

Taita College Board of Trustees

Principal Performance Management Policy

Rationale

Providing a performance management framework, including effective appraisal is part of being a good employer. Principal appraisal should be part of a framework which includes clear performance expectations, professional development, mentoring and support.

Purpose

1. To ensure the Principal is working to clear expectations that are reviewed annually.
2. To ensure the Principal is provided with the support she/he needs to do their job well.
3. To set the expectation that the Principal will be appraised annually, and in a way that is useful to both the school and the Principal.

Guidelines

Setting expectations

An annual performance agreement will be negotiated between the Board and Principal. The agreement will usually be drafted by the Board Chair and/or the Personnel committee, along with an external appraiser if one has been engaged, and tabled at a Board meeting. The performance agreement will set realistic goals for the Principal drawn from:

- Professional Standards for Principals
- the school's strategic and annual goals
- areas for development from the previous year's appraisal.

The performance agreement goals will align with the Practicing Teacher Criteria.

Support

The annual performance agreement will include the support/professional development the Principal needs to achieve the goals and to meet the Board's expectations. The cost of support/professional development for the Principal needs to be included in the annual budget.

Appraisal

There are four main reasons behind principal appraisal, as well as being a requirement on boards of trustees. These reasons are:

- To provide assurance for the board that the role is being performed adequately.
 - To identify areas for development that will improve the principal's performance.
 - As a mechanism for achieving strategic goals.
 - Affirmation of the principal where appropriate.
1. The Board Chair will be responsible for ensuring that there is a process in place for the Principal's annual appraisal.

2. A board committee will be convened to manage the appraisal process. The process will be managed in line with the *Good Practice Framework for Principal Appraisal* attached to this policy.
3. The appraisal process will normally involve an external appraiser. Provision for principal appraisal should be made in the budget.
4. The appraisal process may vary from year to year. However, whatever process is used it is expected that the appraisal will:
 - use a transparent and collaborative process
 - be based on clear and shared expectations of performance – including professional standards and Practising Teacher Criteria
 - be managed respectfully and confidentially
 - be based on evidence collected systematically
 - include self-appraisal and feedback from others
 - include appraisal judgments linked to evidence
 - be constructive and future-focused.
5. The appraisal will normally take place within a school year. A summary report of the key findings of the Principal's appraisal will be tabled and discussed at the public-excluded section of a board meeting.

Documentation

The following documents must be kept securely on the Principal's personnel file:

- Principal job description
- Principal performance agreement (annual)
- previous appraisal reports.

Monitoring and review

The evidence for this policy will be:

- a current principal job description and annual performance agreement
- a professional development plan and budget in place for the principal
- a summary principal appraisal report tabled in the public-excluded section of a board meeting annually.

The policy will be reviewed as part of the triennial review cycle.

Approved by the Board/Commissioner

19 July 2017



Commissioner

Managing Principal Appraisal (Performance Review)

The Ministry of Education, New Zealand School Trustees Association (NZSTA) and experienced appraisal practitioners, including Associate Professor Eileen Piggot-Irvine, Murray Fletcher and Tim White have, developed and agreed on a framework to guide boards in effective practice when managing their responsibility for principal appraisal.

| | |
|----------------|---|
| Purpose | <ol style="list-style-type: none">1. Appraisal has both <i>accountability</i> and <i>development</i> purposes:<ul style="list-style-type: none">• <i>Accountability</i> - of the principal for leading and managing the school, achieving agreed goals, and ensuring the quality of teaching and learning;• <i>Development</i> - of the principal against agreed goals, and to ensure the development of the school and the ongoing improvement of student achievement.2. Appraisal is based on the annual performance agreement.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).4. The performance agreement is future focused and must reflect the school's strategic and annual plans, and the principal's job description. |
| Responsibility | <ol style="list-style-type: none">1. The board, as the employer, is responsible and accountable for the principal's performance management, including appraisal.2. The board will consult¹ with the principal before exercising responsibility for decisions regarding principal appraisal.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.4. The board should ensure that sufficient resourcing (including time and professional development) is given to understanding and implementing the appraisal process. |

¹ 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.

| | |
|--------------------------|---|
| Delegations ² | <ol style="list-style-type: none"> 1. The board may resolve to delegate³ to a trustee or a committee of the board the management of the appraisal process. 2. When the board delegates in this manner, the board retains the responsibility and accountability for the actions of any delegate. 3. Delegations must be written, be specific and identify where the delegated responsibility begins and ends. 4. The board should ensure that any delegated party fully understands all aspects of the principal appraisal process, including documents used. 5. A board delegation to a trustee or a committee is distinct from an external agent being contracted to provide a service. |
| Contracting ⁴ | <ol style="list-style-type: none"> 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). 2. When the board contracts assistance in this manner, the board retains the responsibility for the actions of any contractor. 3. The written contract should clearly set out the parameters of the respective roles and responsibilities of the board, the principal and the contractor. 4. The board will provide overall direction to any contractor about the process. 5. Any contractor should be required to follow a documented process that is in line with the board's principal appraisal policy. |

² 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.

³ The legislative requirements for any board delegations are stated in section 66 of the Education Act 1989.

⁴ 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 | <ol style="list-style-type: none"> 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 support⁵ (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 both 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 comment⁶. 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'⁷ ⁸. 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 legislation⁸, will not otherwise be in attendance. 13. The final appraisal report must remain confidential to the board and the principal. 14. The board then comments and participate in developing the performance agreement for the next annual cycle (unless board policy reflects that this is delegated). |
|---------|--|

⁵ 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.

⁶ Respective employment agreements for state sector principals provide direction in circumstances where parties cannot agree, as must the board's policy

⁷ 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.

⁸ 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, 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.