will implement approved school policies and procedures.

The principal's management responsibilities will be negotiated each year with the board of trustees and will be expressed in a performance agreement describing specific goals for the year ahead. These responsibilities may, however, be stated generally as follows.

In the role of the *educational leader*, the principal will lead teaching staff in the planning, implementation, and evaluation of educational programmes designed to deliver national and local curriculum goals. The principal will ensure that these programmes contribute to a coherent, balanced, equitable programme that reflects established school priorities.

The principal will also ensure that programmes are adapted to the specific learning needs of individual children and will enlist the assistance of specialist agencies if necessary. Student progress in all programmes will be monitored and recorded.

As a *professional leader*, the principal will assist in the employment of competent staff in all areas of the school, through the implementation of the school's personnel policies. The principal has responsibility for ongoing staff appraisal, for the professional development of staff through an approved training programme, and for staff discipline as specified in the appropriate contracts and school policies.

In the role of *administrator*, the principal will oversee all aspects of school organisation, will undertake day to day financial management, will supply such information as may be required by the Ministry of Education and other educational agencies, will give personnel, salary and leave information to School Support Ltd, will ensure that all school rules and regulations are adhered to, and will undertake the routine supervision of cleaning and grounds staff to ensure that the school environment is clean and safe.

As a *communicator*, the principal will report regularly to the board of trustees on management issues and on the attainment of charter goals. The principal will liaise with the chairperson and other board members at all times over matters of mutual interest or concern.

The principal will provide professional advice to the board, and will endeavour to facilitate a harmonious working relationship between the board and school staff.

APPENDIX 3: SAMPLE JOB DESCRIPTIONS

It is the principal's role to brief staff on all aspects of school governance and management, to ensure that effective communication networks operate within the school, to foster positive staff relationships, and to provide staff with the opportunity to participate in decision-making within the school.

The principal will endeavour to develop a climate of trust and co-operation between the school and the community it serves. The principal will encourage and facilitate parental involvement in the school. It is the principal's responsibility to report regularly to parents on their children's progress at school, and to the community at large on the school's progress towards the achievement of charter goals.

APPENDIX 3: SAMPLE JOB DESCRIPTIONS

Sample job description¹ (2)

Key Task 1: Lead, Co-ordinate and Facilitate the Learning Community

Establish and maintain a school where learning is highly valued by all members of the school community.

Key Objectives	Results Expected
Ensure that learning is the central focus of the school	Staff seek learning success for students. All members of staff continue to learn new skills, new approaches, and widen their curriculum knowledge. Board of trustees and parents will be involved in learning.
Design and plan programme evaluations	Cumulative records demonstrate effective programmes through growing student mastery.
Set achievable staff development objectives	Each staff member has a job description and a performance agreement. Development objectives are included in each member's performance agreement.
Facilitate Quality Learning Circles	Staff work collaboratively and develop in expertise through creative use of the 'variety pool'.

Key Task 2: Manage and Develop the School Culture

Developing a school culture where learning is paramount, and all individuals are encouraged, respected and challenged intellectually, physically and socially.

Key Objectives	Results Expected
Develop a school where students feel safe, relaxed and committed.	A progression of school development focus from classroom routines to mastery learning will take place throughout the year.
Maintain a school where praise and positive reinforcement predominate	All students and staff experience success.
Ensure that the school is an orderly place, where equipment/resources and facilities are well managed and valued.	The school community takes a real pride in the school and its environment.
Recognise individual differences and provide a variety of teaching and learning modes and groupings.	Staff and students given opportunities to work in remedial and enrichment programmes.
Provide a procedure for resolving misunderstandings and/or disputes.	Distractions to learning kept to a minimum and disputes resolved through the Behaviour Management Plan.

¹ Adapted from a model proposed by Prebble and Stewart, Massey University.

APPENDIX 3: SAMPLE JOB DESCRIPTIONS

Key Task 3: Take Responsibility for School Communication Networks

Act as a facilitator, interpreter and network manager to ensure that the communication system allows all members of the school community to 'know what is happening'.

Key Objectives	Results Expected
<p>Ensure that the communications network is effective and efficient.</p> <p>Confirm that information is exchanged smoothly across the school/community boundary.</p> <p>Ensure that the board of trustees will have access to the appropriate communication networks.</p> <p>Be active in ensuring that the core culture is reflected through the communication links.</p> <p>Celebrate difference by affirming creativity and lateral thinking.</p>	<p>Appropriate knowledge freely available to those who need it. Two way communication acknowledged to work without impediment.</p> <p>Periodic monitoring of the quality and quantity of information at this intersection made.</p> <p>The board of trustees 'know what is happening' within the school and have appropriate access to influence the core culture.</p> <p>The agreed beliefs, shared understandings and philosophical base of the school community are reflected in the life of the school.</p> <p>Through the Quality Learning Circles mechanism teachers are encouraged to go beyond current practice and 'try out' ideas.</p>

Key Task 4: Play a Figurehead Role in Representing the School

Represent and act for the school as the school community leader.

Key Objectives	Results Expected
<p>Be the identifiable leader of the school community.</p> <p>Speak and act on behalf of the school.</p> <p>Ensure that the core culture of the school is at the hub of school activities.</p> <p>Bring to the school knowledge, ideas and examples from other educational organisations.</p> <p>Vigorously promote the school as an effective educational institution.</p>	<p>Members of the wider community associate the principal with the school in a positive manner.</p> <p>The principal has the confidence and support of staff, board of trustees, students and parents.</p> <p>Affairs of the school will be drawn through the school culture. Commitment to the core culture by the members of the school community allows considerable professional discretion to be exercised by teachers.</p> <p>Ideas from other educational organisations and from literature represented back to the school by the principal.</p> <p>The principal spearheads the initiatives to promote the school within the wider community.</p>

APPENDIX 3: SAMPLE JOB DESCRIPTIONS

Key Task 5: Personal Professional Development

Maintaining an understanding of developing trends in education, keeping up to date in school leadership and curriculum development and participating in principal development activities.

Key Objectives	Results Expected
Read a variety of educational articles and journals	Incorporate new ideas into leadership style
Take part in principal and leadership development activities	Discuss, examine, and modify present leadership and administrative practices
Share ideas and practices with colleagues	Take an active part in school and intra-school meetings and discussions
Be involved in visiting other schools and being visited by colleagues	Be able and prepared to articulate the school philosophy
Take an active part in Quality Learning Circles	Facilitate and be aware of all school improvement efforts

Key Task 6: Carry Out a School Management Role

To ensure that the school is managed in accordance with the school policies.

Key Objectives	Results Expected
Manage the school budget	Handle day to day financial processes efficiently Monitor internal controls Involvement in fundraising, budget preparation and financial audits
Manage the school property	Oversee day to day maintenance Liaise regularly with the board of trustee property person. Attend property subcommittee meeting Liaise with Ministry of Education property staff
Manage the school personnel	Comply with all EEO requirements Implement the board of trustee's obligation to be a good employer Carry out all appraisals as per the relevant policies
Manage the school administration	Comply with all Ministry of Education and board of trustee policies and guidelines Ensure the school office provides effective administration

APPENDIX 4: INTERIM PROFESSIONAL STANDARDS FOR PRIMARY SCHOOL PRINCIPALS AND REVISED
PROFESSIONAL STANDARDS FOR SECONDARY AND AREA SCHOOL PRINCIPALS

Interim Professional Standards for Primary School Principals

<i>Dimension</i>	<i>Standards</i>
Professional leadership	<ul style="list-style-type: none"> • demonstrates a thorough understanding of current approaches to effective teaching and learning across the curriculum • provides professional direction to the work of others by encouraging vision and innovation in classroom practice and school organisation • analyses and makes effective, timely responses to school self-review, external audits, and outcomes of student learning • understands, and applies where appropriate, current practices for effective management from both within and beyond education • fulfils the role of chief executive to the board as outlined in the performance agreement • reflects on own performance appraisal and demonstrates a commitment to own ongoing learning in order to improve performance
Strategic management	<ul style="list-style-type: none"> • understands the implications of New Zealand’s changing cultural, social and economic context and ensures that these changes are reflected in the school’s strategic planning • actively works towards the development of a shared vision for the future of the school, which identifies priorities and targets for: <ul style="list-style-type: none"> - addressing barriers to learning - fostering high achievement of students - employing teachers of the highest quality available - focusing the school on continued improvement • makes progress towards achieving the vision through the effective management of available resources

**APPENDIX 4: INTERIM PROFESSIONAL STANDARDS FOR PRIMARY SCHOOL PRINCIPALS AND REVISED
PROFESSIONAL STANDARDS FOR SECONDARY AND AREA SCHOOL PRINCIPALS**

<i>Dimension</i>	<i>Standards</i>
Staff management	<ul style="list-style-type: none"> • staffs the school to support effective delivery of the curriculum, the implementation of the charter and improved learning outcomes for students • 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 • motivates and supports staff to improve the quality of teaching and learning
Relationship management	<ul style="list-style-type: none"> • fosters relationships between the school and its community • demonstrates an understanding of, and is responsive to, the diverse concerns and needs of students, parents, staff, board, community, government and non-government agencies • communicates effectively both orally and in writing to a range of audiences • manages conflict effectively and actively works to achieve solutions • represents the school and acts to achieve its objectives
Financial and asset management	<ul style="list-style-type: none"> • effectively and efficiently uses available financial resources and assets to support improved student learning outcomes • operates an effective budget planning system and works within available resources • 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	<ul style="list-style-type: none"> • complies with all relevant statutes and regulations, and with monitoring and reporting requirements

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

APPENDIX 4: INTERIM PROFESSIONAL STANDARDS FOR PRIMARY SCHOOL PRINCIPALS AND REVISED
PROFESSIONAL STANDARDS FOR SECONDARY AND AREA SCHOOL PRINCIPALS

Revised Professional Standards for Secondary and Area School Principals

<i>Dimension</i>	<i>Standards</i>
Professional leadership	<ul style="list-style-type: none"> • demonstrates a thorough understanding of current approaches to effective teaching and learning • provides professional direction to the work of others by encouraging vision and innovation in classroom practice and school organisation • analyses and makes effective, timely responses to school self-review, external audits, and outcomes of student learning • understands, and applies where appropriate, current practices for effective management from both within and beyond education • fulfils the role of chief executive to the board of trustees as outlined in the performance agreement • reflects on own performance appraisal and demonstrates a commitment to own ongoing learning in order to improve performance
Strategic management	<ul style="list-style-type: none"> • understands the implications of the changing cultural, social and economic context of the school's community and ensures that these changes are reflected in the school's strategic planning • 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: <ul style="list-style-type: none"> - addressing barriers to learning - fostering high achievement of students - employing teachers of the highest quality available - focusing the school on continued improvement • makes progress towards achieving the vision through the effective management of available resources

**APPENDIX 4: INTERIM PROFESSIONAL STANDARDS FOR PRIMARY SCHOOL PRINCIPALS AND REVISED
PROFESSIONAL STANDARDS FOR SECONDARY AND AREA SCHOOL PRINCIPALS**

<i>Dimension</i>	<i>Standards</i>
Staff management	<ul style="list-style-type: none"> • 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 • 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 • motivates and supports staff to improve the quality of teaching and learning
Relationship management	<ul style="list-style-type: none"> • fosters relationships between the school and its community • creates a teaching and learning environment that is perceived as safe and supportive by students, teachers, parents, board of trustees and the community • 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 • communicates effectively both orally and in writing to a range of audiences • manages conflict effectively and works to achieve solutions • represents the school and acts to achieve its objectives
Financial and asset management	<ul style="list-style-type: none"> • effectively and efficiently uses available financial resources and assets to support improved student learning outcomes • manages an effective budget planning system, in association with the board of trustees, and works within available resources • 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	<ul style="list-style-type: none"> • works with the board to ensure compliance with all relevant statutes and regulations, and with monitoring and reporting requirements

Note: Principals with teaching responsibilities would also need to meet the requirements of the Interim Professional Standards for Teachers.

APPENDIX 5: SAMPLE INDICATORS: PROFESSIONAL STANDARDS FOR PRINCIPALS

These are *examples only*. They provide examples of issues that might be covered by each of the Professional Standards. Some indicators may also relate to more than one professional standard. Schools may choose to use some of these indicators, but all schools need to consider what indicators, if any, are appropriate within the context of their school.

<i>Dimension</i>	<i>Professional standard</i>	<i>Sample indicators</i>
Professional leadership	<ul style="list-style-type: none"> • demonstrates a thorough understanding of current approaches to effective teaching and learning across the curriculum (Primary School Principals) • demonstrates a thorough understanding of current approaches to effective teaching and learning (Secondary and Area School Principals) 	<ul style="list-style-type: none"> • demonstrates a thorough understanding of current policies and practices in curriculum and assessment • demonstrates a thorough understanding of curriculum requirements, achievement objectives and external examination requirements • demonstrates an understanding of the effects of ethnicity and gender on approaches to teaching and learning • keeps up to date with theories and practices in teaching and learning • ensures that Te Aho Matua is integrated into classroom planning • ensures high quality te reo Māori in teaching programmes • is recognised as a curriculum leader by staff • ensures that the planning and implementation of curriculum programmes is evaluated • ensures that teachers review their programmes and keep them up to date
	<ul style="list-style-type: none"> • provides professional direction to the work of others by encouraging vision and innovation in classroom practice and school organisation 	<ul style="list-style-type: none"> • articulates a coherent philosophy of education • acts as a role model for staff • sets clear expectations for others • brings ideas from literature and practice to staff for discussion • encourages staff to develop, implement and evaluate high quality innovations • contributes to professional debates both within and beyond the school • encourages vision and innovation to advance the special character of the school • provides opportunities for Māori pedagogy to be developed

APPENDIX 5: SAMPLE INDICATORS: PROFESSIONAL STANDARDS FOR PRINCIPALS

	<ul style="list-style-type: none"> analyses and makes effective, timely responses to school self-review, external audits, and outcomes of student learning 	<ul style="list-style-type: none"> has well developed skills in data collection, analysis, management and reporting considers alternative approaches to solving problems establishes and implements processes for regular school self-review ensures that sound processes are in place to monitor & record outcomes of student learning reflects on outcomes of student learning and implements strategies for improvement makes effective and timely responses to external audits
	<ul style="list-style-type: none"> understands and applies, where appropriate, current practices for effective management from both within & beyond education 	<ul style="list-style-type: none"> effectively administers the day to day running of the school establishes, implements, and maintains effective and efficient management systems keeps up to date with current management processes through professional reading & training actively seeks out and implements best practice systems for management and leadership manages time well makes difficult decisions after careful consideration adapts to changing circumstances focuses on moving the school forward prioritises tasks meets deadlines
	<ul style="list-style-type: none"> fulfils the role of chief executive to the board of trustees as outlined in the performance agreement 	<ul style="list-style-type: none"> ensures that the board has access to information it requires keeps in close communication with board chair actively participates in policy development processes implements policy approved by the board follows guidance on the school's special character responsibilities from proprietors and their agents
	<ul style="list-style-type: none"> reflects on own performance appraisal and demonstrates a commitment to own ongoing learning in order to improve performance 	<ul style="list-style-type: none"> undertakes self-appraisal against the performance agreement identifies own strengths and weaknesses actively seeks opportunities to improve knowledge and skills builds networks with a range of organisations to enhance own learning maintains active membership of professional organisations

APPENDIX 5: SAMPLE INDICATORS: PROFESSIONAL STANDARDS FOR PRINCIPALS

<p>Strategic management</p>	<ul style="list-style-type: none"> • understands the implications of New Zealand’s changing cultural, social & economic context and ensures that these changes are reflected in the school’s strategic planning (Primary School Principals) • understands the implications of the changing cultural, social and economic context of the school’s community and ensures that these changes are reflected in the school’s strategic planning (Secondary and Area School Principals) 	<ul style="list-style-type: none"> • keeps up to date with issues that could impact on the work of the school • ensures that systems are in place to monitor and respond to demographic changes affecting the school roll • considers ways in which New Zealand/the school needs to adapt to reflect cultural, social and economic changes • demonstrates an understanding of the implications of the Treaty of Waitangi and te reo me ōna tikanga • recognises and responds to the needs and aspirations of Māori • recognises and responds to the needs and aspirations of students and parents from Pacific Islands and other ethnic groups • works with the board to produce a strategic plan • ensures that the strategic plan reflects the special character of the school • works to ensure that the strategic plan is updated regularly to take account of changing circumstances
	<ul style="list-style-type: none"> • actively works towards the development of a shared vision for the future of the school, which identifies priorities and targets for: <ul style="list-style-type: none"> - addressing barriers to learning - fostering high achievement of students - employing teachers of the highest quality available - focusing the school on continued improvement (Primary School Principals) • actively works with the board towards the development of a shared vision for the future of the school, which identifies priorities and targets for: <ul style="list-style-type: none"> - addressing barriers to learning - fostering high achievement of students - employing teachers of the highest quality available - focusing the school on continued improvement (Secondary and Area School Principals) 	<ul style="list-style-type: none"> • provides opportunities for different groups in the school community to articulate their vision for the school • analyses barriers to student learning, takes effective action and monitors results • considers the effects on educational achievement of factors such as gender, ethnicity and socio-economic status and ensures that effective policies and programmes are designed to address these • demonstrates an understanding of productive approaches to school improvement • ensures the provision of quality learning opportunities for students with special educational needs • encourages high achievement in academic, cultural and sporting activities • ensures that priorities are based on sound analysis • works with the board to set challenging targets in the school’s strategic plan • ensures that staff understand and value the special character of the school • supports a school ethos that sets high expectations for student achievement

APPENDIX 5: SAMPLE INDICATORS: PROFESSIONAL STANDARDS FOR PRINCIPALS

<p>Staff management</p>	<ul style="list-style-type: none"> • staffs the school to support effective delivery of the curriculum, the implementation of the charter and improved learning outcomes for students (Primary School Principals) • manages the staff of the school to support effective delivery of the curriculum, the implementation of the charter and improved learning outcomes for students (Secondary and Area School Principals) 	<ul style="list-style-type: none"> • ensures that staffing reflects school priorities • ensures appropriate staffing for special projects • uses the strengths of teachers, managers and ancillary staff to greatest effect • ensures that clear delegations of responsibility are made to staff • works effectively with other members of the senior management team • looks for ways to reduce teacher workload through the effective use of ancillary staff • keeps the board informed on the quality of the school’s teaching
	<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • ensures that recruitment and appointment processes are consistent with the State Sector Act and reflect the school’s EEO policies • ensures that performance management systems are in place for all staff • ensures that all staff have opportunities to access professional development • ensures that beginning teachers have access to advice and guidance programmes • actively seeks high quality teaching staff to join the school • encourages staff to seek opportunities for professional growth • encourages staff to work collaboratively • monitors staff turnover and implements effective strategies to retain high quality staff • promptly addresses staff performance issues • ensures that dispute resolution processes are in place
	<ul style="list-style-type: none"> • motivates and supports staff to improve the quality of teaching and learning 	<ul style="list-style-type: none"> • works to ensure that staff feel motivated, valued, and positive about the direction of the school • encourages and provides opportunities for staff to reflect on their practices • encourages staff to learn effective teaching and learning practices from each other

APPENDIX 5: SAMPLE INDICATORS: PROFESSIONAL STANDARDS FOR PRINCIPALS

<p>Relationship management</p>	<ul style="list-style-type: none"> fosters relationships between the school and its community 	<ul style="list-style-type: none"> invites dialogue and seeks feedback engages in productive interactions with neighbouring schools ensures that parents/whanau have opportunities to be involved in their children's learning provides opportunities for community involvement in the life of the school build relationships with other community leaders encourages whanau to use the kura for ongoing training encourages diverse communities to use the school's facilities, within school policies
	<ul style="list-style-type: none"> creates a teaching & learning environment that is perceived as safe and supportive by students, teachers, parents, board of trustees and the community (Secondary and Area School Principals only) 	<ul style="list-style-type: none"> demonstrates an understanding of the needs of the different groups within the school ensures that guidance policies and programmes are in place for students ensures that appropriate systems are in place to deal with absences and truancy ensures effective liaison with support agencies in the community respects cultural sensitivities and protocols supports staff in difficult situations, and encourages others to do the same ensures that all health and safety requirements are met responds promptly to issues of concern
	<ul style="list-style-type: none"> demonstrates an understanding of, and is responsive to, the diverse concerns and needs of students, parents, staff, board of trustees, community, Government and non-government agencies (Primary School Principals) 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 (Secondary and Area School Principals) 	<ul style="list-style-type: none"> ensures that parents/whanau feel comfortable about visiting the school establishes procedures to assist parents/whanau to perceive the principal as accessible and approachable finds ways of engaging hard-to-reach groups in school activities balances the perspectives of different groups encourages karakia at appropriate times fosters and encourages the concept of manaakitanga at home, at school and on the marae works with community agencies and groups on issues of concern to the community

APPENDIX 5: SAMPLE INDICATORS: PROFESSIONAL STANDARDS FOR PRINCIPALS

		<ul style="list-style-type: none"> • provides opportunities for student involvement in decision-making • provides opportunities for staff involvement in decision-making • provides feedback to Government agencies • demonstrates an understanding of the implications of Government policies for the work of the school • works within Government policies
	<ul style="list-style-type: none"> • communicates effectively both orally and in writing to a range of audiences 	<ul style="list-style-type: none"> • speaks clearly, concisely and confidently • writes clearly and concisely • listens actively • keeps people informed • ensures that parents/whanau receive information on issues of importance to the school • uses the media to enhance the image of the school • tailors messages to suit the audience • knows when to share information and when to keep a confidence
	<ul style="list-style-type: none"> • manages conflict effectively and actively works to achieve solutions (Primary School Principals) • manages conflict effectively and works to achieve solutions (Secondary and Area School Principals) 	<ul style="list-style-type: none"> • deals fairly with people • is clear about what is acceptable and what is not • negotiates to achieve solutions • works to reach consensus • facilitates conflict resolution in cross-cultural contexts • knows when to get outside assistance for conflict resolution • acts on decisions made to resolve conflicts • reconsiders decisions when presented with new information
	<ul style="list-style-type: none"> • represents the school and acts to achieve its objectives 	<ul style="list-style-type: none"> • clearly articulates what the school stands for • acts in a manner that encourages others to make positive associations between the principal and the school • develops and maintains links with community organisations and groups

APPENDIX 5: SAMPLE INDICATORS: PROFESSIONAL STANDARDS FOR PRINCIPALS

<p>Financial and asset management</p>	<ul style="list-style-type: none"> effectively and efficiently uses available financial resources and assets to support improved student learning outcomes 	<ul style="list-style-type: none"> allocates resources to reflect priorities in the strategic plan focuses available financial resources on areas which have the greatest benefit in improving student learning outcomes ensures that the school is accessible for people with disabilities ensures areas for which special funding is targeted (eg special education, TFEA) are appropriately resourced
	<ul style="list-style-type: none"> operates an effective budget planning system and works within available resources (Primary School Principals) manages an effective budget planning system, in association with the board of trustees, and works within available resources (Secondary and Area Schools) 	<ul style="list-style-type: none"> ensures that the board is provided with information that allows it to approve and monitor budgeted and actual revenue, expenses and cash-flow projections identifies financial risks works with the board to prepare a property development plan works with the board to develop a 10-year property maintenance and asset replacement plan ensures that the fixed assets register is maintained
	<ul style="list-style-type: none"> works effectively and efficiently with the board of trustees in controlling, monitoring and reporting on the use of finances and assets 	<ul style="list-style-type: none"> works with the board, and within available resources to: <ul style="list-style-type: none"> ensure the rights and responsibilities outlined in the Property Occupancy Agreement or the Property Maintenance Schedule are met, including the adoption and implementation of a routine maintenance and asset management programme efficiently manage property projects, including those funded and delegated from the Ministry of Education ensure that the school's buildings and facilities provide a safe and functional working and learning environment for staff and students ensure that health and safety regulations are met manages ancillary staff to ensure that routine maintenance and replacement is carried out and that a caretaking and cleaning programme is in operation liaises with Ministry of Education property officers

APPENDIX 5: SAMPLE INDICATORS: PROFESSIONAL STANDARDS FOR PRINCIPALS

		<ul style="list-style-type: none"> • works with the board to develop effective policies to enhance security and eliminate vandalism • works with the board to ensure: <ul style="list-style-type: none"> - the integrity of financial systems - the accuracy and timelines of reports - the efficient and effective use of resources - accountabilities of staff • advises board of financial and other risks • knows when to engage professional advice for financial and asset management
<p>Statutory and reporting requirements</p>	<ul style="list-style-type: none"> • complies with all relevant statutes and regulations, and with monitoring and reporting requirements (Primary School Principals) • works with the board of trustees to ensure compliance with all relevant statutes and regulations, and with monitoring and reporting requirements (Secondary and Area School Principals) 	<ul style="list-style-type: none"> • works within statutes and regulations relating to all aspects of the school's operations • ensures that all returns are completed by the required date

APPENDIX 6: SAMPLE PERFORMANCE OBJECTIVES

Sample performance objective (1)

Three key areas for appraisal for 1998 are:

1. Development and implementation of a new computer plan for the school.
2. Development and implementation of a staff development programme.
3. Review of the staff evaluation of the Performance Management System.
- 3a Review of Support Staff Job Description.

Development and implementation of a new computer plan for the school

Expectations	Specific tasks	Achievement indicator	Self appraisal	Chairperson appraisal
Provide leadership in forming a staff decision on the focus for the computer purchase and programme implementation	Facilitate staff discussion Obtain appropriate quotes Obtain board approval Purchase and install new computers	Computers in classrooms Written strategic plan for future hardware and software purchases		

Development and implementation of a staff development programme

Expectations	Specific tasks	Achievement indicator	Self appraisal	Chairperson appraisal
Design and implement a long range set of staff development opportunities within the school focusing on "Classroom Management"	Prepare "Classroom Management Programme" Set specific "workshop" time (in conjunction with regular staff meetings.	Staff meeting sessions Staff resource (booklet) Reports on progress in the classroom		

APPENDIX 6: SAMPLE PERFORMANCE OBJECTIVES

Review of the Staff Evaluation of the Performance Management System

3a Review of Support Staff Job Description

Expectations	Specific tasks	Achievement indicator	Self appraisal	Chairperson appraisal
To follow the PMS guidelines in appraising the performance of teaching staff Update the job descriptions of support staff	Prepare appraisal reports on teaching staff Review and update support staff job descriptions	Appraisal reports Job descriptions		

APPENDIX 6: SAMPLE PERFORMANCE OBJECTIVES

Sample performance objectives (2)

Goal 1: Improve the retention rate and qualifications of Māori students.

Expected results: By 1999 50 percent of every Year 9 intake of Maori students will leave the college with a Year 13 qualification.

Assistance: Budget allocation to support proposed action plan.

Outcomes:

Goal 2: Implement programmes that meet the needs of students under the Special Education 2000 policy.

Expected results: Special Education groups are defined, accommodation identified, programme outlined and delivery determined. Proposal and business plan to the board of trustees. Full implementation by 1999.

Assistance: Budget allocation to support research.

Outcomes:

Goal 3: Senior staff practise the skills of leadership and management.

Expected results: Training programme is selected and undertaken, and the skills learned are implemented.

Assistance: Budget allocation for four managers to undertake training.

Outcomes:

APPENDIX 7: SAMPLE DEVELOPMENT OBJECTIVES

Goals	Specific tasks	Budget items	Outcome measures
Gain the knowledge and skills necessary to successfully develop and implement a computer upgrade programme	<ul style="list-style-type: none"> • visit 4 other schools who have developed and implemented similar programmes • attend polytech course • work with IT consultant 	<ul style="list-style-type: none"> • travel (up to \$1000) • course fee (\$400) • consultant's fee 	<ul style="list-style-type: none"> • report on visits to schools March 1998 board meeting • plan developed by 30 June 1998 • plan implemented by 30 September 1998
Increase student enrolments	<ul style="list-style-type: none"> • attend marketing course at university • revise prospectus 	<ul style="list-style-type: none"> • course fee reimbursed on passing course • travel • up to 8 hours of release time for completion of assignments • prospectus 	<ul style="list-style-type: none"> • report on strategies for increasing enrolments to April board meeting • revised school prospectus and marketing plan in place by 30 June 1998