



Requirements for a Principal's Appraisal/Performance Review

The interim registration policy of the Education Council of Aotearoa New Zealand states that anyone in a teaching position in a school in the general education system must hold a current practising certificate. A principal's position is a teaching position. While it is possible that principals may not teach their own class/es, they are ultimately responsible for the teaching and learning of the children and students in their schools and directly responsible for the professional learning and development of their teachers. The principal is the leader of learning.

To be issued with or to renew a current practising certificate, principals and teachers need to be annually appraised using the *Standards for the Teaching Profession*¹. The principal's performance review/appraisal should address their performance objectives aligned with the school charter and annual plan, *Standards for the Teaching Profession* and the principal professional standards, and learning and development objectives (linked to career structure payments in 4.4 of the principals' collective agreements). More information about the complete performance review process is available on [NZSTA's principal performance management page](#).

The primary principals' collective agreement, the area school principals' collective agreement and the secondary principals' collective agreement state that 'the board shall put in place an annual performance agreement and carry out a review of the principal every year.' The collective agreements elaborate on this point by stating that this performance agreement is developed in consultation with the principal.

While the performance review/appraisal is the responsibility of the school's board of trustees (board), the board may delegate the task to a committee, or the board chairperson. It may also choose to engage an external consultant with appropriate skills and knowledge to assist with the performance review/appraisal. The endorsement for a principal on their application for the issue or renewal of a practising certificate is completed and signed by the board chairperson and the second endorser who must hold a full practising certificate and have been involved in the performance review/appraisal process².

The principal performance review/appraisal includes a final report to be completed annually. The principals' collective agreements state that the final report will be prepared in consultation with the principal.

¹ The *Standards for the Teaching Profession* may be used in place of the *Practising Teacher Criteria (PTC)* in appraisal from July 2017. Required use is from January 2018.

² If the board chairperson or consultant undertaking the principal's performance review process holds a full practising certificate they can be the sole reviewer/appraiser for the board. The Education Council requires that if the board chairperson or the consultant does not hold a full practising certificate, a fully certificated principal colleague or senior teacher must participate in the performance review/appraisal process on behalf of the profession. They will provide assurance for (or could be) the second endorser for the practising certificate renewal. The person participating in the performance review/appraisal process must have opportunity to observe aspects of the principal's practice, provide feedback and be involved with the principal and the consultant in discussion related to the Standards for the Teaching Profession, annually.

An example of a principal performance agreement with information illustrating the requirements for the final report is [available](#). We welcome feedback from principals and appraisers who use it to ensure it serves the purpose well. The report format illustrates the type of evidence it is expected will be made available at performance review/appraisal meetings with the reviewer/appraiser. The report's content and structure indicates that the principal has participated in a robust performance review/appraisal process.

The Education Council website has information and webinars to support schools' [appraisal processes](#). New Zealand School Trustees Association has [resources for the performance review/appraisal of principals](#). It is strongly recommended that the processes followed for principal performance review/appraisal are aligned with those used for their teachers across their school.

As part of the appraisal audit and moderation function undertaken on behalf of the Education Council of Aotearoa New Zealand, [the Education Review Office \(ERO\)](#) reviewers will view the performance review/appraisal summary report for each teacher and principal who has had an application for practising certificate endorsed in the preceding twelve months, when they undertake their regular review of the school. More information can also be found on the Education Review Office website where you can download their 2014 publication "[Supporting school improvement through effective principal appraisal](#)"

In summary:

- a principal's position is a teaching position. Anyone in a teaching position must hold a current practising certificate
- to be issued with or to renew a current practising certificate, principals and teachers, need to be annually appraised using the *Standards for the Teaching Profession*
- the principal must be reviewed/appraised in relation to the performance and learning objectives linked with the board charter's strategic and annual plan, the *Standards for the Teaching Profession* and the principal professional standards (aligned with the career structure payments in 4.4 of the collective agreements)
- the principal's performance review/appraisal is the responsibility of the board of trustees in consultation with the principal
- the endorsement for a principal applying for the issue or renewal of a practising certificate is completed and signed by the board chairperson and the second endorser must be a teacher who has a full practising certificate
- a performance review/appraisal final report will be completed annually and made available for the audit and moderation process.

Appraised by:

Scenario 1

The Board of Trustees delegates responsibility for the principal's performance review to the board chair. The board chair does not have a full practising certificate. When the performance agreement has been set up, the board chair and principal identify a principal colleague from the principal's PLG to engage in the process bringing their understanding of the *Standards for the Teaching Profession* and their depth of knowledge and skills applied to practice on behalf of the profession. The principal colleague knows the performance agreement objectives, observes the principal in action and participates in a conversation with the principal and the board chair informing the annual summary report statement that the principal has met the *Standards for the Teaching Profession*.

Scenario 2

The Board of Trustees delegates responsibility for the principal's performance review to a consultant experienced in performance review/appraisal. The consultant no longer holds a full practising certificate (or is not a teacher and has never held teacher registration). When the performance agreement has been set up, as part of a robust process the consultant and principal identify a principal colleague from the principal's PLG (or a senior teacher in the school) to engage in the process bringing to it their understanding of the *Standards for the Teaching Profession* and their depth of knowledge and skills applied to practice on behalf of the profession. The principal colleague/senior teacher knows the objectives, observes the principal in action and participates in a conversation with the principal and the consultant informing the annual summary report statement that the principal has met the *Standards for the Teaching Profession*.

Scenario 3

The Board of Trustees delegates responsibility for the principal's performance review to the board chair who holds a full practising certificate. This scenario does not require an additional endorser for an application for the principal's practising certificate. Where the Board of Trustees delegates responsibility for the principal's performance review to an external consultant who holds a full practising certificate, the board chair also endorses the application for the practising certificate as the employer.