

Thank you for your email of 24 April 2019 and your follow up email of 3 May 2019 clarifying your request for the following information:

1. *Any subsequent allocation of funding to the Communities of Learning Initiative since its commencement.*
2. *Total money allocated from the \$359 million Communities of Learning initiative fund directly to formed Communities of Learning since they commenced through until June 2019. An annual breakdown of this amount.*
3. *Total money withdrawn/used from the \$359 million Communities of Learning fund that had not been allocated directly to operating Communities of Learning.*
4. *The total funding allocation to the Tauranga Peninsula Community of Learning, including, but not limited to unit payments to teachers, Governance group, Lead Principal, release costs, outside facilitators, etc.*
5. *The Investing in Educational Success document missing from the Ministry website at this address: <http://education.govt.nz/our-work/changes-in-education/investing-in-educational-success>*
6. *The total of funds allocated to Investing in Educational success initiatives since the commencement of this initiative.*

Your request has been considered under the Official Information Act 1982 (the Act). Responses to each of your questions follow.

Question One: *Any subsequent allocation of funding to the Communities of Learning Initiative since its commencement.*

No funding additional to the original budget of \$359 million over four years has been allocated to the Investing in Educational Success, Community of Learning initiative. However, as document 2 included for question 5 will show, there was an additional \$154.83 million allocated for out-years when the initiative was established.

Question Two: *Total money allocated from the \$359 million Communities of Learning initiative fund directly to formed Communities of Learning since they commenced through until June 2019. An annual breakdown of this amount.*

A breakdown is provided below. Please note that we have provided you with the information held at the time of your request. We are also providing expenditure instead of allocation, as this is the information that we hold.

(\$millions)	2014/15	2015/16	2016/17	2017/18	2018/19*
Community of Learning Costs	\$0.221	\$4.948	\$30.196	\$66.448	\$80.075
External Supports**	\$0.00	\$0.00	\$2.300	\$5.711	\$5.320

*Expenditure to 30 April 2019

**Expert partners and targeted change management

Question Three: *Total money withdrawn/used from the \$359 million Communities of Learning fund that had not been allocated directly to operating Communities of Learning.*

Early in the implementation of the Community of Learning initiative, there were some challenges in moving Communities of Learning from design to full implementation, so expected expenditure against the allocated budget was less than expected. Consequently, funding allocated to the initiative was re-purposed into supports for Communities of Learning, such as expert partners and targeted change management.

No money has been withdrawn from the \$359 million Investing in Educational Success initiative to be used elsewhere, however, in some years we have returned unspent funding to the Government.

As announced on 14 June 2019, under the settlement offer made to the Post Primary Teachers Association and NZEI Te Riu Roa, unspent education funding from Investing in Educational Success will be reprioritised to offset the cost of settling primary, secondary and area schools collective agreements.

This is subject to the offers being settled by members of both unions. It will not affect any existing Kāhui Ako who have employed or are recruiting leadership and teaching roles, or are working on their achievement challenges. All existing Kāhui Ako will continue to operate with the existing funding they are entitled to.

More information can be found on the Ministry website at the follow link:

<http://minedu.cwp.govt.nz/news/collective-bargaining-fact-sheet-13-june-2019>

Question Four: *The total funding allocation to the Tauranga Peninsula Community of Learning, including, but not limited to unit payments to teachers, Governance group, Lead Principal, release costs, outside facilitators, etc.*

	2015/16	2016/17	2017/18	2018/19
Community of Learning operations grant*	\$13,215.00	\$35,142.00	\$69,581.00	\$68,187.00
Change Management Support	-	-	\$26,710.00	\$23,110.00
Kāhui Ako Leader and Teacher - Salary allowances and backfill costs	-	\$432,458.00	\$959,869.00	\$715,277.00
Totals	\$13,215.00	\$467,600.00	\$1,056,160.00	\$806,574.00

*Operations grant totals are made up of:

formation allowance

maintenance allowance

collaboration allowance (2019 only)

travel grants

induction and networking allowances

Tauranga Girls' College, who are a member of the Tauranga Peninsula Community of Learning, submitted a successful proposal for funding in Round 1 of TLIF	\$40,200.00
Expert Partner Support to Tauranga Peninsula Community of Learning commenced in April 2017 and it is ongoing, cost to date is:	\$47,591.83

Question Five: *The Investing in Educational Success document missing from the Ministry website at this address: <http://education.govt.nz/our-work/changes-in-education/investing-in-educational-success>.*

We have identified four documents that were previously at the link above. These are summarised in the table below, and are released to you as they were previously released on the Ministry website. The reason the link no longer works is because that webpage has been archived.

#	Date	Document type	Title
1	21/01/2014	Cabinet Paper	Investing in Educational Success: The Learning and Achievement Challenge
2	28/05/2014	Cabinet Paper	Investing in Educational Success: design and implementation
3	28/05/2014	Cabinet Minute	Investing in Educational Success: design and implementation
4	03/06/2014	Working Group Report	Investing in Educational Success

Question Six: *The total of funds allocated to Investing in Educational success initiatives since the commencement of this initiative.*

In addition to the information provided in response to Question 2, the following provides total expenditure to date across the Investing in Educational Success initiative since its commencement.

(\$millions)	2014/15	2015/16	2016/17	2017/18	2018/19*
Community of Learning Costs	\$0.221	\$4.948	\$30.196	\$66.448	\$80.075
External Supports**			\$2.300	\$5.711	\$5.320
Teacher-Led Innovation Fund		\$1.915	\$2.590	\$2.839	\$1.457
New Appointments National Panel	\$0.762	\$0.927	\$0.903	\$1.049	\$1.211

*Expenditure to 30 April 2019

**Expert partners and targeted change management

I trust you will find this information helpful.

Please note, the Ministry proactively publishes OIA responses on our website. As such, we may publish this response on our website after five working days. Your name and contact details will be removed.

You have the right to ask an Ombudsman to review this decision. You can do this by writing to info@ombudsman.parliament.nz or Office of the Ombudsman, PO Box 10152, Wellington 6143.

Yours sincerely

A handwritten signature in black ink, appearing to read 'K. Casey', is written over a light grey rectangular background.

Katrina Casey
Deputy Secretary
Sector Enablement and Support

cc Ezra Schuster, Director of Education for Bay of Plenty–Waiariki

Chair

Cabinet

Investing in Educational Success: The Learning and Achievement Challenge

Purpose

- 1 This paper notes the decisions of the Prime Minister, Minister of Finance, Minister for Tertiary Education, Skills and Employment and Minister of Education (Joint Ministers) to introduce the Investing in Educational Success initiative to strengthen the profession in order to lift learning.

Introduction

- 2 On 2 December 2013 Cabinet considered the longstanding achievement challenge across the New Zealand education system which successive national and international studies have reported. Cabinet authorised Joint Ministers (the Prime Minister, Minister of Finance, Minister for Tertiary Education, Skills and Employment and Minister of Education) to have Power to Act to make decisions [CAB Min (13) 42/8 refers].
- 3 Joint Ministers have agreed system changes to significantly and substantially strengthen the profession's teaching practice and education leadership. The changes will introduce new career pathways, incentivise teacher-led innovation of practice and help to get highly effective principals to the schools and kura in most need. The proposal will support whole of system change, building the foundations for career pathways and strong incentives for collaboration and innovation. These changes will lead to measurable gains in learning and student achievement.

Executive Summary

- 4 New Zealand has an achievement challenge. Our top students are doing as well as students anywhere in the world, but there is a big gap between our top performing students and those who are not doing so well. International studies also tell us that we are not keeping pace with other high performing countries and jurisdictions and are falling short of our own previous results. We must do better and raise the quality of learning and achievement across the board. Doing this requires whole of system improvement.
- 5 Evidence demonstrates that investing in the profession by raising the quality of teaching and leadership provides the best opportunity to deliver the improved educational outcomes we seek. There is sufficient capacity in the system and we have some of the best teachers and leaders in the world. However, capability is inconsistent, and there are barriers to ensuring best practice is universal practice.
- 6 Joint Ministers have agreed the following proposal with its two core elements leading to system change:
 - introducing new roles in teaching and leadership to recognise and use capability where needed most (Executive Principals, Expert Teachers and Lead Teachers and

an allowance for Change Principals) and integrated funding to provide schools with time for their teachers to work with and alongside the Expert and Lead Teachers (Inquiry Time)

- supporting teacher-led innovation of new practice and its dissemination through the creation of a contestable fund (Teacher-led Innovation Fund) .

- 7 A high level summary of these new roles is attached as Annex A.
- 8 The proposal provides significant opportunities to strengthen the system and support individual schools as there is wide disparity within schools and between schools. We need to address both. Other systems have shown they can. We must too. We expect to see measurable gains in learning and student achievement as a result of these changes.
- 9 The changes will be designed in 2014 and rolled out from 2015. Further design of the proposal will be undertaken with sector stakeholders through a working group to be chaired by the Secretary for Education. The working group will be tasked with providing advice, by 30 April 2014, to help ensure the successful design of the changes.
- 10 During this design process it will be important to recognise the role of teacher and principal unions and that of school boards as the employer, represented by New Zealand School Trustees Association (NZSTA). As a result, there may be changes to details but not the thrust and objectives of the proposal outlined in this paper. New investment is needed to deliver the changes. How we invest is critical. Optimising the impact of these changes requires pre-conditions; these include accessing resources, supporting the sector to make best use of these resources, professional standards, assessment and selection processes of teachers and leaders to new roles, and on-going rigorous reassessment against the professional standards, with external validation.

The Case for Change

- 11 Our Government's commitment is to raise the learning and achievement of all our children and young people. We need teachers and leaders to meet the needs of increasingly diverse children and young people. We need to raise the achievement of those who are already doing well in our system and lift the learning and achievement of Māori and Pasifika, those from poorer homes, and those with special education needs. The system has consistently struggled to support the latter groups. We need a system-wide lift for all students now, and for the future.
- 12 The achievement challenge remains significant. New Zealand has consistently had a large disparity between our high and low achieving students. A series of recent reports has painted a worrying picture of a long slow decline in some key areas when New Zealand students are compared with their overseas counterparts. Maths and science outcomes are prominent in these findings. Studies have identified stagnation and decline occurring in the important years of primary and early secondary schooling.
- 13 The introduction of National Standards in 2010 was among other things to make transparent the learning needs of students at an individual level, year on year in order to improve learning. While there have only been two years of National Standards reporting, and system-wide moderation is required to get data to the level of integrity of NCEA, at a national level it is clear that this data is consistent with periodic international and national reporting.
- 14 The introduction of Youth Guarantee, and the increasing range of initiatives it includes, responded to the limited choices available to secondary school students and the narrow access to academic success that hitherto existed.

- 15 The evidence shows that supporting continual improvement in the quality of teaching practice is critical to delivering significant and sustained improvement in educational outcomes. In schools, the quality of teaching and leadership has the biggest effect on raising student achievement.
- 16 High performing education systems pay attention to what works to build teacher and leadership capability to ensure learning accelerates for all young people. Studies show that high performing systems have taken significant steps to build the quality of the teaching workforce. Learning from this, we will focus on ensuring best practice becomes universal practice, through mechanisms to better support all teachers to:
- constantly review the impact of their teaching practice on learning
 - actively seek external observation and critique by colleagues and more experienced teachers and leaders
 - seek and contribute to evidence of what works to improve learning outcomes and how they can apply that in their day to day practice.
- 17 We aim to gear the New Zealand system to influence where *and* how teaching and leadership expertise is developed and utilised to address the learning and achievement challenge. We need to strengthen the system and individual schools, as there is wide disparity within schools and between schools. This means for teachers and leaders we will:
- recognise and use expertise across the system where it is needed most
 - create opportunities and incentives for good teachers to stay in the classroom
 - encourage collaboration across the system
 - enhance opportunities for teacher-led innovation of new and good practice, to make clearly visible what is possible, new and exciting
 - incentivise outstanding leaders to take up principal roles to make schools better, and turn around struggling schools
 - create more opportunities and two clear pathways to a fuller professional career as a teacher or a principal.
- 18 We currently invest \$3.7 billion per annum in salaries for our teaching and principal workforce. The schooling workforce (52,000 full-time equivalent teachers and principals) is ageing with the New Zealand population and turnover is low. This gives limited opportunities for advancement. In addition, population projections to 2030 suggest the student population will flatten, resulting in low growth in roll-driven teacher numbers. The combination of increased retention of the workforce and limited population growth is reducing vacancies and opportunities for graduate teachers, and therefore refreshment of the profession.
- 19 Establishing clearer career pathways and progression, with more variety, is critical to attracting the best and brightest into the profession, and facilitating advancement for those already in the profession.
- 20 A rigorous and systemic response is needed to raise the quality of teaching and leadership across the profession. The foundations for this are being set by the Quality Teaching Agenda already underway, and for which \$37.5 million was set aside in Budget 2013. That package of initiatives is outlined in Annex B.
- 21 Alongside the Quality Teaching Agenda we also have a programme of work addressing the out-of-school effects on student learning and achievement. The evidence is clear about the impact of parental, family and whānau engagement with their child's learning and school and the impact of expectations the community holds of and for children. In Budget 2013, provision was made for a substantial increase in the funding for NZSTA to

boost its capability and capacity, and to ensure that training for new trustees, and tools to assist, are readily available. In addition, there are several programmes with parental and whānau engagement components, for example, Ka Hikitia, Positive Behaviour for Learning, Building on Success and cross-agency initiatives such as Social Sector Trials and Children's Teams.

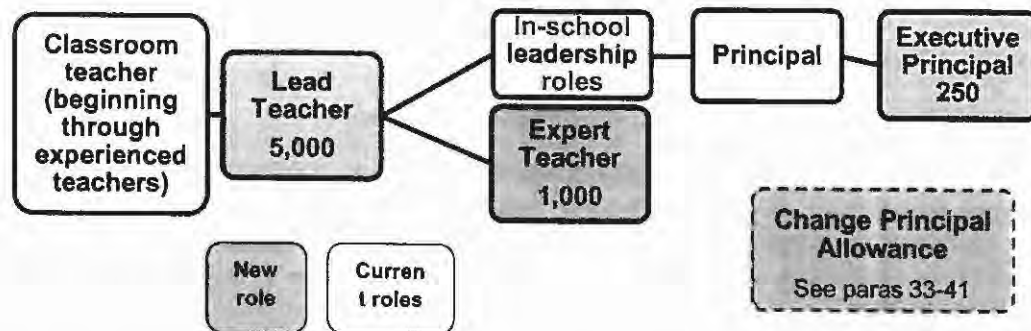
- 22 The introduction of National Standards is providing more in depth and comprehensive data about student achievement from the outset of schooling. Teachers now have a benchmark for individual student learning and achievement which helps clarify where they need to focus their efforts so that every student succeeds. We have broken down this data set regionally and locally so that communities, local government and business can have a clearer picture of achievement in their area and may contribute to supporting authentic learning opportunities for young people. The data highlights where we need to make our investments for the greatest likelihood of success.

Agreed initiatives

- 23 Key concerns in relation to how we develop, train, evaluate, reward and promote teachers include:
- limited, narrow development and promotion opportunities that provide little incentive for teachers to focus on becoming better, even great teachers, resulting in teachers seeking recognition by being 'promoted out of the classroom' and into management roles (70% of the teaching workforce has reached their base salary scale maximum)
 - variability in the quality of on-going constructive feedback for teachers about their performance as measured against level or role specific professional standards or competencies.
- 24 Joint Ministers have agreed the following system changes:
- introducing new roles in teaching and leadership to recognise and use capability where needed most (Executive Principals, Expert Teachers and Lead Teachers and an allowance for Change Principals) and integrated funding to provide schools with time for their teachers to work with and alongside the Expert and Lead Teachers (Inquiry Time)
 - supporting teacher-led innovation of new practice and its dissemination through the creation of a contestable fund (Teacher-led Innovation Fund).
- 25 Introducing these changes will generate a whole of system shift and lead to measurable gains in student learning and achievement.

Career Pathways: New teaching and leadership roles and inquiry time

- 26 Existing career pathways in teaching and leadership are few, blunt, mostly not visible and vary from school to school. We will create new pathways with the introduction of new roles to lead change in teaching practice. There is provision for: Executive Principals (250 roles), Change Principals allowances (20 per year), Expert Teachers (1,000 roles) and Lead Teachers (5,000 roles). The exact number for each role will be determined in consultation with the sector working group.
- 27 These roles will be underpinned by clear professional standards, a rigorous process for selection and clear accountabilities for improving student and system performance. The proposed new body for the profession, the Education Council of Aotearoa New Zealand (EDUCANZ) and the Ministry of Education will maintain oversight of these processes to ensure roles are well defined, standards based and effective. The roles, which complement those existing in the system, are illustrated below.



- 28 These new roles and the associated standards will address weaknesses in current career pathway structures, such as the lack of clear options for progression, qualitative distinctions between levels of proficiency, clear choice between pursuing teaching and management development, and transparency. The lack of transparency is, for example, seen as a negative by new graduates who could consider teaching as a career. These weaknesses have been identified by a range of experts and stakeholders including the OECD and the Education Workforce Advisory Group.
- 29 There are no changes proposed to who employs principals and teachers. In further developing this proposal it will be important to include school board voices through NZSTA.

New Leadership Roles

Executive Principals for a community of schools

- 30 Executive Principals will provide leadership across communities of schools, allowing for a reasonable spread across the system. The Executive Principals will be recognised for their expertise and experience leading schools and school communities will be expected to be able to demonstrate they have raised the quality of learning and student achievement. They will work with their community of schools to set and deliver explicit and measurable learning and achievement improvement objectives and will support other principals in their community. Executive Principals will be characterised by:
- a successful track record in diverse schools
 - demonstrated pedagogical leadership and team builders
 - effective and inspiring communicators and collaborators
 - strong engagement with their communities
 - system thinkers and leaders
 - respected by their profession
- 31 Executive Principals will :
- remain as leaders in their own school and be released two days a week to work across their community of schools
 - attract funding to their school to backfill their role
 - be a fixed term role (2 + 2 years)
 - receive an allowance of \$40,000 on top of existing salary.
- 32 Executive Principals remain accountable to their employing board of trustees. An external specialist panel will be established to select (and re-select) Executive Principals, with input from the local community of schools, for example, the chairs of two local boards of trustees. Re-selection following the initial two year time period, would be with the agreement of the external panel and the employing board of trustees. The

community of schools will provide input to the Executive Principal's appraisal, against the community's achievement objectives.

Change Principal Allowance for schools in greatest need

- 33 There is a small proportion of schools that requires strong targeted intervention and leadership impact. Many are small to medium in size and with disproportionate numbers of students for whom the system has not been successful. These schools are not attractive under the current incentives which encourage principals to take up roles in larger schools.
- 34 A Change Principal allowance will be introduced. This allowance will enable the most challenged schools to attract highly effective principals and will provide a prestigious new leadership role. The criteria used to identify schools appropriate for the Change Principal allowance would include Education Review Office reports, achievement data, and history of interventions.
- 35 We are currently reviewing the use of statutory interventions. This new approach provides an alternative support for schools facing multiple issues and will be expected to help reduce the need for statutory intervention.
- 36 An allowance of \$50,000 per annum for each principal performing this role will be available in circumstances where a principal vacancy exists, the school is identified as being 'most in need' and the board of trustees opts in and agrees to conditions. This allowance will be allocated on top of the existing principal salary for that school.
- 37 The Ministry of Education will fund the allowance for a period of three years, with a possible extension of a further two years. The allowance would remunerate Change Principals at a level considerably higher than allowed for by the school's size alone, in recognition of the role of 'turning around' the school, for effecting sustainable improvement, and for increased overall results over time. The Secretary for Education's agreement would be sought for the payment of the allowance.
- 38 The allowance has been set to largely eliminate the difference in average remuneration between the smallest schools and medium size schools. In effect, it counters the existing principals' remuneration system which incentivises principals to move to larger schools (regardless of challenge).
- 39 The Change Principal must meet an agreed professional standard and demonstrate success in raising learning and achievement (evidenced by robust data collection, use and reporting), and running a highly successful school where she/he has raised performance and overcome multiple challenges. The professional standard required to be appointed to a Change Principal role would be broadly consistent with that of Executive Principals.
- 40 Successful applicants would be selected through the normal recruitment process by the school's board of trustees. The allowance is conditional on an approved external expert to the appointment panel agreeing the candidate meets the professional standard. The allowance can be maintained for a further two years, should an on-going need be agreed beyond the first three years. To retain the role, the Change Principal would need to continue to demonstrate they are meeting the standard, the specific expectations of their board of trustees and of course, making a measurable difference to learning and student achievement.

- 41 We expect schools fitting the 'most in need' criteria would be small in number at any one time. In any one year we anticipate a maximum of 20 new Change Principals being appointed.

Two New Teaching Roles

- 42 Expert Teachers will work directly with teachers across schools to develop and change teaching classroom practice to support the community of schools' improvement objectives. Expert Teachers will be recognised for their skills and ability to accelerate student learning, particularly for those children and young people currently being left behind by the system and in the particular agreed achievement focus for their community. Expert Teachers will be required to demonstrate their ability to influence the practice of others. Expert Teachers will:
- remain as leaders of teaching practice in their own schools and be released two days a week to work with other teachers to improve practice and outcomes
 - attract funding to backfill their role
 - be a fixed term role (2 + 2 years), focused on a specific area of student need
 - receive an allowance of \$20,000 on top of existing salary.
- 43 Expert Teachers remain accountable to their employing board of trustees. Executive Principals will inform the performance expectations and appraisal of Expert Teachers with input from the wider community of schools. Selection, and re-selection following the initial two year time period, would be by agreement of the Executive Principal and the employing board of trustees with external input.
- 44 Lead Teachers will be recognised for their expertise and effective practice and for effectively accelerating student learning, particularly for those children and young people currently being left behind by the system. They will:
- remain in their classrooms
 - provide practice observation and participate in syndicates of improved practice
 - retain their status, subject to on-going appraisal and re-attestation
 - receive an allowance of \$10,000 on top of their existing salary
- 45 Lead Teachers remain accountable to the employing school board. Lead Teachers become the 'visible' quality teacher that other teachers, observe in practice.

Selection Process

- 46 The Ministry of Education will identify, contract and train specialists to provide independent input to the selection and moderation processes. This independence will ensure rigorous assessment against professional standards and that objective and consistently high quality processes are used to select individuals for each of the roles. The specialists will work with local community of schools representatives as outlined in Table 1 below.

Table 1: Selection responsibilities

Role	Selection responsibility
Executive Principals	External specialist panel with input from the local community of schools e.g. two chairs of boards of trustees. Selection includes the requirement to meet the Executive Principal Professional Standard.
Change Principals	Employing board of trustees with external input and Secretary of Education approval to payment of allowance

Expert Teachers	Executive Principals supported by external specialists and input from the local community of schools. Selection includes the requirement to meet the Expert Teacher Professional Standard and will be informed by the learning and achievement needs of the community of schools. Each community of schools will get an allocation of Expert Teacher roles, informed by student numbers.
Lead Teachers	Executive Principals supported by external specialists and input from the local community of schools. Selection includes the requirement to meet the Lead Teacher Professional Standard and will be informed by the learning and achievement needs of the community of schools. Each community of schools will get an allocation of Lead Teacher roles, informed by student numbers.

47 The proposed number of roles to be created is based on:

- potential for impact
- augmenting the career structure, while seeking to avoid undue clutter and to maintain schools' flexibility to manage teacher careers at the local level
- seeking to make the roles high status and desirable
- providing choice of career direction between remaining in teaching or choosing school leadership
- effecting improvement in learning and achievement, particularly against the size of the achievement challenge
- effecting system-wide shift and lift.

48 While the status associated with these new roles should be significant, the allowances proposed are also important. To be recognised as attractive career steps they should provide significant opportunity and reward. They also offer additions and clear teaching and management choices to the existing career pathways, without the current bias of trading off developing better teaching by having to go into management in order to improve remuneration.

49 The Expert Teacher Allowance of \$20,000 can be compared to an average additional remuneration for mid to senior management roles (of \$16,000 - \$28,000 on top of base salary). The Lead Teacher Allowance of \$10,000 has been designed to offer an alternative to the remuneration offered for a teacher moving into a school management career. Half the current workforce receives an allowance, such as a \$4,000 unit. There is no change to the eligibility for existing allowances.

Inquiry time

50 Funding will be established for schools to enable teachers to take time out of the classroom to undertake structured opportunities to access, observe, collaborate and reflect with Lead and Expert Teachers. This is an integral part of the investment. The amount of inquiry time will vary, depending on school size. Subject to discussion with the sector, it is intended that the inquiry time will be set at 50 hours for each 10 full time equivalent teachers (FTTE). Small schools with less than 10 FTTE would get 50 hours. Schools will be able to distribute this time to support teachers' participation in activities outside of the classroom to improve their practice.

51 Inquiry time will help create the environment needed for teachers to build a strong culture of inquiry about their own practice. Providing additional release time responds to the evidence which shows that teachers' practice improves through purposeful observation, analysis and feedback of practice. These are core features of high performing education

systems. A large number of teachers will benefit from working with and alongside those with recognised expertise.

- 52 The flow-on from these changes is likely to see existing part-time and relief teachers working more hours and potentially some new teacher opportunities created as new roles are backfilled. There could also be additional opportunities for trained teachers who are not currently in the workforce. Until the details of how the new roles will work are finalised, numbers will not be known.

Accountability and opportunity for involvement by wider profession

- 53 Some key features are necessary to ensure the new roles have the maximum effect on improving teaching practice to shift and lift learning and achievement, as well as recognising and rewarding effective teaching and leadership via career pathways.
- 54 To ensure that these features are in place, the Ministry will work with sector leaders from key organisations such as NZSTA, unions and the profession such as the new EDUCANZ to develop ex-ante and ex-post quality control and accountability measures, and tools and guidance for schools. Annex C outlines the type of response envisaged.
- 55 As part of the current work programme to lift the quality of teacher and principal appraisal, the Ministry of Education will work with the sector to develop tools to support 360-degree review processes for these new roles. This work will include NZSTA providing guidelines and tools to all boards to support effective appraisal processes as part of their new role providing broader Human Resource support to boards, consistent with the appraisal development in train by the NZ Teachers Council with the ERO.
- 56 Critical to all of these investments is to bring about measurable gain in learning and student achievement, to shift and lift a system-wide performance for all students. My interest is as much in the rate, quality, and quantity of improvement, as in the summative result. Delivering and capturing improvement over time is itself a key characteristic of successful education systems that sustain success over time, and are reducing or eliminating the gap between their highest and lowest performing students – a long standing challenge in our education system and student achievement profile.

Industrial implications

- 57 The new roles have implications for an individual principal or teacher's employment terms and conditions. Therefore it will be important to recognise the role of the unions and associations in representing the majority of employees and the role of the Secretary for Education (under delegation from the State Services Commissioner) as the employer party for the collective agreements. It will also be important to recognise boards of trustees as the employers.
- 58 There are three ways to manage changes to an individual principal or teacher's employment terms and conditions depending on timing:
- a. negotiating the changes into the collective agreements as part of bargaining upon expiry of their existing collective agreements (due from July 2015)
 - b. seeking variations to the collective agreements or to individual employment agreements
 - c. using the Secretary for Education's agreement to a change in remuneration.
- 59 Adhering to the Employment Relations Act's good faith obligations when developing and implementing these roles means doing the design phase with an open mind. We want to develop these changes with input from the sector; are open to changes to the design detail and will provide opportunities for that discussion. As a result, there may be

changes to the proposal outlined in this paper following engagement in the design phase with sector leaders, including unions. Given this we need to be clear about the critical success factors for the proposal.

Allocation and targeting of roles across the system

- 60 The roll out of the new roles will be universal. Whole of system change is needed in order to gain a sustained, system-level shift and lift in teaching and learning. Disparities in outcomes occur within schools as well as across schools. Career pathways should be available to all teachers regardless of geography and the current distribution of achievement in order to grow the capability of all teachers to lift the system.
- 61 As the roles are established over time, roll out will be prioritised towards lifting achievement in those parts of the country that face the greatest challenge. Targeting of expertise will also take place through Executive Principals and Expert Teachers focusing the collective effort within communities of schools to deliver shared achievement objectives.

Role of Ministry of Education and the new professional body

- 62 The New Zealand Teachers Council currently sets professional standards for teacher registration and certification, which define the expectations for teachers' professional practice. As such, the development of the new career pathway roles is related to the responsibilities and functions of the Council.
- 63 We have agreed to reform the Teachers Council. In anticipation of the proposed new body (EDUCANZ) being established, it would ideally be actively engaged in developing and implementing the initiatives. Deferring this work until the new professional body is established was considered. There is a pressing need to make progress on lifting achievement. Given the timeframes involved in establishing a new body, the work to develop the standards for the new roles will be progressed by the Ministry of Education in conjunction with the Transition Board for EDUCANZ. The Ministry will consult on the development of the standards with the working group. At a later stage, in anticipation of the legislation passing to establish the new body, probably in 2014/15, I expect some or all responsibility for this work will be led by EDUCANZ.
- 64 The Ministry of Education will engage with communities of schools, Executive Principals and Expert Teachers to ensure it knows how these changes are developing on the ground and the impact they are making. From the outset, during the roll out, and at full implementation the Ministry will gather the student learning and achievement impacts of the changes at the system level to inform future development.

Teacher-led Innovation Fund

- 65 A Teacher-led Innovation Fund of \$10 million over 2 years will be established to enable teachers to develop innovative and effective practice. There is a considerable body of international and New Zealand based evidence of what works in classroom practice, to maximise learning outcomes. However, at the front-line, we can improve how we support teachers to keep up to date with the evidence and how to apply it in their own classrooms. The development and replication of innovation in practice is also not systematically supported and there are few incentives or enablers to support change in practice and norms.
- 66 Evidence indicates that high performing education systems that sustain improvement establish mechanisms to support and/or incentivise teachers to:
- constantly review the impact of their teaching practice on learning

- actively seek external observation and critique by colleagues and more experienced teachers and leaders
- seek and contribute to evidence of what works to improve learning outcomes and how they can apply that in their day to day practice.

67 Examples of how this is achieved elsewhere are Singapore's Professional Learning Communities and Hong Kong's Research Endowment Fund. These kinds of structures and mechanisms are significantly under-developed in New Zealand.

68 The Teacher-led Innovation Fund will enable team-based, teacher-led research and development at a practical level, working within schools or across communities of schools. Criteria will be developed for the use of the funding, including a requirement to engage external expertise to help ensure there is rigour and validity to innovative practices, and while innovative it is disciplined enough to be scaled for system wide application. The impact of the fund on teaching practice and student outcomes would be reviewed in the third year and a decision on the possibility of continuation and resourcing made at that time.

Approach, Sequencing and Timing

69 Successful design and implementation will require clarity of purpose. Lifting student learning and achievement will be the central and consistent anchor to all this work. We expect to see measurable gain in student achievement evidenced by robust data collection, use and reporting. This will need to be measurable, transparent, and evidence based. It will need to capture both improvement and summative results. And must be consistent across the system reinforcing the need for the complementary investment in moderation of National Standards to ensure the integrity of data for our Public Achievement Information framework. The other critical success factors are:

- clear standards, accreditation processes and rigorous re-assessment expectations to ensure that we do not simply get more of the same for the further significant investment that this initiative represents
- meaningfully involving stakeholders, employers/boards (represented by NZSTA) and unions
- aligning and reinforcing policy settings and initiatives across the system.

70 To ensure success, a working group will be established, made up of sector leaders representing parents, the profession, and the industrial interests of the teacher and principal unions. It will be chaired by the Secretary for Education. This working group will provide advice on the design of this proposal and its core elements so that they are well supported, able to be effectively implemented and lead to measurable gains in learning and achievement. We need to retain flexibility to enable a process of effective, respectful, and serious engagement with the sector. Annex D identifies groups to be invited to participate. The defined parameters for the Secretary for Education to guide the working group are attached as Annex E.

71 The working group will complete its work by 30 April 2014. the Secretary for Education will report back to Joint Ministers (the Prime Minister, Minister of Finance, Minister for Tertiary Education, Skills and Employment and Minister of Education) as necessary, and with final advice as soon as practicable after 30 April 2014. The Minister of Education will report back to Cabinet on the final design and costs as soon thereafter as practicable.

72 The changes agreed present a significant opportunity to strengthen the profession through leadership and teaching capability, and to support a culture of collaboration within, between, and across schools and their wider communities. However, realising this opportunity will require us to work on how other aspects of the education system

(such as mechanisms to support effective governance and appraisal processes in schools) to effectively reinforce the desired changes and objectives. Given this, the detailed design by the working group, and later implementation may identify welcome improvements to wider system settings.

- 73 We could make a claim for a variation to collective agreements at any time or receive a claim for variation from any or all of the unions. In the absence of such a claim, the school teachers' and principals' collective agreements expire between mid-2015 and early 2016. With design finalised in 2014 then the roles will be managed by way of Secretary's agreement (if no change is agreed through variation to the collective agreements) so that these roles can be developed and commenced.

Risks

- 74 As with any significant system-wide change, the initiatives presented here are not without risk. The Ministry and Secretary for Education will work in a genuine and open way to ensure the sector representatives, including unions and boards of trustees, are part of the design of the changes. This should help establish a collective sense of ownership of the proposal and ensure that any issues that may be raised are worked through together prior to implementation.
- 75 Implementation risks will be managed by establishing clear parameters and expectations on the Secretary for Education, the working group and other key partners to ensure the changes are implemented within the timeframes and on budget. A staggered roll out will also enable implementation issues to be identified and addressed as early as possible. The risk of the changes being ineffective in generating measurable learning and achievement improvements will be managed by the establishment of community based achievement objectives and clear milestones for progress. The Ministry will maintain oversight of the impact of the changes at the national level.
- 76 The proposal has been designed in part to avoid adding complexity to the schools payroll and to avoid additional complexity for schools themselves. Working with the sector on the design will further reduce this risk.

Financial Implications

- 77 A summary of the agreed budget envelope and indicative costs of the proposal is set out in table 2 below:

Table 2: Budget envelope and indicative costs of the proposal

	2014/15	2015/16	2016/17	2017/18	4Yr Total
Career pathway roles (Lead Teachers, Expert Teachers, Executive Principals)	4.251	67.126	115.122	149.355	335.854
Change Principals	0.500	1.500	2.500	3.500	8.000
Accountability	0.762	1.011	1.643	1.976	5.392
Innovation Fund (MYA)		5.000	5.000		10.000
Total \$millions	5.513	74.637	124.265	154.831	359.246

Legislative Implications

- 78 No legislative changes are necessary. We have already agreed to establish a new professional body [CAB MIN (13) 26/10 refers]. This body is expected to play a key role in supporting the changes in this paper. Legislative implications of establishing a new body and disestablishing the New Zealand Teachers Council are already being progressed and I expect a first reading of the Education Amendment Bill in February 2014.

Regulatory Impact

- 79 There are no regulatory implications arising from this paper.

Gender and disability implications

- 80 There are no gender or disability implications arising from this paper.

Consultation

- 81 The Department of Prime Minister and Cabinet has been informed throughout the development of this proposal. The Treasury and the State Services Commission have been consulted on this paper.

Engagement and publicity

- 82 The sector has engaged in discussions regarding career pathways over the past decade, including the recent delegation visit to Asia to look at high performing jurisdictions.
- 83 It is proposed that there is a concurrent briefing of key stakeholders largely through my Ministerial Cross Sector Forum and the EDUCANZ Transition Board on the day of the announcement. A communication strategy is in place to engage widely with the sector and communities. Alongside the working group process the Ministry will dedicate a member of the Leadership Team to engage with the sector at the local level to clearly communicate and receive input and feedback on this initiative as an input to the working group process. This will provide opportunity for teachers, principals and boards of trustees to engage with the developments.

Recommendations

- 84 I recommend that Cabinet

- 1 **note** that Ministers with Power to Act (Prime Minister, Minister of Finance, Minister for Tertiary Education, Skills and Employment and Minister of Education) took decisions on changes to the education system to respond to the achievement challenge. They have;
 - a. **noted** the need to address New Zealand's long standing achievement challenge, which involves both raising the achievement of those who are already doing well and shifting and lifting the learning and achievement of young people for whom the system has consistently struggled to be successful
 - b. **noted** that the Government is already taking action to enhance the status of education professionals and lift the quality of teaching and leadership through changes to initial teacher education, a review of professional learning and development, and strengthening leadership of the profession by transforming the professional body

- c. **noted** that international evidence and a comparison between New Zealand and jurisdictions with high performing education systems suggest the opportunity to make system changes to significantly and substantially strengthen teaching practice and education leadership in New Zealand in order to generate measurable gains in student learning and achievement across the student population
- d. **agreed** the following system changes:
 - i. the establishment of new teaching and leadership roles - 'Executive Principals' (250 positions), 'Expert Teachers' (1,000 positions) and 'Lead Teachers' (5,000 positions) Change Principals Allowance (20 per annum)', - career pathways that attract additional remuneration
 - ii. the creation of a fund to incentivise teacher-led innovation and dissemination of new and effective practice (Teacher-led Innovation Fund)
- e. **agreed** that the Lead and Expert Teacher and Executive Principal roles will be allocated across the school system, with the roll out of these new roles prioritised to areas with the greatest learning and achievement challenges
- f. **agreed** that Change Principals will be incorporated into the system as vacancies arise in the schools most in need
- g. **agreed** the following indicative costs of the 'Investing in Educational Success' proposal, with final costs dependent on the detailed design and sequencing of roll-out:

	2014/15	2015/16	2016/17	2017/18	4Yr Total
Career pathway roles (Lead Teachers, Expert Teachers, Executive Principals)	4.251	67.126	115.122	149.355	335.854
Change Principals	0.500	1.500	2.500	3.500	8.000
Accountability	0.762	1.011	1.643	1.976	5.392
Innovation Fund (MYA)		5.000	5.000		10.000
Total \$millions	5.513	74.637	124.265	154.831	359.246

- h. **agreed** that in order to achieve change in teaching practice that leads to a shift and lift in student learning and achievement, the following features are integral to the final design of the changes:
 - i. professional standards to be attested against for each new role
 - ii. external and independent expertise involved in the appointment of candidates to the new roles
 - iii. establishment of new teaching and leadership roles as fixed-term and/or subject to continuing to meet the professional standards

- iv. schools supported to effectively implement the new roles including increased provision of tools and guidance
 - v. measurable gain in student achievement is evidenced by robust data collection, use and reporting.
 - i. **agreed** that the Secretary for Education will establish and chair a working group of sector leaders to provide advice on the design of the proposal, and its core elements, and that such an approach:
 - i. will recognise the role of the unions in representing the majority of employees and the role of the Secretary for Education (under delegation from the State Services Commissioner) as the employer party for the collective agreements;
 - ii. requires an open mind about the detailed design of new teaching and leadership roles (within the broadly defined design parameters) in order to adhere to the Employment Relations Act's good faith obligations
 - j. **agreed** the representativeness of the groups proposed to be invited to join the working group in Annex D
 - k. **agreed** the parameters proposed to be used by the Secretary for Education with the working group in Annex E
 - l. **agreed** that the working group will complete its work by 30 April 2014
 - m. **agreed** the Secretary for Education will report back to Joint Ministers (the Prime Minister, Minister of Finance, Minister for Tertiary Education, Skills and Employment and Minister of Education) as necessary, and with final advice as soon as practicable after 30 April 2014
 - n. **noted** that the development of the career pathways roles involves changes to employment conditions which can be made in several ways and advice on the detailed design of the proposal, and its core elements, will include recommendations on the best approach
 - o. **agreed** the establishment of a contingency for Investing in Educational Success initiatives be sought as part of the Budget 2014 process
- 2 **invite** the Minister of Education to report back to Cabinet on the final design, cost, implementation plan and timelines.



Hon Hekia Parata
Minister of Education

17, 01, 14

Annex A: The new roles at a glance

New role	Focus of the role	How long will they be appointed for?	Who selects them?	What do they get paid in addition to their normal salary?	How many will there be overall
Executive Principal	These will be highly-capable principals from across the country, with a proven track record of lifting achievement for all students. They will be freed up for two days a week to work with the other schools in their community. They will provide leadership across a community of schools while remaining in their own school. They will establish and work towards objectives across the community of schools. For example, an Executive Principal could support raising achievement in particular areas like maths and science. Each Executive Principal will work with around 10 schools, on average, from primary through to secondary, and support and mentor the other principals in these schools.	Fixed-term appointment for two years, which will be renewable for a further two years.	The Ministry of Education will set up an external selection panel, recruited and trained for this purpose. They will be knowledgeable about the education sector and leadership. This panel will be responsible for selecting Executive Principals along with input from representatives of the local community of schools (e.g. two Chairs of Boards of Trustees). Executive Principals will be required to meet the Executive Principal Professional Standards, which will be developed by experts this year.	\$40,000 additional allowance per year.	Around 250 across the country.

Expert Teacher	These will be highly-capable teachers, with a proven track record. They will work with Executive Principals, and be experts in areas relevant to local achievement objectives such as maths and science. They will work with teachers, inside classrooms, including in other schools within their community, to help lift teaching practice and improve student achievement. They will be freed up for two days a week to work with the other schools in their community.	Fixed-term appointment for two years, which will be renewable for a further two years.	Executive Principals and a member of the external selection panel will select Expert Teachers. They will take into account input from the local community of schools. Selection includes the requirement to meet the Expert Teacher Professional Standards, which will be developed by experts this year.	\$20,000 additional allowance per year.	Around 1,000 across the country. This equates to around 2 per cent of the current full-time teaching workforce.
Lead Teacher	These will be highly-effective teachers, with a proven track record, who will act as a role model for teachers within their own and other schools in their community. Their classroom will be open for other teachers, including beginning teachers, to observe and learn from their practice.	On-going appointment but need to be assessed every three years.	Executive Principals and a member of the external selection panel, will select Lead Teachers. Selection includes the requirement to meet the Lead Teacher Professional Standards, which will be developed by experts this year.	\$10,000 additional allowance per year.	Around 5,000 across the country. This equates to around 10 per cent of the current full-time teaching workforce.
Change Principal	They will be employed to lift achievement in schools that are really struggling. Many Boards of Trustees of schools that are performing poorly want to recruit an outstanding principal to turn their results around.	The additional allowance is fixed-term for three years, and renewable for a further two years.	Change Principals will be recruited and appointed as vacancies arise by the relevant school's Board of Trustees, with input from a member of the external selection panel.	\$50,000 additional allowance per year, on top of the salary the relevant school offers.	Around 20 schools each year.

NB: The final details of these new roles and how they will be appointed still has to be worked through with the education sector and are subject to change.

Annex B: Quality Teaching Agenda

Areas of Focus	Achievements
Establishing a new professional body to provide stronger leadership of the profession	<ul style="list-style-type: none"> • Agreement to establish a new professional body, Education Council Aotearoa New Zealand (EDUCANZ), to replace the NZ Teachers Council • Legislative changes being progressed, to be enacted in this term of Government • Transition Board is in place
Reforming initial teacher education (ITE)	<ul style="list-style-type: none"> • Exemplary postgraduate ITE programmes for English- medium settings are being purchased to get more effective content and design • Two programmes have been contracted to begin in 2014 and agreement is being finalised for programmes to start in 2015
Raising the status of the teaching profession	<ul style="list-style-type: none"> • Prime Minister's Education Excellence Awards launched for presentation in June 2014 • Hosting International Teaching Summit: March 2014 • Festivals of Education in Auckland, Wellington, and Christchurch to occur in March 2014
Reforming centrally managed teacher and principal Professional Learning and Development (PLD)	<ul style="list-style-type: none"> • Aligning more closely with best evidence of what works • Increasing impact, value and management of central contracts • Sector working group to review PLD
Strengthening teacher and principal Appraisal	<ul style="list-style-type: none"> • Contracted Education Review Office (ERO) to produce national report on current quality and effectiveness of appraisal to provide baseline • New Zealand Teachers Council progress with strengthening the teacher appraisal process associated with registration • Investment into New Zealand School Trustees Association to help lift boards' human resource practices, including appraisal processes

Annex C: Key features of career pathways and proposed responses

Key features	Proposed Responses
Clear professional standards that are recognised and valued by the profession and boards of trustees, and create clear expectations against which performance can be assessed and developed	<ul style="list-style-type: none"> Professional standards to describe the capabilities for each role Establishment of local achievement objectives, in consultation with the wider community of schools (where applicable)
Rigorous and consistent appraisal, attestation and assessment against standards	<ul style="list-style-type: none"> Assessment of candidates for the roles against professional standards and expectations, either by an external panel (for Executive Principals), or by Executive Principals supported by external specialists and input from the local community of schools (for Expert and Lead Teachers) Ongoing appraisal by the employing school board against the professional standards and local achievement objectives, including input from the wider community of schools being served by Executive Principals and Expert Teachers
High levels of capability in the sector, including amongst boards of trustees, appraisers and external selection / moderation panels, to ensure that standards are used effectively	<ul style="list-style-type: none"> The provision of tools, support and guidance to boards of trustees, to support effective appraisal and feedback Strengthened 'horizontal' accountability within the profession, supported through greater peer involvement in observation, appraisal and feedback
Reliable evidence gathered and presented through the appraisal process and through schools' planning and reporting that demonstrates the impact of the new roles on the quality of teaching and students achievement over time	<ul style="list-style-type: none"> Continued employment in the new roles is conditional on continuing to meet the standards Moderation of appraisal processes through a national sampling regime Clear linkage to measurable gain in student achievement

Annex D – Working Group Membership

The following groups will be invited to participate in the working group:

1. New Zealand School Trustees Association
2. New Zealand Educational Institute
3. Post Primary Teachers' Association
4. Te Tari Puna Ora o Aotearoa
5. New Zealand Principals Federation
6. Secondary Principals Association of New Zealand
7. New Zealand Area Schools Association
8. New Zealand Association of Intermediate and Middle Schooling
9. Nga Kura a Iwi o Aotearoa
10. Te Rūnanganui o Ngā Kura Kaupapa Māori
11. Pasifika Principals' Association

Annex E – Working Group Parameters

The working group's deliberations will inform final decisions by Cabinet. It is likely that there will be elements that the working group will recommend change or amendment of or addition to; that is the nature of the process. Cabinet's decisions will provide the framework, but the Secretary for Education must have sufficient flexibility and discretion to navigate the process to as close a consensus as possible, within that framework.

The Secretary will also be cognisant of the Government's Expectations on Pay and Employment Conditions in the State Sector.

The specific parameters within which the Secretary for Education will operate in chairing the group are proposed to be:

1. Accountability at all levels for improvements in the quality of teaching to raise student achievement
2. Measurable gain in student achievement evidenced by robust data collection, use, and reporting
3. Improved career pathways that recognise and give status to highly effective practitioners and which include:
 - a. two new types of teaching roles with leadership responsibility for improvement in practice within and across schools
 - b. two new types of principal roles with responsibility for leading improvement across a community of schools, and for selected schools, where complete transformation is required
4. New roles are based on
 - a. robust national professional standards
 - b. rigorous process of appointment
 - c. monitoring of practice
 - d. external moderation
5. New roles are phased in from 2015
6. New teaching roles are subject to regular renewal requirements
7. New leadership roles are made on a fixed term basis
8. Schools are supported to release teachers for new roles
9. The changes support schools and teachers to work together across communities to utilise new roles and improve teaching practice and educational achievement
10. Mechanisms for teachers to undertake collaborative inquiry, innovate and apply evidence-informed practice
11. Consistent tools and resources are used to collect and analyse student level data, to record and report measurable gain in individual and aggregate student achievement
12. No change may undermine the existing board of trustee employment of teachers and principals
13. Any recommendation must deliver within budget (\$359.246m over four years; no more than \$154.830m in out years)
14. The number of any new positions and the amount of any new allowances are not linked to forecast changes (including roll growth)
15. Implementation costs are within the budget of \$359.246m and/or the existing baseline budgets of the relevant organisation.

Chair

Social Policy Committee

Investing in Educational Success: design and implementation

Purpose

- 1 This paper provides you with the report of the Investing in Educational Success (IES) Working Group (the Working Group) and seeks your agreement to the Ministry of Education continuing to progress the implementation of IES; and to draw down funding from the IES operating contingency to develop the accountability and appointment arrangements for the new teaching and leadership roles.
- 2 This paper also notes my intention to release the Working Group report. While recognising that its advice does not constitute government policy, I do wish to acknowledge the constructive process of development, the very helpful contribution to the design of the investment, and the changed elements set out in this paper that derive from it.

Executive Summary

- 3 The Working Group, chaired by the Secretary for Education and comprised of representatives across the profession, was established to provide advice on the further design and implementation of IES. The Working Group has completed its final report (attached). The Working Group valued the opportunity to work on the design of IES and has delivered advice that reflects their deep knowledge, experience, and commitment to improving outcomes for all students in New Zealand. This input has, as intended, improved the design of the initiative helping it to be well supported, able to be effectively implemented and to lead to measurable gains in learning and achievement.
- 4 The Working Group had lengthy, detailed and useful discussions about all aspects of IES. They took their role in advising on the detailed design very seriously. Their deliberation over the foundational elements of IES, such as student achievement, the students being left behind by the system, the challenges of the profession and other related work, provided a richer context in which to situate the overall design of IES. The Working Group supported the features that Cabinet agreed were integral to the intent [CAB Min (14 1/14 refers):
 - a. professional standards to be attested against for each new role
 - b. external and independent expertise involved in the appointment of candidates to the new roles
 - c. establishment of new teaching and leadership roles as fixed-term and/or subject to continuing to meet the professional standards
 - d. schools supported to effectively implement the new roles including appropriate provision of tools and guidance
 - e. measurable gain in student achievement evidenced by robust data collection, use and reporting.

- 5 The Working Group report provides useful recommendations and suggestions for the final design detail of IES. The Group confirms support for the purpose of IES of improving outcomes for all students and define these as the valued outcomes set out in the New Zealand Curriculum and/or Te Marautanga o Aotearoa, including student achievement.
- 6 The Working Group's advice includes proposals that self-identified Communities of Schools are a key element of IES. The Group proposed that these new Communities of Schools will have access to the new teaching and leadership roles and Inquiry Time resource to support collaboration focused on improving student outcomes. The Working Group agreed that the new roles will also provide clearer career pathways for teachers.
- 7 The Working Group report also provides clear direction for the provision of a payment to boards of trustees of the most high needs schools to help them recruit highly effective principals as vacancies arise.
- 8 The Working Group identified four particular areas for change to the policy [CAB Min (14/14 refers):
 - a. changing the names of the roles – for example, the title 'Executive Principal' was considered to infer a managerial hierarchy over other principals when the function is intended to deliver collaborative leadership and shared action across schools and between principals. Discussions continue to finalise agreed titles.
 - b. rebalancing the allocation of funding to the new roles – for example, the sector leaders generally considered the level of the allowances to be higher than needed to create the incentive and reward sought for the roles, and considered that an increased provision of Inquiry Time could be provided while staying within the overall funding parameters
 - c. linking the number of roles and amount of Inquiry Time to the normal annual staffing adjustments which accompany demographic changes (the report acknowledged that this falls outside the parameters agreed by Cabinet)
 - d. phasing of the \$10million Teacher-led Innovation Fund over three years rather than two.
- 9 There are several mechanisms through which agreement to the proposals for change will be progressed:
 - a. through agreed work-streams to establish Communities of Schools, develop professional standards for the new roles, develop processes for selection, appointment and appraisal of the new roles
 - b. in further work to be undertaken by the Ministry of Education to establish the Teacher-led Innovation Fund, the recruitment of principals for high-need schools, the process for the setting of the achievement challenges for the new communities of schools, and the design of the achievement challenge measures and indicators
 - c. in further discussions between the relevant parties to confirm key elements that support the integrity of the IES and what might appropriately be subject to industrial bargaining
 - d. through the collective agreement variation process.
- 10 An operating contingency for the IES initiative was established in Budget 2014. I propose drawing down funding to implement the key accountability and appointment elements of the initiative to enable the first new roles to be appointed for implementation in early 2015. This includes funding for the design and development of the professional

standards for the new roles and supporting the selection and appointment process (including external expert input and moderation).

- 11 The Secretary for Education proposes initiating bargaining for variations to the relevant collective agreements as soon as possible. The Secretary is consulting with central agencies on the claims for bargaining. The Ministry of Education will provide further advice as the process gets underway, and throughout.
- 12 I propose to provide monthly updates, and as required, to a group of Joint Ministers comprising the Prime Minister, Minister of Finance, Minister for Tertiary Education, Skills and Employment, and the Minister of State Services. This will cover progress on the work-streams and bargaining, implementation and timelines.
- 13 I propose releasing the report of the Working Group as soon as practicable.

Background

- 14 IES responds to New Zealand's achievement challenge. Our top students are doing as well as the top students anywhere in the world, but there is a big gap between our top performing students and those who are not doing so well. International studies also tell us that we are not keeping pace with other high performing jurisdictions and are falling short of our own previous results.
- 15 In 2013 the Ministry of Education undertook work to identify opportunities to strengthen the schooling sector of our education system and address the achievement challenge. This involved a review of the evidence of what makes the biggest difference to student achievement, consideration of current strengths and weaknesses of the New Zealand schooling system and the experiences of other jurisdictions that have been successful in raising achievement for all students. Advice also built on the findings of the 2013 delegation of sector leaders to Singapore and Hong Kong.
- 16 Evidence demonstrates that investing in the profession to raise the quality of teaching and leadership provides the best opportunity to deliver the improved educational outcomes we seek. There is sufficient capacity in the system and we have some of the best teachers and leaders in the world. Capability is inconsistent however, and there are barriers to ensuring best practice is universal practice.
- 17 Cabinet agreed proposals and established a contingency of \$359.246 million over four years in Budget 2014, for the IES initiative to address the achievement challenge [CAB Min (14) 1/14 refers]. IES is designed to shift and lift student achievement through:
 - a. recognising and using expertise across the system where it is needed most
 - b. creating opportunities and incentives for good teachers to stay in the classroom
 - c. encouraging collaboration across the system
 - d. enhancing opportunities for teacher-led innovation of new and good practice, to make clearly visible what is possible, new and exciting
 - e. incentivising outstanding leaders to take up principal roles to make schools better, and turn around struggling schools
 - f. creating more opportunities and two clear pathways to a fuller professional career as a teacher or a principal
 - g. a group of measures to record and report on the progress of the achievement challenge.

18 The core elements of IES agreed by Cabinet were:

- a. new roles to support schools and teachers to work together across communities to improve teaching practice and educational achievement
- b. improved career pathways that recognise and give status to highly effective practitioners through the establishment of a Change Principal Allowance, an Executive Principal role and Expert and Lead Teacher roles
- c. the provision for Inquiry Time and the Teacher-led Innovation fund as mechanisms for teachers to undertake collaborative inquiry, innovate and apply evidence-informed practice
- d. changes will be delivered within budget (\$359.246m over four years; no more than \$154.830m in out years).

19 In making its decisions Cabinet recognised the need to retain flexibility to amend the original proposal and enable a process of effective, respectful, and serious engagement with the sector. The early announcement of the investment, well ahead of Budget 2014, enabled a Working Group to be established as a first step to help ensure the design will be well supported, able to be effectively implemented and lead to measurable gains in learning and achievement. The process recognises the role of teacher and principal unions and that of school boards as the employer, represented by the New Zealand School Trustees Association (NZSTA).

Working Group report

20 A Working Group, chaired by the Secretary for Education, was established to provide advice on the final design and implementation detail of IES. The Group deliberated over February-April and has completed its final report (attached).

21 The Working Group expressed broad support for the intent of IES. For some elements, the Working Group supported initial Cabinet agreements and provided further advice on design details. The Working Group recommended three work-streams be established to progress further work. For other elements, the Working Group suggested changes to the initial design or that further work be undertaken to finalise design proposals.

22 The Working Group proposed changes to the policy [Cab Min 14 1/14 refers], including:

- a. changing the names of the roles – work continues to establish recommendations for final titles
- b. rebalancing the allocation of funding to the new roles – work continues on allowances and details
- c. linking the number of roles and amount of Inquiry Time to the normal annual staffing adjustments which accompany demographic changes. The report acknowledged that this falls outside the parameters agreed by Cabinet.
- d. phasing of the Teacher-led Innovation Fund, so that the \$10 million is made available over three years rather than two.

23 The Working Group advised that the names for the new roles needed further refinement to reflect their purpose of providing for greater collaborative leadership and shared action on raising achievement. They will also need to be easily understood by parents and signify sufficient recognition within the profession to provide for an alternative career pathway. I am open to considering alternatives but will need to be persuaded that the current simple, functional titles need replacing.

- 24 The Working Group advised that there may be an opportunity to rebalance the allocation of funding between the allowances for the new roles and Inquiry Time. This is likely to be the subject of bargaining. It will be important to maintain the right level of incentives for these new roles and benchmarking with existing roles. I am supportive of recalibrating these allowances to release funding to further improve access to Inquiry Time for teachers to address the Community of School's shared achievement challenges. At the same time the differential must maintain the intended incentivising level to support the system shift and lift they are designed for, and be affordable within the existing funding parameters for the approved package.
- 25 The Working Group proposed linking the number of roles and amount of Inquiry Time to the normal annual staffing adjustments which accompany demographic changes. The rationale for this was that it would ensure that sufficient coverage of resource was maintained to provide for the system shift intended with IES; while ensuring that enough expertise is available across all communities to support improvement in teacher practices and lift student achievement. It also provides enough flexibility to manage the impact of population changes between communities and regions across the country.
- 26 I have considered the proposal and agree that the amount of Inquiry Time be linked to normal annual staffing adjustments which accompany demographic changes. Projected roll growth is minor over the next 10 years. I therefore propose that any associated costs of adjustments are met from within baselines.
- 27 I also propose a periodic review, rather than automatic adjustment of the number of roles and allowances to maintain an appropriate relationship to roll growth. This will necessarily mean the total budget envelope and outyear costs are subject to fluctuation as populations change. Where these changes lead to an increased cost this would be managed within the normal budget processes.
- 28 The Working Group has sought a change to the allocation of the Teacher-Led Investment Fund from an allocation of \$5 million in each of the 2015/16 and 2016/17 years to an allocation of \$4 million in 2016/17, \$4 million in 2016/17 and \$2 million in 2017/18. This is intended to better meet the desired objectives of the Fund.
- 29 I agree that a three year timeframe would be beneficial and would allow for evaluation to take place to inform future budget decisions. However, based on the experience of slower start up building to greater demand over time I propose a new phasing of \$2 million in 2015/16, \$4 million in 2016/17 and \$4 million in 2017/18. I propose to draw down this contingency later this financial year when further work on the process for application to and allocation of the Fund is complete.
- 30 Finally, the Working Group agreed IES would be facilitated through the formation of Communities of Schools in which teaching and leadership expertise will be identified and shared to strengthen teaching practices and lift student achievement. This new approach, in which schools systematically work collaboratively to identify achievement priorities, has the potential to strengthen a professional culture that demands and accepts responsibility for ensuring every student achieves educational success.
- 31 The Post Primary Teachers Association (PPTA) has indicated that its continued support relies on an effective balance between the expressed objectives of the initiative and their critique of the original model, and will be subject to collective bargaining. The New Zealand Educational Institute Te Riu Roa (NZEI) representatives indicated they are unable to make commitments to IES until they consult with their members after the initiation of bargaining for collective agreement variations. Both unions remain involved in continuing work on design and implementation planning.

The Achievement Challenges

- 32 The central purpose of the IES is to raise the achievement of all our children and young people. The appointment of these new roles into communities of schools is to provide collaborative responses to the significant cross community achievement challenges that are specific to that community. We have developed a very strong and comprehensive data and information framework from early learning to senior secondary that will allow us to become increasingly more precise about how and where we target, and what we invest to make the difference between educational failure and success.
- 33 The Ministry of Education will lead a process to establish what data is needed, and how the achievement challenges will be set community by community. The Ministry will also lead a process by which a group of measures and indicators necessary to determine what progress is being made are articulated and work together. I expect that such a set will include both quantitative measures such as National Standards and NCEA results, together with qualitative indicators such as participation and engagement, and other indicators identified in the basket of measures referred to in the Working Group report.
- 34 While creating better career pathways and raising the status of the profession are important in themselves, if we do not see the gains in learning and achievement for each and every child and young person, we will not be getting the investment for success that this initiative is designed to deliver.
- 35 The advice of the Working Group provides a strong foundation on which to continue work on the design and implementation of IES, as set out in paragraph 17 above. The advice supports the policy intent of IES and indicates broad support from sector leaders for the initiative. To maintain the integrity of the initiative and consistency with the original vision for IES, I expect the Ministry to continue to engage with the sector to ensure the final design is consistent with paragraph 4 above.
- 36 We remain on track to deliver against this framework.

Next steps

- 37 There are several mechanisms through which agreement over final design and implementation detail will be progressed:
- a. through agreed work-streams: establishing Communities of Schools, developing professional standards for the new roles and, developing processes for selection, appointment and appraisal of the new roles
 - b. in further work undertaken by the Ministry of Education to establish processes and procedures for the Teacher-led Innovation fund and recruitment of principals for high-need schools
 - c. in further discussions between the relevant parties to confirm key elements that support the integrity of the IES and what might appropriately be subject to industrial bargaining
 - d. through the collective agreement variation process.
- 38 Continuing with the detailed design work recommended by the Working Group involves the establishment of work-streams on:
- a. Communities of Schools – the processes for establishment and ongoing operation
 - b. professional standards - to describe the capabilities required for new roles

c. selection, appointment and appraisal for the new roles.

39 The Working Group report provided direction about the scope and focus for these work-streams and also identified the desirability of undertaking them jointly between the Ministry and the sector. Initial engagement with sector representatives' organisations has been agreed.

40 In addition, the Ministry of Education will also progress design and planning for the Teacher-led Innovation Fund, the Change Principal Allowance, the establishment of the external expert panel to support the selection and appointment of new roles, and the setting and monitoring of the achievement challenges. This will also involve collaborative work with the sector, but at a less intensive level.

41 The Ministry of Education is putting in place governance, coordination and advisory structures to ensure effective oversight of the work-streams and ensure appropriate linkages between this work, bargaining, and the wider quality teaching agenda.

42 The Secretary for Education has delegated authority from the State Service Commissioner to undertake bargaining and has indicated that he intends to initiate bargaining for variations to the six relevant collective agreements, as soon as possible, following decisions on this paper. The Secretary is consulting with central agencies (State Services Commission, Treasury and the Department of the Prime Minister and Cabinet) about the parameters for bargaining and will provide regular updates as the process progresses. Prior to, and in parallel with bargaining, the Secretary for Education also intends to continue discussions with the unions about:

- a. process
- b. common themes, and the scope of bargaining
- c. the elements of IES that will be progressed in non-industrial processes including the agreed work-streams and broader sector engagement.

43

Withheld under the Official Information Act 1982 section
9(2)(j) to enable the carrying out of industrial negotiations
without prejudice or disadvantage.

44 The Ministry of Education will assess next steps when there is more information about the extent and nature of the unions' bargaining positions and provide me with a further update at that time. Updates on progress with bargaining will be included in the regular reporting to the Committee of Ministers on State Sector Employment Relations.

Evaluation

45 The Ministry is designing the evaluation framework that will include both formative and summative responses. The formative evaluation will assist in improving the design and effectiveness in the early stages of implementation and the summative will provide evidence of the impact and effectiveness of the investment, most particularly student achievement impacts.

46 It is not intended that this framework will require a new set of system processes but will draw on existing processes and agency functions, such as ERO's evaluation framework.

As IES reshapes the system, agencies' monitoring and evaluation practices and methodologies will be expected to adjust accordingly.

Timeframes and reporting to Ministers and Cabinet

47 I propose to provide monthly updates, and as required, to a group of joint Ministers comprising the Prime Minister, Minister of Finance, Minister for Tertiary Education, Skills and Employment, and the Minister of State Services. This will cover progress on the work-streams and bargaining and identify risks to implementation and timelines.

48 Table 1 sets out an indicative timeline for key next steps. There are necessarily several iterative and parallel work-streams.

Table 1: Timeline for design and implementation of IES

Ongoing	Engagement with sector.
May 2014	Work-streams established and work commences.
	Bargaining parameters set (Secretary for Education in consultation with State Services Commissioner).
June 2014	Bargaining initiated.
July 2014	Community of Schools work-stream reports to the Secretary for Education and provides guidance on their formation.
August 2014	Selection, appointment and appraisal work-stream provides advice to the Secretary for Education.
	Advice to the Secretary for Education about the implementation of the Principal Recruitment Allowance (Change Principals).
	Writing Standards Group provides advice to the Secretary for Education
September 2014	Work-stream provides advice to the Secretary for Education about the implementation of the Teacher-led Innovation Fund.
October 2014	Report back to Cabinet on the outcomes of the workstreams, final design, costs and implementation and evaluation plan and timelines, and to draw down funding to enable implementation.
November 2014	Process for appointments to begin
December 2014	First appointments to be made
January 2015	Implementation in schools commences (assuming bargaining completed).

Relationship to proposal to establish a new professional body (EDUCANZ)

49 We have already agreed to establish a new professional body [CAB MIN (13) 26/10 refers]. This body is expected to play a role in supporting the changes in this paper. Legislative requirements to establish a new body (EDUCANZ) and disestablish the New Zealand Teachers Council are underway. The first reading of the Education Amendment Bill (No. 2) took place on 13 March 2014 and the Bill is now before Select Committee. Until the legislative process is concluded, the Ministry will progress development of standards to support the selection, appointment and ongoing appraisal for the new roles.

50 The EDUCANZ Transition Board will be informed as part of the process for the development of the professional standards for the new role, and about other relevant aspects of the design of IES.

Risks

- 51 The Working Group process has enabled representatives of the sector to have a strong and meaningful role in shaping the further design of the IES package. However, there is still caution in the sector about how readily the changes will be able to be embedded into the system and in some of the detail.
- 52 Ongoing engagement with the sector in parallel with bargaining processes will allow those concerns and details to be worked through and will also enable the sector to inform the further design.
- 53 A phased roll out will enable implementation issues to be identified and addressed as early as possible. An IES Advisory Group is being established, led by the Ministry of Education and with representation from the sector, to provide advice on further design work and the implementation and ongoing impact of the changes at the national level.
- 54 The risk of the changes being ineffective in generating measurable learning and achievement improvements will be managed by the establishment of community based achievement objectives and clear milestones for progress. Robust selection and appointment processes for the new roles, underpinned by clear standards for assessing their capability and performance will also mitigate this risk. In addition, the formative aspects of the evaluation will assist in monitoring effectiveness and improving the design and impact in the early stages of implementation.
- 55 There are a number of dependencies in the delivery of the implementation timeline (including agreeing to variations to the six collective agreements).
- 56 Further analysis of potential scenarios is being undertaken to plan more detailed mitigation and delivery responses. The Ministry will provide updates on this work to Joint Ministers.

Financial Implications

- 57 The agreed indicative costs and budget envelope provided for in the contingency for IES established in Budget 2014 is set out in table 2:

Table 2: Budget envelope and indicative costs of Investing in Educational Success

IES elements	2014/15 \$million	2015/16 \$million	2016/17 \$million	2017/18 \$million	4Yr Total \$million
Career pathway roles	4.251	67,126	115,122	149,355	335,854
Change Principals (Principal Recruitment Allowance)	0.500	1,500	2,500	3,500	8,000
Accountability (and appointments)	0.762	1,011	1,643	1,976	5,392
Innovation Fund (MYA)		5,000	5,000		10,000
Total \$millions	5.513	74,637	124,265	154,831	359,246

- 58 I propose drawing down funding to establish the key accountability and appointment elements of the initiative before the first new roles are appointed. This includes:

- a. design and development of the professional standards that will describe the capabilities required of people appointed to the new roles
 - b. the establishment of a pool of external experts to assess applications for appointment to new roles based on the new professional standards
 - c. the design of selection and appointment processes for the new roles, including external expert input and moderation
- 59 To complete this work, the Ministry of Education will need to purchase external expertise and retain services to support the selection and appointment to the new roles.
- 60 The bulk of costs in the 2014/15 financial year are for the development of the professional standards that underpin selection of people for the new roles and the establishment of the national panel of experts that will assess applicants against the new professional standards. Costs will then be largely associated with the selection and appointment of the new roles in a phased roll out over the four years to 2018. In addition the Ministry of Education will develop guidance and communicate the process required and roles and responsibilities.
- 61 Changes to the contingency for IES following draw down of funding to implement the accountability and appointment elements is set out in table 3:

Table 3: Changes to IES contingency following draw down of funding for accountability and appointment elements

<i>All figures in \$ millions</i>	2013/14	2014/15	2015/16	2016/17	2017/18 & Outyears
Investing in Educational Success	-	5.513	74.637	124.265	154.831
Accountability and appointment arrangements	-	(0.762)	(1.011)	(1.643)	(1.976)
Balance remaining	-	4.751	73.626	122.622	152.855

- 62 In the interim the funding will be appropriated to departmental output expense Support and Resources for Teachers. Changes to costs and phasing may be required later when final decisions on detailed design are taken.
- 63 Agreeing automatic adjustments to the amount of Inquiry Time aligned to normal annual staffing changes which accompany demographic changes will mean the total budget envelope will be subject to fluctuation, both increase and decrease. A periodic review, rather than automatic adjustment of the number of roles and allowances is proposed to maintain an appropriate relationship to roll growth. Where annual adjustments to Inquiry Time lead to increased cost this would be managed within baseline. If there is an increase in cost arising from periodic adjustment to the number of roles this will be managed through the normal budget processes.

Legislative Implications

- 64 No legislative changes are necessary.

Regulatory Impact

- 65 There are no regulatory implications arising from this paper.

Gender and disability implications

66 There are no gender or disability implications arising from this paper.

Consultation

67 The Department of Prime Minister and Cabinet has been informed throughout the development of this proposal. The Treasury and the State Services Commission have been consulted on this paper.

Engagement and publicity

68 I propose releasing the report of the Working Group on the Ministry of Education website, as soon as practicable. The Working Group process has provided for an intensive period of engagement with a group of sector representatives to give detailed design advice. However, the confidentiality surrounding the Working Group's activity has limited broader engagement. Releasing the report publicly will enable continued and extended engagement.

69 The Ministerial Cross Sector Forum has been engaged in discussion on the IES as it has been developed. Between officials and myself over 40 face to face presentations and discussions have been held with the sector and other interested stakeholders since IES was announced by the Prime Minister in January.

70 The process of engagement will continue and expand and the Ministry of Education will develop this approach in discussion with the IES Advisory Group. I will update Joint Ministers on the further development of this engagement approach.

Recommendations

71 I recommend that the Committee:

1. **note** that Cabinet agreed proposals and established a contingency of \$359.246 million over four years in Budget 2014 for an initiative to shift and lift student achievement [CAB Min (13) 42/8 and CAB Min (14) 1/14 refer]
2. **note** that IES is designed to shift and lift student achievement through:
 - i. recognising and using expertise across the system where it is needed most
 - ii. creating opportunities and incentives for good teachers to stay in the classroom
 - iii. encouraging collaboration across the system
 - iv. enhancing opportunities for teacher-led innovation of new and good practice, to make clearly visible what is possible, new and exciting
 - v. incentivising outstanding leaders to take up principal roles to make schools better, and turn around struggling schools
 - vi. creating more opportunities and two clear pathways to a fuller professional career as a teacher or a principal
 - vii. a group of measures to record and report on the progress of the achievement challenge
3. **note** that the proposed Investing in Educational Success initiative would include the following system changes:
 - i. the establishment of new teaching and leadership roles - Executive Principals Role, 250 positions; Expert Teachers Role, 1,000 positions; Lead Teachers

Role, 5,000 positions; Change Principals Allowance, 20 per annum', - career pathways that attract additional remuneration

- ii. the creation of a fund to incentivise teacher-led innovation and dissemination of new and effective practice (Teacher-led Innovation Fund)
4. **note** that Cabinet also agreed that the Secretary for Education would establish and chair a working group of sector leaders to provide advice on the design of the proposal, and its core elements, and that such an approach:
 - i. will recognise the role of the unions in representing the majority of employees and the role of the Secretary for Education (under delegation from the State Services Commissioner) as the employer party for the collective agreements;
 - ii. requires an open mind about the detailed design of new teaching and leadership roles (within the broadly defined design parameters) in order to adhere to the Employment Relations Act's good faith obligations
5. **note** that the Investing in Educational Success Working Group has provided its final report to the Secretary for Education
6. **note** that the Working Group expressed broad support for the intent of Investing in Educational Success
7. **note** the Working Group report includes both agreed approaches and separate statements of positions
8. **note** the Working Group report does not represent Government policy
9. **agree** to release the report of the Working Group as soon as practicable
10. **note** that in order to achieve a shift and lift in student learning and achievement by changing teaching practice, the following critical success factors should be retained in the final design of the changes:
 - i. professional standards to be attested against for each new role
 - ii. external and independent expertise involved in the appointment of candidates to the new roles
 - iii. establishment of new teaching and leadership roles as fixed-term and/or subject to continuing to meet the professional standards
 - iv. schools supported to effectively implement the new roles including increased provision of tools and guidance
 - v. a focus on forming the achievement challenge community by community
 - vi. a group of measures to record and report on the progress of the achievement challenge
11. **note** that the Working Group recommended changes to the initial design for some elements:
 - i. changing the names of the roles

- ii. rebalancing the allocation of funding to the new roles
- iii. linking the number of roles and amount of Inquiry Time to the normal annual staffing adjustments which accompany demographic changes (the report acknowledged that this falls outside the parameters agreed by Cabinet)
- iv. phasing of the Teacher-led Innovation Fund, so that the \$10 million is made available over three years rather than two

12. **agree** work continues with the sector to finalise:

- i. descriptions for the roles
- ii. rebalancing the allocation of funding to the new roles

13. **agree** the phasing of the Teacher-Led Innovation Fund over three years of \$2 million in 2015/16, \$4 million in 2016/17 and \$4 million in 2017/18, to be drawn down at a later time

14. **note** the Working Group's rationale for linking numbers of roles and amount of inquiry time to normal annual staffing adjustments, is that this would ensure that sufficient coverage of resource was maintained to provide for the system shift intended with IES that enough expertise is available across all communities to support improvement in teacher practices and lift student achievement

15. **agree** the Working Group advice to adjust the amount of Inquiry Time in line with demographic changes, which is outside the parameters agreed by Cabinet for the design of IES

16. **agree** a periodic review, rather than automatic adjustment of the number of roles and allowances to maintain an appropriate relationship to roll growth

17. **note** that the cost of any annual adjustments to Inquiry Time will be managed within baseline, while the cost of periodically adjusting the number of roles will be managed through the normal budget process

18. **note** that elements for which the Working Group did not make final design recommendations, will be progressed:

- i. through three agreed work-streams; establishing Communities of Schools, developing professional standards for the new roles, developing processes for selection, appointment and appraisal of the new roles
- ii. in further work undertaken by the Ministry of Education to establish processes and procedures for the Teacher led Innovation fund, recruitment of principals for high-needs schools, setting and measuring achievement challenges
- iii. in further discussions between the relevant parties to confirm key elements that support the integrity of IES and what might appropriately be subject to industrial bargaining
- iv. through the collective agreement variation process
- v. through Ministers' response to the report

19. **note** the Secretary for Education will initiate bargaining for variations to collective agreements as soon as practicable

20. **note** the Ministry of Education will provide updates to central agencies and the Committee of Ministers on State Sector Employment Relations as bargaining progresses
21. **note** the planning to implement the IES from the beginning of 2015 but that this is dependent on the progress of the work-streams, and discussions with the sector in the parallel bargaining processes
22. **agree** that the Minister of Education will provide monthly updates, and as required, to a group of joint Ministers comprising the Prime Minister, Minister of Finance, Minister for Tertiary Education, Skills and Employment, and the Minister of State Services
23. **approve** the following changes to appropriations to design and develop professional standards, establish external expert panels and to develop processes for the selection and appointment to the new roles, with a corresponding impact to the operating balance:

	\$ million – increase/(decrease)				
Vote Education Minister of Education	2013/14	2014/15	2015/16	2016/17	2017/18 & Outyears
Departmental Output Expense: Support and Resources for Teachers (funded by revenue Crown)		0.762	1.011	1.643	1.976

24. **agree** that the changes to appropriations for 2014/15 above be included in the 2014/15 Supplementary Estimates and that, in the interim, these increases be met from Imprest Supply
25. **agree** that the changes to appropriations above be charged against the tagged operating contingency 'Investing in Educational Success' established as part of Budget 2014 as follows:

	\$ million – increase/(decrease)				
	2013/14	2014/15	2015/16	2016/17	2017/18 & Outyears
Investing in Educational Success	-	5.513	74.637	124.265	154.831
Accountability arrangements	-	(0.762)	(1.011)	(1.643)	(1.976)
Balance Remaining	-	4.751	73.626	122.622	152.855

26. **note** that the Minister of Education will report back to Cabinet in October 2014 on the outcomes of the work-streams, final design, costs and implementation and evaluation plan and timelines and to drawdown funding to enable implementation.

A handwritten signature in black ink, reading 'Hekia Parata'.

Hon Hekia Parata
Minister of Education

22 / 05 / 2014_



Cabinet Social Policy Committee

SOC Min (14) 10/3

Copy No: 6

Minute of Decision

This document contains information for the New Zealand Cabinet. It must be treated in confidence and handled in accordance with any security classification, or other endorsement. The information can only be released, including under the Official Information Act 1982, by persons with the appropriate authority.

Investing in Educational Success: Design and Implementation

Portfolio: Education

On 28 May 2014, the Cabinet Social Policy Committee, having been authorised by Cabinet to have Power to Act [CAB Min (14) 18/22]:

- 1 **noted** that in January 2014, Cabinet agreed to the establishment of a contingency of \$359.246 million over four years in Budget 2014 for an initiative to shift and lift student achievement [CAB Min (14) 1/14];
- 2 **noted** that Investing in Educational Success (IES) is designed to shift and lift student achievement through:
 - 2.1 recognising and using expertise across the system where it is needed most;
 - 2.2 creating opportunities and incentives for good teachers to stay in the classroom;
 - 2.3 encouraging collaboration across the system;
 - 2.4 enhancing opportunities for teacher-led innovation of new and good practice, to make clearly visible what is possible, new and exciting;
 - 2.5 incentivising outstanding leaders to take up principal roles to make schools better, and turn around struggling schools;
 - 2.6 creating more opportunities and two clear pathways to a fuller professional career as a teacher or a principal;
 - 2.7 a group of measures to record and report on the progress of the achievement challenge;
- 3 **noted** that Cabinet agreed that the IES initiative shall include the following system changes:
 - 3.1 the establishment of new teaching and leadership roles, which will be career pathways attracting additional remuneration:
 - 3.1.1 Executive Principals role – 250 positions;
 - 3.1.2 Expert Teachers role – 1,000 positions;

3.1.3 Lead Teachers role – 5,000 positions;

3.1.4 Change Principals Allowance – 20 per annum;

3.2 the creation of a fund to incentivise teacher-led innovation and dissemination of new and effective practice (Teacher-led Innovation Fund);

[CAB Min (14) 1/14]

4 **noted** that Cabinet also agreed that the Secretary for Education would establish and chair a working group of sector leaders (the Working Group) to provide advice on the design of IES, and its core elements, and that such an approach would:

4.1 recognise the role of the unions in representing the majority of employees and the role of the Secretary for Education (under delegation from the State Services Commissioner) as the employer party for the collective agreements;

4.2 require an open mind about the detailed design of new teaching and leadership roles (within the broadly defined design parameters) in order to adhere to the Employment Relations Act's good faith obligations;

[CAB Min (14) 1/14]

5 **noted** that the Working Group has provided its final report to the Secretary for Education, which is attached to the paper under SOC (14) 69;

6 **noted** that the Working Group expressed broad support for the intent of IES;

7 **noted** that the report includes both agreed approaches and separate statements of positions;

8 **noted** that the report does not represent government policy;

9 **agreed** that the Minister of Education (the Minister) release the Working Group report as soon as practicable;

10 **noted** that in order to achieve a shift and lift in student learning and achievement by changing teaching practice, the following critical success factors should be retained in the final design of the changes:

10.1 professional standards being attested against for each new role;

10.2 external and independent expertise being involved in the appointment of candidates to the new roles;

10.3 the establishment of new teaching and leadership roles as fixed-term and/or subject to continuing to meet the professional standards;

10.4 schools being supported to effectively implement the new roles, including increased provision of tools and guidance;

10.5 a focus on forming the achievement challenge community by community;

10.6 a group of measures to record and report on the progress of the achievement challenge;

- 11 **noted** that the Working Group's report recommended changes to the initial design for some elements:
- 11.1 changing the names of the roles;
 - 11.2 rebalancing the allocation of funding to the new roles;
 - 11.3 linking the number of roles and amount of Inquiry Time to the normal annual staffing adjustments which accompany demographic changes (the report acknowledged that this falls outside the parameters agreed by Cabinet);
 - 11.4 phasing of the Teacher-led Innovation Fund, so that the \$10 million is made available over three years rather than two;
- 12 **agreed** that work continue with the sector to finalise:
- 12.1 descriptions for the roles;
 - 12.2 rebalancing the allocation of funding to the new roles;
- 13 **agreed** the phasing of the Teacher-Led Innovation Fund over three years – of \$2 million in 2015/16, \$4 million in 2016/17, and \$4 million in 2017/18 – to be drawn down at a later time;
- 14 **noted** that the Working Group's rationale for linking numbers of roles and amount of inquiry time to normal annual staffing adjustments is that it would ensure that sufficient coverage of resource is maintained to provide for the system shift intended with IES, while ensuring that enough expertise is also available across all communities to support improvement in teacher practices and lift student achievement;
- 15 **agreed** to the Working Group's advice that the amount of Inquiry Time be adjusted in line with demographic changes, but that further Cabinet approval will be required to adopt this approach if it goes beyond the parameters agreed by Cabinet for the design of IES;
- 16 **agreed** that there be a periodic review, rather than automatic adjustment, of the number of roles and allowances, to maintain an appropriate relationship to roll growth;
- 17 **noted** that, subject to paragraph 15 above, the cost of any annual adjustments to Inquiry Time will be managed within baseline, while the cost of periodically adjusting the number of roles will be managed through the normal budget process;
- 18 **noted** that elements for which the Working Group did not make final design recommendations, will be progressed through:
- 18.1 three agreed work-streams – establishing Communities of Schools, developing professional standards for the new roles, and developing processes for selection, appointment and appraisal of the new roles;
 - 18.2 further work undertaken by the Ministry of Education to establish processes and procedures for the Teacher-led Innovation Fund, recruitment of principals for high-needs schools, and setting and measuring achievement challenges;
 - 18.3 further discussions between the relevant parties to confirm key elements that support the integrity of IES and what might appropriately be subject to industrial bargaining;

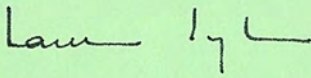
- 18.4 the collective agreement variation process;
- 18.5 the Ministerial response to the report;
- 19 **noted** that the Secretary for Education will initiate bargaining for variations to collective agreements as soon as practicable;
- 20 **noted** that the Ministry of Education will provide updates to central agencies and the Committee of Ministers on State Sector Employment Relations as bargaining progresses;
- 21 **noted** that planning to implement IES from the beginning of 2015 is dependent on the progress of the work-streams, and discussions with the sector in the parallel bargaining processes;
- 22 **agreed** that the Minister provide monthly updates, and as required, to a group of joint Ministers comprising the Prime Minister, Minister of Finance, Minister for Tertiary Education, Skills and Employment, and the Minister of State Services;
- 23 **approved** the following changes to appropriations to design and develop professional standards, establish external expert panels and to develop processes for the selection and appointment to the new roles, with a corresponding impact on the operating balance:

	\$ million – increase/(decrease)				
Vote Education Minister of Education	2013/14	2014/15	2015/16	2016/17	2017/18 & Outyears
Departmental Output Expense: Support and Resources for Teachers (funded by revenue Crown)	-	0.762	1.011	1.643	1.976

- 24 **agreed** that the changes to appropriations for 2014/15 above be included in the 2014/15 Supplementary Estimates and that, in the interim, these increases be met from Imprest Supply;
- 25 **agreed** that the changes to appropriations above be charged against the tagged operating contingency 'Investing in Educational Success' established as part of Budget 2014 as follows:

	\$ million – increase/(decrease)				
	2013/14	2014/15	2015/16	2016/17	2017/18 & Outyears
Investing in Educational Success	-	5.513	74.637	124.265	154.831
Accountability arrangements	-	(0.762)	(1.011)	(1.643)	(1.976)
Balance Remaining	-	4.751	73.626	122.622	152.855

- 26 **noted** that the Minister will report back to Cabinet in October 2014 on the outcomes of the work-streams, the final design, costs and implementation and the evaluation plan and timelines, and to drawdown funding to enable implementation.



Laurence Tyler
Committee Secretary

Reference: SOC (14) 69

Present:

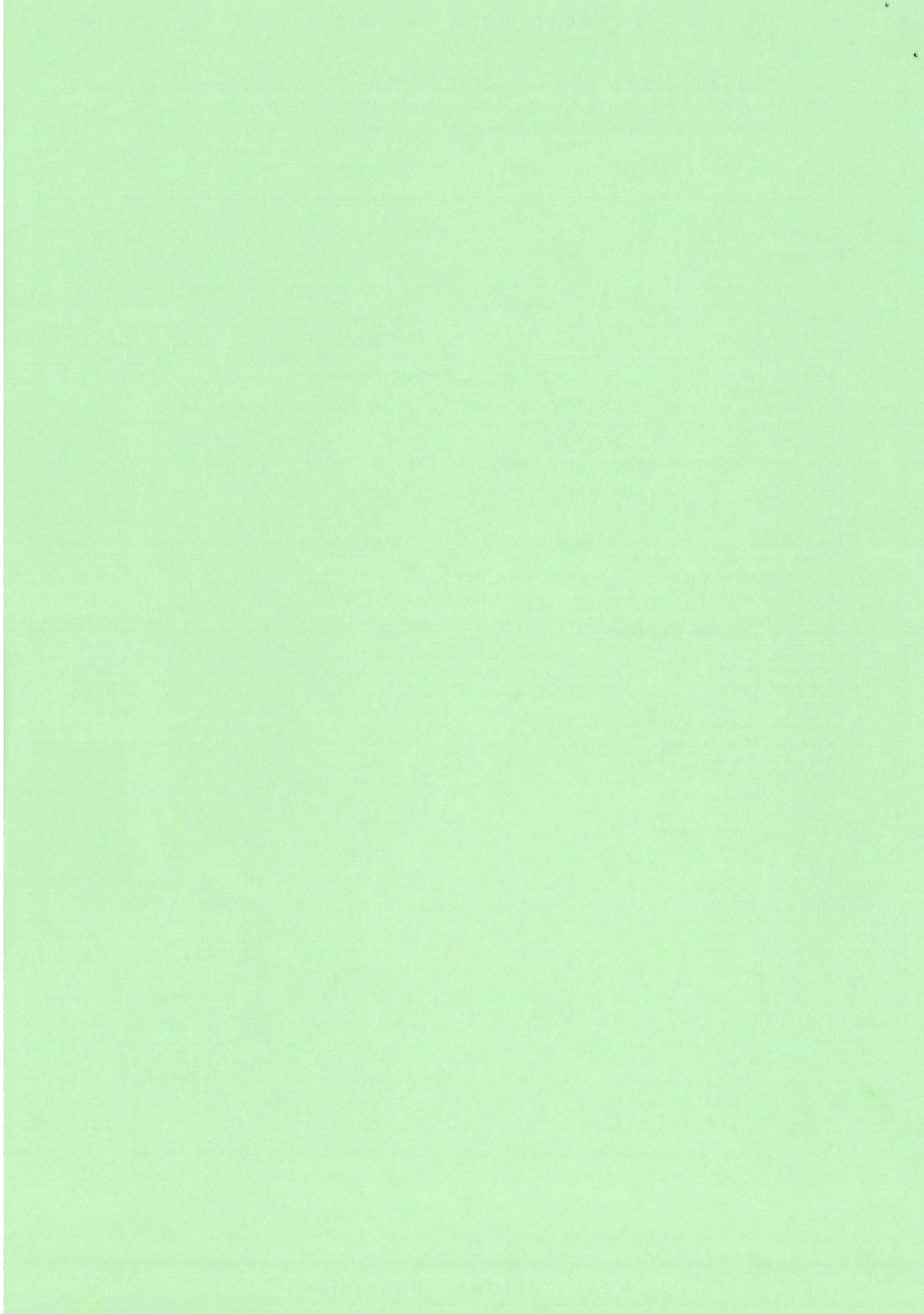
Hon Bill English
Hon Judith Collins
Hon Tony Ryall (Chair)
Hon Hekia Parata
Hon Anne Tolley
Hon Nikki Kaye
Hon Jo Goodhew
Hon Chester Borrows (part of item)
Hon Dr Pita Sharples
Hon Peter Dunne (part of item)

Officials present from:

Office of the Prime Minister
Officials Social Policy Committee
Ministry of Education

Distribution:

Cabinet Social Policy Committee
Office of the Prime Minister
Chief Executive, DPMC
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Secretary for Education
Minister of State Services
State Services Commissioner
Controller and Auditor-General



3 June 2014

Investing in Educational Success



Working Group Report

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Part one: Investing in Educational Success – report of the Working Group

Not Government policy

Executive summary

This report provides advice from the Investing in Educational Success (IES) Working Group on the proposed design details for IES. In January 2014 it was agreed that the Secretary for Education would report to Joint Ministers (the Prime Minister; Minister of Finance; Minister for Tertiary Education, Skills and Employment; and Minister of Education) with advice. This report constitutes that advice and will inform the Minister of Education's report back to Cabinet.

The IES Working Group is made up of sector leaders and has been supported by a Secretariat comprising staff from the New Zealand School Trustees Association (NZSTA), the Post Primary Teachers' Association (PPTA), the New Zealand Educational Institute Te Riu Roa (NZEI Te Riu Roa), and the Ministry of Education (the Ministry).

The Working Group confirmed broad support for the IES identified purposes of improving outcomes for all students, encouraging cooperation between schools, creating better teaching and leadership pathways, and supporting teacher-led innovation of new practice. To best achieve these purposes, it has suggested a number of changes to the design details of IES.

Elements of the Investing in Educational Success initiative

The Working Group proposes the following key elements of IES.

Communities of Schools

Communities of Schools would form to encourage collaboration between school governance, leadership and teachers to improve their practice and deliver shared achievement objectives, which they would collectively set. Communities of Schools would self-identify and would largely be geographically defined, including a variety of school types (primary through to secondary). They would be expected, where possible, to reflect the student education journey through schooling. Participation in a Community of Schools is voluntary.

The Ministry would support schools to form Communities of Schools and help them in their operations. Communities of Schools would be expected to respond to the needs of all students, and especially Māori students, Pasifika students, students with special education needs and those from low socio-economic families in their communities. The Government has identified these groups as a priority as it believes they are over represented in New Zealand's national achievement challenge.

Schools within the Community of Schools would have access to Inquiry Time (as described below) to enable teachers to engage in collaborative work to address their shared achievement objectives.

While participation in a Community of Schools is voluntary, access to the new roles identified below and to Inquiry Time would be contingent on membership of a recognised Community of Schools.

We have commissioned further work to finalise the design of Communities of Schools and draft guidance to aid their formation and operation.

New roles

Three new teaching and leadership roles would be established to support collaboration and effective practice within Communities of Schools and to provide clearer career pathways for teachers and principals. We have provided advice on the functions of these roles in this report. The Working Group considered the names Executive Principal, Expert Teacher, Lead Teacher and Change Principal Allowance should be changed.

The Working Group undertook its work from February to April and during that time, the roles were referred to by the working titles Role A (for Executive Principal); Role B (for Expert Teacher); Role C (for Lead Teacher) and Principal Recruitment Allowance (for Change Principal Allowance). During its deliberations the Working Group did not agree on new titles for the roles to recommend to the Government. The Ministry and sector groups will do further work on role titles following the completion of this report.

Outside of the Working Group processes, the working titles above do not clearly differentiate the roles. We therefore propose the following working descriptors for future work (not as final titles):

- Community of Schools Leadership Role (in place of Executive Principal)
- Community of Schools Teacher (across community) Role (in place of Expert Teacher)
- Community of Schools Teacher (within school) Role (in place of Lead Teacher)
- Principal Recruitment Allowance (for Change Principal Allowance).

Boards of trustees remain the employer in all cases and boards would need support to fulfil their role in IES. Selection to the roles would be subject to meeting agreed professional standards or criteria, which are to be developed by an expert writing group. Application and appointment to these roles and assessment against these professional standards/criteria would include external independent experts.

Release time would be provided to schools for across-community roles to fulfil their functions, and release time for the Community of Schools Teacher (within school) Role remains under discussion. All roles would be appraised by their employer. Those with an involvement across the Community of Schools would have input from other schools into their appraisal reflecting this role. These roles are fixed-term positions and if candidates are re-selected to these roles, they would require reassessment as continuing to meet the relevant professional standards.

The within-school role is an ongoing position, subject to regular review against the relevant professional standards.

We have commissioned two further work-streams to finalise the design of the professional standards and the selection, appointment and appraisal design.

Principal Recruitment Allowance

We agree a payment should be established to support boards of trustees of the most high need schools to broaden their recruitment pool and assist them to recruit a high quality principal. Eligibility for the payment would be dependent upon both the school and individual principal meeting agreed criteria. The payment would be available for a fixed term with a possibility of a further fixed term. The length of these terms remains to be finalised.

Inquiry Time

The provision of Inquiry Time would allow other teachers across a Community of Schools to access the expertise that the new roles would make available. A Community of Schools would need some flexibility in allocating Inquiry Time to best meet its own goals and its shared Community achievement goals.

Teacher-led Innovation Fund

A Teacher-led Innovation Fund (TLIF) would be established with a budget of \$10 million over the coming four years. We propose that the budget for this aspect of the IES initiative be re-phased to \$4 million in 2015/16, \$4 million in 2016/17 and \$2 million in 2017/18. There would be a review of the TLIF in 2017/18 and advice on its extension would then be provided to the Government. We have agreed criteria for application to the TLIF. The Ministry would develop the application, selection, evaluation and dissemination processes for the TLIF in conjunction with the sector.

Further work

Not all design detail has been finalised. The Working Group notes that there are several points at which specific design details may be progressed:

- through the Joint Ministers' response to this report
- in further discussion between the relevant parties
- as a result of the report from the Communities of Schools work-stream; the Professional Standards Writing Group: and/or the Selection, Appointment and Appraisal work-stream
- through the collective agreement(s) variation process
- following any formal evaluation of the initiatives over time.

In addition, the Working Group has commissioned the three work-streams listed below, which would continue work on the design of IES:

- Communities of Schools (report due July 2014, guidelines due August 2014)
- Professional Standards (due October 2014)
- Selection, Appointment and Appraisal (due August 2014).

It is expected that discussion would be ongoing and collective agreement variation negotiations are expected to commence shortly after Ministers have responded to the advice provided in this report.

Introduction

1. The Investing in Educational Success (IES) Working Group is pleased to submit this report to you on the design of IES.
2. We have valued this opportunity to work together on the detailed design of the model of IES outlined by Cabinet. We have valued and appreciated the work of the Secretariat in helping to develop the design and preparing the papers that have contributed to this report.
3. IES is intended by the Government to be a system change that encourages and relies on ongoing collaboration by teachers, principals and boards across the sector. The initiative, with indicative costs of \$359.246 million over four years and ongoing funding, provides us with a unique opportunity to make significant shifts in how we do things.
4. Groups of schools, which choose to form as Communities of Schools, are intended to provide a collaborative environment that focuses on quality teaching practice and achievement for all students in New Zealand.
5. For many schools this would provide recognition and support for current practice. For others, this level of collaboration would be a shift in the way they do things. They would be setting

- shared achievement goals sitting alongside their own school goals. They would work together across a range of schools and with other teachers to lift student achievement.
6. The key aspect of IES is an intention to foster collaboration across schools and effective classroom practice. IES could also provide the opportunity to seek further challenge and pursue new career pathways.
 7. While the changes proposed would be subject to further changes such as through the process of negotiation of the relevant collective agreements, the foundation model set out in the Cabinet paper anticipates no change to the usual employment arrangements for teachers in terms of who their employer is. A proportion of their time, however, would be spent working with colleagues across their Community of Schools on achieving the Community's shared goals. Principals within a Community of Schools would remain the Chief Executive of their own school and continue to report to their own board. Those appointed to a new Community role would have the additional role of guiding productive collaboration across a Community of Schools.
 8. It is intended that a proposed new incentive payment will encourage a wider pool of experienced principals to apply for positions in high need schools.
 9. The IES initiative proposes opportunities for funding of teacher-led practice innovation.
 10. We have addressed in this report a number of the details of the original proposal which the sector saw as carrying risks and we have sought to mitigate those risks.
 11. Debate is a feature of our sector as we constantly search for what works for improved student outcomes. Better outcomes are achieved when this professional input is factored into decision-making processes. The Working Group has had a privileged opportunity for robust discussions about the best design to support Cabinet's intention for this initiative. In further progressing the design and implementation of the proposals it is important that the education sector is provided with timely information and an opportunity to participate, within an appropriate time frame, in well-informed discussion about the development of the IES initiative. Such engagement and a mandate that provides for flexible response would be well received in the education sector.

What is Investing in Educational Success?

12. As the Working Group, we have been asked to provide advice on the design and implementation of IES:
 - a. Communities of Schools to provide the opportunity for teachers and leaders to support students throughout their learning journey.
 - b. Three new roles, appointed by Communities of Schools, that work across and within schools to support and share effective teaching practice. These are supported by backfill for their time out of school. Schools are also provided with additional professional time to allow teachers to access the expertise provided by the new roles.
 - c. In addition, a payment would be available to attract highly effective principals to schools in need, in order to remove any barriers such schools may experience in recruiting an experienced principal.
 - d. A Teacher-led Innovation Fund that supports quality practice that improves student achievement and can be shared and adapted for use across schools and Communities of Schools.

Process

13. A Secretariat, comprising representatives from the Ministry of Education, the Post Primary Teachers' Association, the New Zealand Educational Institute Te Riu Roa and the New Zealand School Trustees Association, supported the work of the IES Working Group. The Secretariat prepared papers for the Working Group to consider and sought decisions from the Working Group.
14. In some cases, papers were sent back to the Secretariat for further work and the final paper therefore represented an evolution of ideas and discussion. Where decisions were made on the final paper, only the final paper has been included here.
15. In other cases, the Working Group commissioned new work from the Secretariat. This resulted in a number of papers recording decisions on a particular aspect of IES. In these cases, all papers have been included here.
16. At times, individual members of the Secretariat sought to have individual statements included within a paper.

Background

17. The Ministry provided advice which was accepted by Joint Ministers to introduce system changes to significantly and substantially strengthen the profession's teaching practice and education leadership. The changes will introduce new career pathways, incentivise teacher-led innovation of practice and help to get highly effective principals to the schools and kura most in need. The proposal will support whole of system change, building the foundations for career pathways and strong incentives for collaboration and innovation. These changes will lead to measurable gains in learning and student achievement.
18. Cabinet agreed to fund \$359.246 million over four years for the initiative with ongoing funding of \$154.830 million for out-years.
19. IES is a response to the achievement challenge. Cabinet accepted the Ministry's advice that "our top students are doing as well as students anywhere in the world, but there is a big gap between our top performing students and those who are not doing so well. ... We need to raise the quality of learning and achievement across the board. The IES proposal is intended to significantly contribute to this process".
20. The IES initiative has two major themes. The first is to enable collaboration between teachers, leaders, schools and communities across the national network. There is a need for greater and more substantial collaboration within and between schools. IES provides the ability for schools to do this by recognising that expertise and funding are needed to attend to shared problem solving. The second theme of IES is to improve career pathways for teachers and leaders. IES provides recognition for classroom and content expertise and for leadership of improved outcomes for students.

Establishment of Investing in Educational Success Working Group

21. Cabinet determined that a Working Group of sector leaders would be established¹ chaired by the Secretary for Education, to provide advice on the design of IES and its core elements so that it is well supported. This approach has enabled strong sector involvement with the design, recognising the role of unions in representing the majority of employees, the role of NZSTA in representing employers and the role of the Secretary for Education as the delegated employer

¹ Cabinet paper 21 January 2014, paragraph 70

for the collective agreements. The Working Group was tasked to complete its work by 30 April 2014.

22. The Working Group comprised representatives from the following organisations:
 - New Zealand School Trustees Association (Lorraine Kerr)
 - New Zealand Educational Institute (Judith Nowotarski)
 - Post Primary Teachers' Association (Angela Roberts)
 - Te Tari Puna Ora o Aotearoa (Nancy Bell)
 - New Zealand Principals' Federation (Phil Harding)
 - Secondary Principals' Association of New Zealand (Tom Parsons)
 - New Zealand Area Schools Association (John Garner)
 - New Zealand Association of Intermediate and Middle Schooling (Ross Tyson)
 - Nga Kura a Iwi o Aotearoa (Arihia Stirling)
 - Te Rūnanganui o Ngā Kura Kaupapa Māori (Rawiri Wright)
 - Pasifika Principals' Association (Unasa Enosa Auva'a).
23. The Working Group met six times over February to April 2014. It was supported by a Secretariat, to which all Working Group members were invited to contribute, that comprised officials from:
 - New Zealand Educational Institute Te Riu Roa
 - New Zealand School Trustees Association
 - Post Primary Teachers' Association
 - Ministry of Education.
24. At its first meeting, the Working Group agreed to provide advice on the following elements:
 - nature, function and title of roles and allowances required to provide appropriate incentive/reward
 - number and allocation of new roles of each type
 - specification of standards
 - mechanism to maintain quality in attestation, certification and ongoing appraisal
 - recruitment processes and nature of local and external involvement
 - phasing and roll-out
 - mechanism to deliver time for collaborative inquiry, innovation and application of evidence-informed practice
 - how to ensure the use of collaborative Inquiry Time in this proposal improves teaching practice
 - a mechanism to ensure excellent leaders support schools with the greatest needs.
25. The Working Group had robust debate, agreeing on some elements, not agreeing on others, and commissioning further work where needed, as detailed in this report.

Principles for the Working Group

26. The work of the Working Group is to build teacher and leadership capability to ensure learning improves for all young people. The Secretariat is to advise on the design, resourcing and implementation of sustainable changes to support teachers to:
- constantly review the impact of their teaching on learning
 - actively seek external observation and critique by colleagues and experienced teachers and leaders
 - seek and contribute to evidence of what works to improve learning outcomes and how they can apply that in their day-to-day practice
- and in which:
- leadership expertise is developed and utilised
 - experience is recognised and utilised across the system
 - there is opportunity and incentive to stay in the classroom
 - collaboration is encouraged across the system
 - opportunity for teacher-led innovation is enhanced
 - clear pathways to fuller professional careers as teachers or principals are created
 - there is incentive for leading practitioners to take up principal roles
 - change is evidence-based and properly managed
 - teaching increasingly becomes a first career of choice for our best graduates
 - unintended negative consequences are identified and avoided.

Advice on the elements of Investing in Educational Success

27. We agreed that a working definition for the term 'student achievement' was "valued outcomes as set out in *The New Zealand Curriculum and/or Te Marautanga o Aotearoa* including student achievement." All references to 'student achievement' anywhere in this report should be read with this definition in mind.

Communities of Schools

28. The Working Group advises that Communities of Schools should form either through self-selection or by an existing group applying to be recognised as a Community. Both self-selected groups and existing groups would need to be formally recognised as Communities of Schools to receive the associated resources provided through funding for new roles.
29. Notwithstanding self-selection, schools would be encouraged to form Communities in a way that supports the progress of students through the (school level) education system. That means they would include a range of school types and also establish links with early childhood centres and tertiary to provide a visible child-centred pathway that improves and strengthens transitions for children and young people.
30. It is likely that Communities of Schools would have a geographical basis to enable, where practicable, some face-to-face contact for those with Community-specific roles but we acknowledge that for some areas geographic isolation limits this kind of contact.

31. Communities of Schools would establish shared achievement objectives and work together to deliver those objectives (as well as each school working on its own objectives). We have also identified a basket of evidence which Communities of Schools can draw on to identify their objectives and assess their progress.
32. We have recognised that there is further work to do on the design and implementation of Communities of Schools. They are the basis for IES and need to be well planned, resourced and positioned for success. Therefore we, as the Working Group, have commissioned a work-stream, with sector involvement, to recommend the design and implementation of Communities of Schools. The objectives of this work-stream are to develop a report (by July 2014) and guidance (by August 2014) for the formation of Communities of Schools.
33. The work-stream will develop a report and guidelines on:
 - the design of the parameters of the Communities of Schools
 - formation process and roles of various stakeholders, expectations for coordination and organisational arrangements
 - the process for recognising an existing group as a Community of Schools
 - a review of the possible impact of the formation of Communities of Schools on existing groupings of schools and kura
 - the timetable for the formation of Communities of Schools over the IES implementation period
 - mechanisms for prioritising the formation over the roll-out period.

New roles – purpose, function and operationalisation

34. We discussed each of the roles individually, in relation to each other, and in relation to existing roles, in order to determine the purpose statements set out in the table below. It became clear that the titles of the roles would need to change. The Working Group undertook its work from February to April and during that time, the roles were referred to by the working titles Role A (for Executive Principal); Role B (for Expert Teacher); Role C (for Lead Teacher) and Principal Recruitment Allowance (for Change Principal Allowance). During its deliberations the Working Group did not agree on new titles for the roles to recommend to the Government. The Ministry and sector groups will do further work on role titles following the completion of this report.
35. Outside of the Working Group processes, the working titles above do not clearly differentiate the roles. After consideration, we therefore propose the following working descriptors for the new roles for future work (not as final titles):
 - Community of Schools Leadership Role (in place of Executive Principal)
 - Community of Schools Teacher (across community) Role (in place of Expert Teacher)
 - Community of Schools Teacher (within school) Role (in place of Lead Teacher).

We suggest the title of the Change Principal Allowance be described as the Principal Recruitment Allowance. The Working Group's papers provided in attachments to this report refer to the roles using various different titles, largely depending on the stage at which they were drafted during the Working Group's deliberations.

36. The NZEI Te Riu Roa position regarding working titles is that the naming of the roles is a logical outcome of sector-specific development of role function descriptors to be progressed within primary and area sector bargaining processes.
37. A concern raised about the new roles at the time of the announcement of the Government model was that they necessitated a performance pay model. The Working Group does not

see such a link between the potential establishment of these roles and performance pay and it has not been given evidence or advice to substantiate the inclusion of performance pay as a component of the new roles. NZEI Te Riu Roa reserves its position on that point. We acknowledge there remain concerns within the wider sector which we believe would be addressed through engagement on the details of the new roles with teachers, principals and boards prior to the variation of the collective agreements.

38. The functions for each of the roles within a Community of Schools would need to be responsive to the needs of the individual schools and kura, and to the Community of Schools as a whole, as expressed in its shared achievement objectives. The table below sets out in detail our view of the functions of the roles. It is possible, however, that these may be subject to further refinement as a result of subsequent agreement on other related elements of the IES initiative.

Table 1 Functions of roles – provisional list of core functions

Role A: Expertise across schools and kura – Community of Schools Leadership Role (originally titled Executive Principal in Cabinet paper)	
Purpose(s)	Functions
<p>Offering leadership in building productive collaboration within Communities of Schools.</p> <p>Building relationships with early childhood education and tertiary to strengthen the transition of students, and to better support student achievement.</p>	<ul style="list-style-type: none"> • establish strong links, through the principal or tumuaki, with each school and kura in the Community of Schools • identify, with leaders within the Community of Schools, any specialist expertise needed to support: <ul style="list-style-type: none"> – the development of a shared culture of collaboration – responsiveness to cultures within the Community of Schools • facilitate agreement within the Community of Schools about the structures and processes that will be used to: <ul style="list-style-type: none"> – manage and coordinate (resources and activities) – make Community of Schools' decisions – develop cohesiveness among all involved – strengthen participation of students, parents, whānau and wider community – promote student achievement and well-being • use Community of Schools' achievement plan to establish clarity of roles, responsibilities and accountabilities between schools and the Community of Schools, including respective responsibilities for representing the Community of Schools as a whole and in relation to the community plan in each school and kura • work with school and kura leaders to ensure the coordination of the activities of the schools or kura in meeting the objectives of their shared achievement plan • promote collective responsibility for student achievement and well-being within schools and kura and across the Community of Schools.
Facilitating the agreement of shared achievement objectives.	<ul style="list-style-type: none"> • support school and kura leaders to identify potential shared long-term and short-term achievement objectives • facilitate with school and kura leaders and boards the development and implementation of the agreed shared achievement plan • offer advice to school and kura leaders within the Community of Schools to support the objectives of the plan • together with school and kura leaders and teachers, identify the knowledge and skills that teachers and leaders need in each school and kura and across the Community in order to meet the needs of students in relation to the shared achievement objective • facilitate planning, with the other school and kura leaders in the Community, to strategically allocate the resources of teaching expertise and Inquiry Time • coordinate the activities of the schools and kura in meeting the objectives of the plan • work with school and kura leaders to develop a shared approach to reporting on progress • report on overall progress on the achievement plan.

Role A: Expertise across schools and kura – Community of Schools Leadership Role (originally titled Executive Principal in Cabinet paper)	
Purpose(s)	Functions
Supporting the professional growth of leaders and teachers.	<ul style="list-style-type: none"> • facilitate agreement among school and kura leaders about the design and approaches to the professional learning and development that will develop the new skills and knowledge that is needed, in particular the contributions from Role B and Role C • liaise with school and kura leaders on matters relating to the use and management of Role B and Role C teachers and Inquiry Time.
Offering leadership in the use of professional expertise across schools to meet shared achievement objectives in collaboration with other principals in the community.	<ul style="list-style-type: none"> • confirm, together with school and kura leaders and teachers, expertise that will be drawn from within the Community of Schools in order to develop the knowledge and skills of teachers to reach shared objectives • work with school and kura leaders and boards in the Community of Schools in the selection process for Role B and C teachers, from within the Community of Schools, with external advice as appropriate • participate with others in the learning and development of teachers and leaders.

Role B: Expertise across schools and kura – Community of Schools Teacher (across community) Role (originally titled Expert Teacher in Cabinet paper)	
Purpose	Functions
Strengthening the use of effective inquiry approaches to teaching and learning across schools to achieve the shared achievement objectives.	<ul style="list-style-type: none"> • lead, at the request of the school and kura leaders, learning groups within the Community of Schools, including those focused on 'teaching as inquiry' • provide and lead structured opportunities, based on the evidence of best practice, for teachers in their Community of Schools to support and assist the ongoing development of effective approaches to 'teaching as inquiry'.

Role C: Expertise situated within individual schools and kura – Community of Schools Teacher (within school) Role (originally titled in Cabinet paper Lead Teacher)	
Purpose(s)	Functions
Promoting best teaching practice within a school.	<ul style="list-style-type: none"> • retain teaching responsibility (whether the class contact time should be reduced for Role C is an active discussion for the Secretariat and advice will be provided to the Working Group) • coordinate and liaise with others responsible for professional development within the school model and support collaborative practice.
Strengthening the use of an inquiry approach to teaching and learning to achieve the shared achievement objectives.	<ul style="list-style-type: none"> • strengthen the 'teaching as inquiry' practice of other teachers from their own or other schools within the Community of Schools by providing opportunities for observation and discussion about their practice.

Operationalisation of roles

39. The Working Group has considered how best to operationalise the new roles to make sure that the agreed purposes and functions of the roles are implemented within the IES approach. We believe that the original model outlined in the Cabinet paper needs to be modified, to achieve Cabinet's objective, while remaining within the fiscal parameters.
40. We discussed a number of other topics in relation to operationalising the roles: facilitation of Communities of Schools, backfill for roles, the level of remuneration, the meaning of 'significant teaching', support for roles (including professional learning and development and networking opportunities) and any additional funding pressures on Communities of Schools.
41. Careful change management engaging with the sector would be essential for the potential of IES to be realised.
42. More detail on these aspects is included in Attachment 2.3.

Settings for new roles (professional standards and selection, appointment and appraisal)

43. Further work is required on professional standards and the selection, appointment and appraisal of the new roles. Consequently, we have commissioned work-streams for these two elements to provide further advice by August 2014. We also recommend that the Ministry take the lead on the work-streams, working with NZEI Te Riu Roa, PPTA and NZSTA staff and consulting with organisations including Te Rūnanga nui o Ngā Kura Kaupapa Māori, Ngā Kura a Iwi o Aotearoa, Pasifika Principals' Association and isolated schools.

Part 1: Professional standards

44. Drafting professional standards is a highly complex and technical task which we propose can best be done by establishing a Standards Writing Group (the Writing Group). The Writing Group would include co-opted experts and individuals identified by the Ministry, principal groups, kura representatives, teacher unions and NZSTA.
45. The standards would need to be technically and professionally valid and reflect practice in a way that is readily identifiable to, and embraced by, practitioners. Development would include being calibrated and integrated, relative to existing professional standards, and developed through focus group testing and consultation with the sector as a whole.
46. The success of the Writing Group would depend on the calibre of its members. We have, therefore, developed the following criteria which its members should collectively meet:
 - a. a deep understanding, both theoretical and practical, of effective teaching and leadership for diverse learners including collaborative practices
 - b. a deep understanding of the practice of leading and facilitating teacher and leadership professional learning, including effective appraisal practices
 - c. knowledge and experience in developing standards of practice (can include educational and non-educational practice).
47. We would expect the Writing Group to seek specific external expertise on the draft standards to ensure they are as valid and robust as possible. The Writing Group would also be responsible for proposing the process to assess teachers against new standards and identifying the tools and resources needed to support the process. However, producing and distributing tools and resources should be the responsibility of the Ministry.
48. If new roles are to be advertised for the start of 2015, the first standards would need to be in place by the end of October 2014. As part of the process, we would expect both the New

Zealand Teachers Council and the EDUCANZ Transition Board to be consulted, reflecting their respective roles in relation to professional standards for teachers.

Part 2: Selection, appointment and appraisal of the new roles

49. The scope for the work-stream on selection, appointment and appraisal would need to cover:
- effective processes to select and appoint (and reappoint) applicants to the three new roles and to approve the Principal Recruitment Allowance
 - processes for establishing selection panels and their composition and any nominations process to decide membership
 - timing and sequencing in establishing panels
 - processes for review and reselection of the roles with a fixed term
 - implications for boards in considering appraisal of new roles
 - tools and guidance to support any appraisal processes.
50. In addition, there are these key areas for advice:
- quality measures/standards and moderation
 - establishing selection panels
 - responsibility and roles of boards, Communities of Schools, and Role A in selections and appointments
 - sequencing, barriers and costs
 - appraisal, review and reappointment.
51. We have developed a list of questions to consider under each of these key areas for advice. The list of questions is included in Attachment 3.3.
52. We have discussed whether, and to what extent, the detail surrounding selection, appointment and appraisal of the new roles needs to be undertaken through collective bargaining.
53. An additional paper from NZEI Te Riu Roa, seeking agreement to commission a work-stream to further develop those aspects of the new roles that fall outside the scope of the collective bargaining processes, is included in Attachment 3.3.

Principal Recruitment Allowance

54. We have developed sets of criteria to assess eligibility for a school to access the Principal Recruitment Allowance, and an individual principal's eligibility for the Allowance.
55. Criteria for a school would include significant underachievement, particularly for one or more priority group, statutory interventions, short-term Education Review Office reviews, problems with student and/or staff well-being, high principal turnover and financial issues. Cases of extraordinary circumstances such as where a school has significant problems that have led to the loss of the principal, undermined the confidence of the school and distracted the school from focusing on its key educational purpose may be sufficient on their own to justify the Allowance being granted.
56. Eligible applicants would almost always be experienced current principals though in rare exceptions we could envisage a deputy principal could be the best person for the job and meet sufficient of the criteria to be eligible for the payment.
57. We also advise that candidates should have had successful experience in turning around a challenging school and we have identified the following criteria to use in identifying whether a candidate:

- a. can provide evidence of successful performance reviews as a principal
- b. has had experience working with diverse learners and demonstrates a commitment in their current school to ensuring a culturally responsive environment
- c. has had experience in 'turning around' a challenging school. Evidence would include a number of the following:
 - significantly raising student achievement
 - changing community perceptions, such as evidenced by stabilising the school roll
 - moving a school from an Education Review Office one to two year review to at least a three year review
 - improving the school's finances (or maintaining a sound financial base over time)
 - working with the board to move the school out of statutory intervention
 - change has been embedded or sustained in a challenging school (if appropriate).

And in their current school:

- d. student achievement in current school shows evidence of accelerated progress and/or better student achievement outcomes when compared with 'like' schools
 - e. recognised as working positively with current staff and board to set, communicate and monitor learning goals and targets
 - f. Education Review Office report of current school indicates at least a three year review
 - g. there are no identified significant financial issues in own school
 - h. is able to demonstrate experience in aligning resources (staffing and financial) to priority goals and targets in current school
 - i. has worked to ensure there is an orderly environment both in and outside the classrooms and there is no evidence of serious problems with student safety
 - j. there is no evidence of serious problems with staff welfare and safety
 - k. has worked to ensure there is a constructive and collaborative work environment
 - l. can provide evidence (possibly from a 360 degree appraisal or referees' reports) of personal characteristics including:
 - being respected by their profession
 - being an effective communicator
 - having strong engagement with their school community
 - the ability to build relational trust as evidenced by having positive professional relationships with current staff and board members
 - the ability to nurture talent, especially with senior leadership team
 - m. has been involved in recent professional learning and development alongside staff members at current school
 - n. is capable of encouraging succession to keep the changes sustainable.
58. We would expect boards to follow a normal appointment process having sought and been granted approval to access the Allowance. Support mechanisms need to be available, and this would include having an external expert on the appointment panel. It is possible that a board of an eligible school may choose to appoint a principal who they think is the best fit for their school, but who does not meet the principal eligibility criteria. In such cases, the Allowance would not be provided.

Inquiry Time

59. The purpose of Inquiry Time is to support teachers to take time to undertake structured opportunities to access, observe, collaborate and reflect with Community of Schools teachers across Communities and within schools.
60. Allocation of that time, however, may not be distributed evenly so some teachers may get more than others or not access any in any given year. We believe there should be discretion within schools in setting the parameters for Inquiry Time to align with their student achievement goals.
61. The Inquiry Time formula should be included in future Education (School Staffing) Orders. There is not yet agreement about the most equitable formula for distributing the Inquiry Time.
62. The Ministry will need to engage with the Working Group members prior to the commencement of bargaining on the Inquiry Time formula.

Teacher-led Innovation Fund

Part 1: Purpose and proposals

63. We have developed the following description of purpose for the Teacher-led Innovation Fund:
to accelerate achievement outcomes for students, in particular for priority learners, and/or address identified challenges in the education sector by adding a greater range of tools for teachers to access.
64. The Fund should enable teachers to develop innovative and effective practice that:
 - a. is applicable in other schools and settings possibly with modification that is appropriate to their context and needs
 - b. is sustainable
 - c. is able to be assessed and evaluated.
65. We think that teachers would access the Fund through a process that includes:
 - a. identifying the need the project seeks to address with scoping of possible strategies to address the need
 - b. inclusion of external expertise to assist with the project
 - c. designing a strategy to address the selected challenge or opportunity
 - d. identifying research ethical considerations if appropriate
 - e. costings and a process for evaluating the project.
66. We would expect a final report to be provided for each project and that robust evaluation of the project would be undertaken by an expert panel set up under the Teacher-led Innovation Fund. Information about the project would then be disseminated in sufficient detail, and through a range of media, to allow its application in other settings.

Part 2: Development of criteria, application, selection, evaluation and dissemination processes

67. The Ministry should engage with sector groups to ensure a collaborative approach to develop and confirm the application, selection, evaluation and dissemination processes for the Teacher-led Innovation Fund.
68. We suggest that the distribution of funds could be further refined to allocate \$4 million in 2015/16, \$4 million in 2016/17 and \$2 million in 2017/18.
69. There would be an evaluation of the Innovation Fund at the end of its second year and further advice would be given to Cabinet about its continuation.

Foundation elements

70. As the Working Group, we have identified some foundational elements which underpin all IES work. Foundational elements include the context of other work that IES will operate in, the need to address achievement of priority learners, and the evidence that informed the initial IES proposals and further development of IES.

Context of other work

71. Further design of the IES initiative needs to be integrated with other work that is focused on lifting student achievement.
72. As a system-wide initiative, it could be argued that IES has links to every other initiative in the compulsory schooling sector. We identified, however, that there are some initiatives which have a direct impact on or are being indirectly impacted by IES, such as the reform of the New Zealand Teachers Council and other aspects of the Quality Teaching Agenda.
73. We expect the IES work to inform, and be informed by, other work focused on student achievement.

Priority learners

74. The Government defines priority learners as Māori students, Pasifika students, students from low socio-economic families and students with special education needs. It is likely that most, if not all, Communities of Schools will include the need to lift the achievement of priority groups as part of their Community achievement objectives.
75. IES can empower Communities of Schools to identify priorities, build capability within and across schools and kura, and use resources in ways that contribute to shared objectives for raising student achievement. We would expect, therefore, consideration of priority groups to feature throughout the IES work.
76. However IES is not a stand-alone solution to the achievement challenge for students from priority groups and must be integrated with, and inform, other work in this area.

Next steps: implementation, timeline and sequencing

77. Cabinet agreed that the Secretary for Education would report back to Joint Ministers (the Prime Minister; Minister of Finance; Minister for Tertiary Education, Skills and Employment; and Minister of Education) with advice as soon as practicable after 30 April 2014. Cabinet also invited the Minister of Education to report back to Cabinet on the final design, cost, implementation plan and timelines.
78. The Secretariat disbands with the last meeting of the Working Group. Assuming that the Joint Ministers agree to support the ongoing design and implementation of the initiative, an Advisory Group, including sector representatives and academics will be established to advise the Secretary for Education on issues arising during implementation and identified in the evaluation.
79. The Working Group has agreed the establishment and content of three work-streams stemming from its deliberations. These continue work begun by the Working Group, but which will not be completed by the end of April when the Working Group will have completed its function. Sector groups have key roles in the development of these work-streams. The nature of their engagement is defined within each work-stream. These are:
 - Communities of Schools
 - Professional Standards

- Selection, Appointment and Appraisal.
80. It is also expected that discussion will be ongoing throughout the remainder of 2014 on the implementation of this initiative. There are six school teacher and principal collective agreements. All three unions (NZEI, PPTA and SPANZ) will determine and undertake the processes that are necessary prior to negotiating variations to agreements. The Secretary for Education will also consider parameters for his bargaining team.
81. The Working Group has developed the following principles to guide the implementation of the IES suite of initiatives:
- a. schools will need to be actively supported in establishing their Communities of Schools, implementing the initiative and developing their achievement goals
 - b. implementation of IES initiatives will be led by schools and their communities, who will be supported in setting achievement objectives by the Ministry
 - c. implementation will model behaviours that support collaboration and a positive professional school culture
 - d. sector representatives and the Ministry will work together to implement the IES initiatives
 - e. implementation will be cognisant of school operations to minimise impact.

Evaluation

82. IES is a system change rather than a project and its evaluation is expected to respond to this by focusing on change in the system, the success of new career pathways, improvement of student achievement, and any barriers and unintended consequences.
83. Initially the evaluation will be formative but over time it is expected to move to informing schools, Communities of Schools and the Government about what is working or not, how IES can be adapted and strengthened, and whether resourcing is sufficient.
84. The Ministry will lead the evaluation, working with other sector agencies, in particular ERO. This will involve the design of the evaluation framework with input from the sector and the establishment of an Evaluation Reference Group, also drawn from the sector, to provide input and advice to the evaluation.
85. Specific evaluation projects will address formative and summative questions. Ongoing monitoring of key success indicators including qualitative indicators will provide information on IES implementation. In addition, strategic evaluation projects will respond to patterns and trends emerging from the ongoing monitoring strands.

Advice from the Working Group to the Government

Introduction

The decisions outlined in this section are a complete list of the Working Group's agreed advice to the Government. This advice was based on the papers provided by the Secretariat to the Working Group which are included in this report as attachments.

Initially we used Role A, Role B and Role C for the three roles and at times, you will see this terminology used in this section and in the papers attached to this report.

Note the agreement on this advice is, in some cases, subject to caveat statements provided by NZEI Te Riu Roa. These caveat statements can be found from page 27.

Communities of Schools (Attachment 1)

Purpose of report

1. This report seeks the Working Group's agreement to commissioning a work-stream to finalise the design and implementation of Communities of Schools.

Decisions

2. The Working Group:
 - a. **agreed** the scope of the work-stream as outlined in this paper *[refer to Attachment 1 on page 41]*
 - b. **agreed** the parameters for the work-stream as outlined in paragraph 7
 - c. **agreed** the key matters to be covered in the work-stream as outlined in this paper in paragraph 10**agreed** the implementation of the work-stream as outlined in this paper.

New roles: purpose (Attachment 2.1)

Purpose of report

1. This report seeks the agreement of the Working Group to the purpose of the Executive Principal, Expert Teacher and Lead Teacher roles, described respectively as Role A, Role B and Role C in this report.

Decisions

2. The Working Group:
 - a. **agreed** the purpose of the roles as described below *[refer to Attachment 2.1 on page 46]*
 - b. **noted** that the purpose and names of the roles may need further refinement as a result of the development and agreement on design of interrelated elements of the Investing in Educational Success initiative
 - c. **agreed** the names Executive Principal, Expert Teacher, Lead Teacher and Change Principal be changed
 - d. **noted** that the purpose of the roles is based on assumptions made by the Secretariat about the purpose for the overall Investing in Educational Success initiative and the Communities of Schools

- e. **noted** that the purpose of the Change Principal Allowance is included in the development work for introducing the Change Principal Allowance.

New roles: functions (Attachment 2.2)

Purpose of report

1. This report seeks the agreement of the Working Group to the provisional list of functions for Role A (Executive Principal), Role B (Expert Teacher) and Role C (Lead Teacher).

Decisions

2. The Working Group:
 - a. **agreed** the provisional list of functions for the roles as described in paragraph 8 below *[refer to Attachment 2.2 on page 48]*
 - b. **noted** that the use of Roles A, B and C and the Inquiry Time provided to a Community of Schools will be responsive to the needs of that Community and the schools and kura within it
 - c. **noted** that the functions of the roles are likely to need further refinement as a result of subsequent agreement on other related elements of the Investing in Educational Success initiative
 - d. **noted** that the function of the Change Principal Allowance is included in the development work for introducing that allowance
 - e. **noted** that the Secretariat will provide advice, on operational issues relating to the roles, to the next meeting of the Working Group including the range of support and 'backfill' required
 - f. **noted** that in providing advice on operationalising the roles, the Secretariat may present variations to the proposals in the Cabinet paper which:
 - better ensures the agreed purpose and functions of the roles within the framework of the intended approach, and
 - that is better supported by the sector.
 - g. **noted** that the development of the roles will be informed by academic advice.

New roles: progress and next operational steps (Attachment 2.3)

Purpose of report

1. At your meeting on 2 April you sought further advice from the Secretariat on a primary, secondary and area schools implementation model to operationalise the new roles. This paper provides advice on the agreed design changes to the model to date, identifies areas for further discussion and/or negotiation, and proposes next steps.

Decisions

2. The Working Group:

- a. **agreed** the Investing in Educational Success design as outlined in paragraph 13 [*refer to Attachment 2.3 on page 53*] which will form a core part of your advice, via the Secretary for Education to Joint Ministers
- b. **agreed** that variations to the Cabinet paper model are required to rebalance the funding allocated to the new roles to best achieve the purposes of the initiative
- c. **agreed** that as part of the final report it is noted that there are a number of matters which will require addressing in negotiations/variation to collective agreements
- d. **agreed** the next steps required to finalise the detail of the implementation model, as outlined in paragraphs 33-36
- e. **agreed** that in preparing his advice on the operationalising of roles for the Joint Ministers, the Secretary for Education be asked to note that, if the PPTA developed model set out in Appendix 1 for secondary and area schools were to be progressed, it would require the following adjustments to the model in the Cabinet paper and would need to be addressed in any subsequent negotiations of variations:
 - reduction of the allowance rates suggested in the Cabinet paper
 - inclusion of a time allowance for Role C
 - numbers of positions and Change Principal Allowance
 - provision of funding for new administration costs associated with participation in a Community of Schools
 - provision of a component of centrally organised and funded professional learning and development and networking funding for each of the new roles
 - funding for backfill for roles supporting the new positions
 - eligibility for unit holders to apply for Role C positions.
- f. **agreed** that in preparing his advice on the operationalising of roles for Joint Ministers, the Secretary for Education be asked to note that the PPTA have identified the changes in recommendation (e) above as essential to its support and that these matters will form part of the negotiations on the variations
- g. **noted** that processes to change the distribution of roles, to respond to demographic or other changes over time, will be developed as part of the implementation planning for the Investing in Educational Success initiative.

3. Following PPTA recommendations the Working Group:

- a. **agreed** that, subsequent to the initial implementation, to ensure resources are fairly distributed across and within Communities of Schools the numbers of new roles and the quantum of Inquiry Time need to be linked to the normal annual staffing adjustments which accompany demographic changes
- b. **noted** that recommendation a. falls outside parameter 14 of the Cabinet paper.

4. Following NZEI Te Riu Roa recommendations the Working Group:

- a. **noted** that NZEI Te Riu Roa has indicated that it will undertake a transparent engagement process with its members in primary and area schools with the aim of finalising details of an implementation model to be agreed in bargaining and other processes.

Settings for the new roles: professional standards (Attachment 3.1)

Purpose of report

1. The purpose of this report is to signal the proposed process for developing standards to underpin the new principal and teacher roles, within the Investing in Educational Success initiative.

Decisions

2. The Working Group:
 - a. **agreed**, subject to seeing the proposed make up of the group, the standards development process outlined in this paper, to be finalised by the end of October 2014 *[refer to Attachment 3.1 on page 64]*.

Settings for the new roles: Standards Writing Group (Attachment 3.2)

Purpose of report

1. On 5 March you considered advice on the process for establishing a work-stream to develop professional standards. This paper incorporates work since then, in particular recommending how membership of the Standards Writing Group should be selected.

Decisions

2. The Working Group:
 - a. **noted** that you have agreed the standards development process outlined in this paper, to be finalised by the end of October 2014 *[refer to Attachment 3.2 on page 65]*
 - b. **agreed** the members of the Standards Writing Group must meet at least one of the following criteria and the group must collectively meet all of the criteria:
 - has deep understanding, both theoretical and practical, of effective teaching and leadership for diverse learners, including collaborative practices
 - has deep understanding of the practice of leading and facilitating teacher and leadership professional learning including effective appraisal practices
 - has knowledge and experience in developing standards of practice (can include educational and non-educational practice).
 - c. **agreed** that the Standards Writing Group will be empowered to seek specific external expertise on the draft standards to ensure they are as valid and robust as possible.

Settings for the new roles: selection, appointment and appraisal (Attachment 3.3)

Purpose of report

1. This report seeks the Working Group's agreement to commissioning a work-stream to further develop the selection, appointment and appraisal processes for the new roles in order to provide advice to the Government.

Decisions

2. The Working Group:
 - a. **agreed** the scope of the work-stream as outlined in this paper [*refer to Attachment 3.3 on page 67*]
 - b. **agreed** the key areas for advice to be covered in the work-stream as outlined in this paper
 - c. **agreed** the implementation of the work-stream as outlined in this paper.

Change Principal Allowance: criteria expectations and support (Attachment 4.1)

Purpose of report

1. This paper builds on the previous papers of 19 February, 5 March and 19 March, and responds to your request for further work on the linkages between the *Review of Statutory Interventions in State and State Integrated Schools* and the Change Principal Allowance.

Decisions

2. The Working Group:
 - a. **agreed** to the criteria for schools' eligibility to offer the Change Principal Allowance at paragraph 10 [*refer to Attachment 4.1 on page 74 of this report*]
 - b. **agreed** to the criteria for principals' eligibility to receive the Change Principal Allowance at paragraph 13
 - c. **agreed** to the processes for appointment to an approved Change Principal Allowance school at paragraph 14
 - d. **agreed** to the expectations on those receiving the Change Principal Allowance at paragraph 15
 - e. **noted** the support available to principals receiving the Change Principal Allowance at paragraph 19
 - f. **noted** the links between Investing in Educational Success and the *Review of Statutory Interventions* at paragraphs 23-28
 - g. **agreed** the approach described in paragraph 29 to ensure the links between the two pieces of work are clarified and made.

Change Principal Allowance: further advice (Attachment 4.2)

Purpose of report

1. This paper responds to the Working Group's request to provide further advice on whether appointees who did not initially meet the criteria should be subsequently granted the Change Principal Allowance on the basis of their effectiveness at the school.
2. This paper builds on the previous papers of 19 February, 5 March, 19 March and 2 April.

Decisions

3. The Working Group:
 - a. **agreed** that the Change Principal Allowance remain as an incentive to attract highly effective principals to apply for vacant principal positions in our most challenged schools [*refer to Attachment 4.2 on page 80*]
 - b. **agreed** that appointees who did not initially meet the criteria should not be subsequently granted the Change Principal Allowance.

Inquiry Time (Attachment 5)

Purpose of report

1. The purpose of this report is to provide you with advice about the distribution of the Inquiry Time resource to enable schools to facilitate teachers' participation in structured opportunities to improve their professional practice to support the goals of the Community of Schools' education plan.

Decisions

2. The Working Group:
 - a. **agreed** that the purpose of Inquiry Time is to support teachers to take time to undertake structured opportunities to access, observe, collaborate and reflect with Lead Teachers and Expert Teachers within or across schools [*refer to Attachment 5 on page 82*]
 - b. **agreed** that the Inquiry Time could also be used to support teachers to take time to undertake structured opportunities to access, observe, collaborate and reflect with others with expertise within their school or Community of Schools
 - c. **noted** that the Secretariat is looking at whether the formula outlined in paragraph 10 below is based on a school's total teacher staffing entitlement or roll-base teacher entitlement, and the cost, equity and distribution implications of that.
 - d. **agreed** that the Inquiry Time formula is included in future Education (School Staffing) Orders
 - e. **noted** that the Inquiry Time allocation based on 50 hours per year per 10 FTTE equates to an average of approximately 4 to 4.5 hours per year if distributed per teacher². There is no obligation envisaged by the Cabinet paper on schools to distribute it evenly (meaning some teachers may be supported with more hours than other teachers, and that some teachers may not receive Inquiry Time each year)
 - f. **noted** that in providing advice on operationalising the roles, the Secretariat may present variations to the proposals in the Cabinet paper which:
 - a. better ensures the agreed purpose and functions of the roles within the framework of the intended approach, and
 - b. is better supported by the sector.
 - g. **agreed** that the Ministry will need to engage with the Working Group members prior to the commencement of bargaining on the Inquiry Time formula.

² Source: Education Counts – Total FTTE and Total Headcount (excluding principals) in State and State-Integrated Schools as at April 2012.

Teacher-led Innovation Fund (Attachment 6.1)

Purpose of report

1. To identify and agree on the purpose of the Teacher-led Innovation Fund.

Decisions

2. The Working Group:
 - a. **agreed** to the purpose statement for the Teacher-led Innovation Fund, set out in paragraph 10 *[refer to Attachment 6.1 on page 87]*
 - b. **noted** that further consideration of the fund is scheduled for meeting four of the Working Group (19 March).

Teacher-led Innovation Fund: purpose and proposals (Attachment 6.2)

Purpose of report

1. To provide you with the amended proposal for the Teacher-led Innovation Fund as requested at your 5 March 2014 meeting.

Decisions

2. The Working Group:
 - a. **agreed** to the purpose for the Teacher-led Innovation Fund, set out in paragraph three of this paper *[refer to Attachment 6.2 on page 89]*
 - b. **agreed** to the amended proposals for the Teacher-led Innovation Fund as detailed below
 - c. **agreed** that the distribution of the \$10 million over three years, of \$5 million in 2015/16 and \$5 million in 2016/17, should be amended (within the \$10 million within three financial years) if needed to better achieve the objectives (such as to \$4 million in 2015/16, \$4 million in 2016/17 and \$2 million in 2017/18).

Teacher-led Innovation Fund: criteria and processes (Attachment 6.3)

Purpose of report

1. The purpose of this report is to provide further detail for the criteria for the Teacher-led Innovation Fund and to propose an approach for developing and confirming the application, selection, evaluation and dissemination processes.
2. This is the second of two papers on the Teacher-led Innovation Fund to this meeting, and assumes a positive response to the first paper.

Decisions

3. The Working Group:
 - a. **agreed** the criteria be confirmed for use in selection of innovative projects for the Teacher-led Innovation Fund *[refer to Attachment 6.3 on page 93]*
 - b. **agreed** that the Ministry of Education provide the lead and engage with member organisations of the Secretariat, and other sector groups, to develop and confirm the application, selection, evaluation and dissemination processes for the Teacher-led Innovation Fund.

Student achievement (Attachment 7)

Purpose of report

1. This paper responds to your request for an amendment to the words ‘student achievement’ that would avoid any inadvertent implication that there was a singular focus on a particular form of measurement.

Decisions

2. The Working Group:
 - a. **agreed** that the term ‘student achievement’ is understood to mean “valued outcomes as set out in *The New Zealand Curriculum* and/or *Te Marautanga o Aotearoa* and/or *Te Aho Matua o nga Kura Kaupapa Māori o Aotearoa* and/or *Te Piko o te Mahuri* including student achievement” to ensure there is a broad understanding of evidence of student progress and achievement as at paragraphs 6 and 7 [refer Attachment 7 on page 99]
 - b. **noted** that the first reference in the Working Group’s final report on this matter uses the language “valued outcomes as set out in *The New Zealand Curriculum* and/or *Te Marautanga o Aotearoa* and/or *Te Aho Matua o nga Kura Kaupapa Māori o Aotearoa* and/or *Te Piko o te Mahuri* including student achievement”, and clarifies that further references to ‘student achievement’ in the final report equate to that full description.

Culture of the profession (Attachment 9)

Purpose of report

1. This paper provides you with advice on school professional cultures and makes links to how the implementation process of Investing in Educational Success could support, and be supported by, the development of strengthened positive professional cultures. Note that in this paper, school professional cultures are situated within broader cultural contexts.

Decisions

2. The Working Group:
 - a. **noted** that, while culture is reflected in all areas of human endeavour, building strong professional cultures across Communities of Schools can support ongoing improvement in the performance of the education system [refer to Attachment 9 on page 106]
 - b. **noted** that the Investing in Educational Success initiative has the potential to support stronger school professional cultures
 - c. **noted** that the implementation process is being designed to support the building of strengthened positive professional cultures
 - d. **noted** that for the potential of the initiative to be realised, careful change management that fully engages the sector will be essential.

Context statement about other related work (Attachment 10.1)

Purpose of report

1. The purpose of this report is to identify the context within which the Investing in Educational Success (IES) work is to be carried out.

Decisions

2. The Working Group:
 - a. **agreed** to the 'Context for Investing in Educational Success', as set out in the diagram attached to this report *[refer to Attachment 10.1 on page 109]*
 - b. **noted** the attached diagram.

Implementation principles and approach (Attachment 12)

Purpose

1. The purpose of this paper is to provide advice on the implementation of the Investing in Educational Success suite of initiatives.

Decisions

2. The Working Group:
 - a. **agreed** the implementation principles set out in paragraph 3 *[refer to Attachment 12 on page 119]*
 - b. **agreed** the implementation approach set out in paragraph 4.

Evaluating the Investing in Educational Success initiative (Attachment 13)

Purpose of report

1. This paper outlines the process and initial thinking for developing an evaluation framework for the Investing in Educational Success initiative.

Decisions

2. The Working Group:
 - a. **noted** that the Investing in Educational Success initiative will be subject to an evaluation process
 - b. **agreed** the Ministry of Education establish an Evaluation Reference Group to provide input and advice to the evaluation of the Investing in Educational Success initiative as outlined in paragraph 8 *[refer to Attachment 13 on page 121]*
 - c. **agreed** the Ministry of Education will hold the responsibility for the implementation of the Investing in Educational Success evaluation in conjunction with other education sector agencies
 - d. **agreed** the proposed design, activities and principles outlined in the remainder of this paper will be further developed by the Ministry of Education in conjunction with the Evaluation Reference Group
 - e. **agreed** that evaluation reports will be available to the sector throughout the implementation of the initiative, at appropriate points.

Statements of the PPTA and NZEI

PPTA and NZEI have asked for the opportunity to place statements in the final report.

Parameters of PPTA participation in the IES processes

PPTA is the professional and industrial representative of approximately 17,000 secondary and composite school teachers and principals.

The Association has given provisional support to the IES initiative. The broad aims of the initiative as stated in the cabinet paper are supported by the Association and reflected in its policy positions on increasing collaboration across schools, improving learning outcomes for students, and career pathways for teachers. However, much of the specific details in the Cabinet paper are not considered to be either workable in practice or acceptable to the sector and conflict significantly with Association policy on collaborative teaching practice, provision of appropriate professional learning and development, and fair and effective salary structures.

PPTA has participated actively and in good faith in preparing advice for the Secretary for Education on the IES initiatives proposed in the Cabinet paper of 21 January 2014. PPTA's representatives have adhered to the principles agreed by the Working Group, including the requirements to identify and mitigate risk, and to ensure the changes are sustainable, generated from an evidence base and acceptable to the sector.

Within the confidentiality parameters surrounding the Working Group processes, the Association has consulted on the Cabinet initiative within its own networks of elected representative committees of principals, senior managers and teachers and with other representatives and delegates. The aim of the Association in its participation has been to help develop a workable model which achieves the stated intentions and is accepted by the teachers and principals it represents.

Throughout the Working Group process the Association representatives have made clear what adjustments to the Cabinet model are essential for its ongoing support of the model.

The Association is aware that the advice from the Working Group to the Secretary for Education is not binding on the Secretary, nor is any subsequent advice from the Secretary to the Joint Ministers group binding on the Government.

The Association notes that significant components of the model are also subject to negotiation between the parties and then to final ratification by members in a collective agreement variation process. The Association reserves the right to withdraw its provisional support for the initiatives if, in the opinion of its Executive and its members, the expressed objectives of the initiative and the negative aspects inherent in the original model are not effectively balanced.

NZEI comment

NZEI Te Riu Roa is a professional organisation and industrial union that represents the interests and issues of its 50,000 members. Our members include:

- teachers in primary, kura kaupapa Māori, area schools and the early childhood education (ECE) sector
- principals in primary, kura kaupapa Māori and special schools
- support staff in early childhood and compulsory schooling sectors
- advisors employed by the schools and faculties of education in universities
- specialist education staff employed by the Ministry of Education.

NZEI Te Riu Roa provides leadership, research and support for professional excellence in teaching and education services, negotiates collective employment agreements on behalf of its members and collaborates with government and other agencies throughout the education sector. NZEI Te Riu Roa is the largest education sector union in New Zealand.

NZEI Te Riu Roa welcomes the allocation of \$359 million to further resource student learning in Aotearoa New Zealand. We agree that there are critical issues impacting upon teaching and learning that must be addressed before all students can achieve their full potential.

While we have made a commitment to engage with the IES process in an effort to shape something beneficial to the education sector, it should be noted that we still have questions about whether the overall concept framing the IES initiative is the best approach to achieving its stated objectives. We believe that meaningful engagement with the sector, underpinned with quality, is crucial to designing and implementing any initiatives aiming to boost student success. With these concerns but with the understanding that the Government is committed to the elements of the IES as announced in January, we have undertaken work in this process to try to shape it to be as effective as possible, subject to approval from our membership.

Central to NZEI Te Riu Roa involvement in the Investing in Educational Success (IES) Secretariat and Working Group processes is our commitment to the provision of high quality public education. Our engagement with the IES design process has been predicated on the knowledge that addressing issues of social inequity and child poverty is central to achieving improved outcomes for all learners. In deciding to participate in the IES Secretariat and Working Group processes we have sought every opportunity to shape the IES initiative in a way that keeps the known needs of children at the forefront.

It is this knowledge of the root cause of student underachievement that has guided our deliberations and provided us with a clear reference point from which to engage with the many and various aspects of the Government's IES proposal. Specific principles shaping NZEI Te Riu Roa engagement with the IES process include:

- the need for all new initiatives to be underpinned by sound evidence about approaches that are of direct benefit to children
- the use of a genuinely transparent and collaborative process of engagement with the profession, taking whatever time is necessary to produce a quality outcome
- no use of National Standards data to determine criteria or eligibility for any roles or resourcing

In seeking to locate the needs of children at the centre of this endeavour NZEI Te Riu Roa has formed the view that many of the proposals set out in the IES initiative do not address the real issues affecting teaching and learning. While we have participated in a collaborative and cooperative manner we have also highlighted aspects of the proposed model that we believe have the potential to undermine best teaching practice in the hugely diverse and challenging New Zealand context.

Given the huge amount of taxpayer money involved and clear indications that the Government intends to use this 'system development' as a means of substantially restructuring the schooling sector we have repeatedly requested that the Government furnish evidence to substantiate its proposals. In spite of repeated requests at both the Secretariat and Working Group levels the

Government has failed to furnish evidence that provides substantive justification of the proposals set out in the IES initiative.

In a joint statement of intent agreed between NZEI Te Riu Roa General Secretary Paul Goulter and Secretary for Education Peter Hughes at the outset of the process, the parties made a commitment to work in good faith to negotiate the incorporation of the new roles and allowances into the respective teacher and principal collective agreements by way of variation. It was also acknowledged that there would need to be congruence with existing career pathways provisions and that any outcomes could not be finalised until NZEI Te Riu Roa member engagement had resulted in a mandated position on the nature of any variations to the collective agreements.

Although matters reported in the final report are set out as agreements by all parties, NZEI Te Riu Roa must be clear that it considers all final decisions about design and implementation details should be subject to acceptance and agreement by teachers and principals. In order to attain this acceptance and agreement, teachers and principals must be provided with sufficient information, evidence and time to make well informed decisions through transparent engagement processes. The ongoing involvement of NZEI Te Riu Roa will be on the basis of decisions by its membership through such processes.

A key principle underpinning NZEI Te Riu Roa engagement with the Investing in Educational Success initiative is that any new initiatives must be underpinned by sound evidence about approaches that are of direct benefit to all children's learning, including for priority learners.

The paper Evidence that informed the development of this policy was produced by the Ministry during the last week of Secretariat deliberations. The evidence cited in the paper did not inform the Secretariat or Working Group process.

There are four fundamental issues with the evidence presented in this paper and upon which the paper claims the IES initiative is based:

1. The evidence has little or no logical connection to the IES initiative.
2. The international evidence has not been interrogated and analysed to allow for its application in the New Zealand education context, and
3. The evidence cited is not robust and, in many cases, is inappropriate.
4. There is a lack of any consideration or identification or strategy to mitigate the potential risks associated with the initiative in the New Zealand context.

We believe that further research is critical to the effective development and implementation of any initiative to raise student success.

Evidence

1. The following evidence brief is a summary of the evidence used to underpin the 21 January 2014 Cabinet paper. It was developed by the Ministry of Education and is not a joint paper of either the Secretariat or the Working Group.
2. The evidence base relied upon by PPTA in its work in the IES will be made available on its website.

Investing in Educational Success: evidence that informed the development of this policy

Background

3. Government aimed to achieve a significant and sustained improvement of the education system. Improvement is needed to raise the achievement of those who are already doing well in our system, and lift the learning and achievement of Māori and Pasifika students, those from poorer homes and those with special education needs.
4. As a result the key evidence needed to inform the policy and the proposed changes was that which focused on what works to deliver a sustained system-wide lift in performance.
5. While informed by international evidence and models of successful systems, Investing in Educational Success is a unique approach that is being developed to fit the context of the education system in Aotearoa New Zealand. This is not a replica of existing models. It is a new approach that has paid attention to lessons learned.
6. How these changes are finally designed to meet the specific needs of the New Zealand context is the current task of the Working Group.

Purpose

7. This brief provides an overview of evidence that informed the development of the Investing in Educational Success policy. It identifies several significant pieces of research evidence that were drawn on during that process.
8. It is not intended to be an exhaustive list of all information, research, data or other evidence that was used in the development process.
9. The policy was informed by:
 - student achievement and system performance data
 - evidence of what influences student achievement
 - evidence of effective teaching and leadership practices
 - evidence of effective system improvement from overseas
 - the Ministry of Education's ongoing policy programme
 - knowledge of the New Zealand education system
 - views and experiences of the New Zealand education system.

Evidence brief

10. The proposals are informed by international analysis of reform strategies in successful and successfully improving education systems and identification of the weakness in the New Zealand system. The development of the proposals paid particular attention to the message that successful improvement was seen in systems that understand where they are on the improvement continuum and apply strategies appropriate to get to the next stages in improvement.

11. Building on the many strengths in the New Zealand system, which includes the highly effective practitioners within it, we need to do more to promote a professional culture in which teachers:
 - constantly review the impact of their teaching practice on learning
 - actively seek external observation and critique by colleagues and more experienced teachers and leaders
 - seek and contribute to evidence of what works to improve learning outcomes and how they can apply that in their day-to-day practice.

Quality teaching and school leadership matters

12. What teachers know and do is one of the most important influences on what students learn.³ While students' backgrounds have the single most significant influence on student achievement and educational outcomes, within schools, the quality of teaching and leadership are the key points of influence on raising student achievement. Quality teaching is identified as a key lever for high quality outcomes for diverse students; up to 59 per cent of the variance in student performance is attributable to differences between teachers and classes, while up to 21 per cent is attributable to school-level variables⁴. "There is no more important empirical determinant of student outcomes than good teaching."⁵ Over three years, learning with a high performing teacher rather than a low performing teacher can make a 53-percentage point difference for two students who start at the same achievement level.⁶
13. Within the school context, professional learning and leadership practices constitute the key points of influence on improving the quality of teaching and outcomes for students. Successive McKinsey Reports (2009, 2010) highlight the importance of "continuous improvement of pedagogical skills and knowledge" and strengthening leadership at the school level as important building blocks of world class education systems (2009, p. 13).

The focus on strengthening the capacity and capability of the education profession in the Investing in Educational Success initiative is consistent with this evidence.

14. To lift the quality of teaching, high performing education systems ensure that they recruit and retain the best possible people to become teachers and educational leaders, develop them as highly effective practitioners and ensure they are able to meet the needs of every learner.

The new roles and the career pathways developed in the Investing in Educational Success initiative attend to these features in the New Zealand context.

15. Developing, clearly articulating, and resourcing career pathways that promote professional leadership and quality teaching in every school can enable a significant step up in performance of our education system.

Promoting collaboration that is purposeful and evidence driven is a feature of education systems that show sustained improvement

16. Successful systems create deliberate opportunities for teachers to open up their practice to observation and discussion with colleagues within and across schools in ways that stimulate improvement – such as joint teaching and weekly lesson planning for all teachers in the same subject. In this way they systematically deepen and further develop the use of effective pedagogies. Collaborative practice becomes the main mechanism for both improving teaching practice and making teachers accountable to each other.
17. New Zealand is characterised by "the high levels of school autonomy which grant flexibility in approaches to teaching and promote innovative local practices"⁷. However, because of the

³ Darling-Hammond, L. (1998). Teachers and Teaching: Testing Policy Hypotheses From a National Commission Report. *Educational Researcher*, 27 (1), 5-15.

⁴ Alton-Lee, A. (2003). *Quality teaching for diverse students: Best evidence synthesis*. Wellington: Ministry of Education.
<http://www.educationcounts.govt.nz/publications/series/2515/5959>

⁵ McKinsey Education (2009). *Shaping the Future: How Good Education Systems Can Become Great in the Decade Ahead*. p.29.
http://www.eurekanet.ru/res_ru/0_hfile_1906_1.pdf

Report on the International Education Roundtable, July 2009, Singapore.
http://www.mckinsey.com/locations/southeastasia/knowledge/Education_Roundtable.pdf

⁶ Sanders, W., & Rivers, J. (1996). Cumulative and Residual Effects of Teachers on Future Student Academic Achievement. Tennessee: University of Tennessee.

⁷ Nusche, D., et al (2012). *OECD Reviews of Evaluation and Assessment in Education: New Zealand 2011*, p. 75. OECD Publishing.

relatively weak accountabilities in the New Zealand system compared to other systems, this increases the risk that effective practices are not applied universally and ineffective practices can persist.

Making the expertise of Lead Teacher and Expert Teacher available to others across Communities of Schools and the provision of Inquiry Time are mechanisms for promoting and enabling collaboration and building professional accountability. The role of external support will be important to ensure effective practices. Communities of Schools will need to consider developing their own measures of success and evidence of how they are improving student outcomes.

18. Research shows that effective teacher learning is school-based and collaborative and has shown benefits both to the teacher and the learner. For example, a survey undertaken by the former General Teaching Council in England notes⁸ that effective continuous professional development, in which teaching staff learn together:
 - when focused on pupil outcomes, is linked to positive effects on pupils' learning and positive changes in teachers' practice, motivation, attitudes and knowledge;
 - involves a combination of active experimentation, peer support and specialist expertise that builds on teachers' starting points, and
 - involves significant in-school activity with teachers working in pairs or small groups.
19. Michael Fullan, who has written extensively on system improvement, argues strongly for the need to attend to the building of social capital as well as individual human capital.⁹ Fullan draws on research that describes the significant and sustained impact of teachers' interactions with their colleagues when it is focused on student achievement. This 'social capital' maximises and enhances the benefits of individual capability. It also creates a professional culture that expects and demands critical feedback on practice from colleagues: "In addition to leveraging instructional capacity, purposeful collaboration serves as the most effective form of lateral accountability."¹⁰
20. Within a culture of collaboration, effective school leaders see themselves as leaders of education, not just of their own school. They actively foster learning focused partnerships with others. This is the basis of collective responsibility which Fullan highlights as important to strengthening teaching and learning and improving student achievement.¹¹
21. In Finland, municipal reform has allowed for the sharing of principal leadership at the municipal level. Some school leaders also work as district principals with one-third of their time devoted to the district and two-thirds to their own schools. This means that leadership is redistributed between the municipal authority and the schools. Principals coordinate district level functions such as planning, development or evaluation that were previously undertaken by the municipal authority alone. Significantly, principals consider and address broader community needs rather than competitively defending the interests of their own organisation. As principals have less time and energy to give to their own school, there is more delegation to other staff within the school. This in turn leads to stronger development of distributed leadership capacity and therefore a more constructive approach to leadership succession and sustainability. Therefore, principals' attention shifts from the individual school to the wider local system and, secondly, the boundaries between the local system between the various parts of the local educational system and the internal parts of the schools become more permeable.¹²
22. Developing collaborative structures, such as Communities of Schools can:
 - reduce the need for extensive, bureaucratic, top-down systems of monitoring
 - become the major agent of self-improvement

⁸ General Teaching Council for England (2005). 'Continuing Professional Development', p.26. General Teaching Council for England.

⁹ Fullan M. (2011). *Choosing the Wrong Drivers for Whole System Reform*. pp 10-14

¹⁰ Ibid p 12.

¹¹ Hargreaves, A., Fullan, M. (2013) *The Power of Professional Capital with an Investment in Collaboration teachers become nation builders*. <http://www.michaelfullan.ca/wp-content/uploads/2013/08/JSD-Power-of-Professional-Capital.pdf> Vol.34 No. 3 June 2013.

¹² Hargreaves, A., Holasz, G., Pont, B. (2007). *School leadership for systemic improvement in Finland: A case study report for the OECD activity: Improving school leadership*. pp 28-29. Cited in Schleicher, A. (2012) *Preparing Teachers and Developing School Leaders for the 21st Century: Lessons from Around the World* - OECD Publishing.

- develop and transfer professional knowledge
 - distribute innovation
 - enhance parental confidence in the quality of schools
 - use resources more efficiently
 - make it easier to meet the needs of every student.
23. Successful systems overseas have created deliberate mechanisms to support teacher collaboration that emphasise the professional stance of teachers as researchers. Shanghai's implementation of structured 'teaching–study groups' is an example of such a mechanism¹³.

The provision of Inquiry Time and the Teacher-led Innovation Fund will allow teachers to collaborate in ways that are consistent with the evidence from successful systems but that align with the autonomous professional orientation of teachers and schools in Aotearoa New Zealand.

24. The existence of a collaborative approach in itself is not sufficient to achieve learner improvements. What these professional groups do matters. In most cases some external challenge and support is required. The Teacher Professional Development and Learning Best Evidence Synthesis identifies "expertise external to the group"¹⁴, of the right sort, as a quality evident in professional communities that showed a positive impact on student outcomes. This external expertise provided the necessary and timely challenge to teachers' existing problematic assumptions, practices and beliefs.

The opportunities for external support being made available through the new Expert Teacher roles in particular align with this evidence. The evidence also tells us that the capabilities of these people is critical if they are to be effective in this role as external experts; "...they also need to know how to make the content meaningful to teachers and manageable within the context of teaching practice"¹⁵.

25. Effective professional communities identified in the Best Evidence Synthesis also focused on the impact of their teaching on student learning, "a priority was made of enhancing the ability of teachers to respond to students' learning needs."¹⁶
26. It is clear that effective collaboration is premised on universally high levels of capability. Research into the experience of building capacity in New Zealand's self-managing school system highlights the need to attend to this capability¹⁷. This capability ensures that those charged with sharing best practice are able to identify best practice in their relevant domain and able to gather and use evidence of the impact of those practices on valued learner outcomes.

The IES highlights the importance of capability through a commitment that the selection and appointment of teachers and leaders to the new roles will be underpinned by clear and transparent professional standards. It also signals the importance of considering how the range of supports already provided to build capability can support effective collaboration and cycles of inquiry.

¹³ OECD (2011). *Building a High-Quality Teaching Profession. Lessons from Around the World. Background report for the International Teaching Summit*. p.15. OECD Publishing.

¹⁴ Timperley, Wilson, Barr and Fung (2007). *Teacher Professional Learning and Development, Best Evidence Synthesis*. P. 203. Ministry of Education http://www.educationcounts.govt.nz/_data/assets/pdf_file/0017/16901/TPLandDBESentireWeb.pdf

¹⁵ *Ibid.* p.xxix.

¹⁶ *Ibid.* p.204.

¹⁷ Robinson, M. V. J., McNaughton, S. & Timperley, H. (2011). *Building capacity in a self managing system: the New Zealand experience*. Journal of Educational Administration. 49(6), 720-738.

Countries that have successfully improved their education systems use deliberate approaches to building and utilising their professional workforces effectively

27. Sustained improvement is built on developing highly effective teachers in every classroom. McKinsey's analysis of how school systems keep getting better¹⁸ showed that high performing systems "value teachers and understand the complexity of their profession. They attract high quality candidates, turn them into effective instructors and build a career structure that rewards good teaching. These systems focus on learning and on building teacher capacity to promote learning for all leaders"¹⁹.
28. Effective teachers are promoted to positions where they have responsibility for improving teaching throughout the system. For example; Singapore's rapid improvement in system performance has been attributed to its concerted focus on lifting the quality of teaching. Central to this is a deliberate approach to creating professional leadership roles for teachers to support the improvement of their peers²⁰.
29. Singapore has developed three career tracks with specific roles focusing on different aspects of practice and system improvement which means highly effective teachers can progress their careers without moving away from classroom practice. These include roles for teachers with expertise in specific areas of teaching and learning and roles for leaders that work both within and across schools.
30. Andreas Schleicher²¹ points out that high performing countries "provide intelligent ways for teachers to grow in their careers and have moved on from administrative control and accountability to professional forms of work organisation".
31. The new roles proposed in the Investing in Educational Success initiative recognise and build on the strengths of our system in Aotearoa New Zealand and offer career pathways that are characteristic of a strong profession.
32. In the New Zealand context, the Education Workforce Advisory Group established to provide advice to the Minister of Education in 2010, argued that teachers need to be able to make career choices that support their professional goals and that there should be "career development opportunities aimed at supporting effective teaching and progression through the profession"²².

The Executive Principal role and the Change Principal Allowance for highly effective leaders and the Expert Teacher and Lead Teacher roles being established, offer a New Zealand approach to creating the kinds of roles that feature in successful systems overseas.

33. McKinsey found that these improving systems focus on different things depending on their stage of progress. For example, systems moving from fair to good performance focused on establishing foundations of data gathering, organisations, finances, and pedagogy, while systems on the path from good to great performance focused on shaping the teaching profession such that its requirements, practices, and career paths are as clearly defined as those in medicine and law (it also shows that systems cannot continue to improve simply by doing more of what brought them past success).
34. McKinsey also found that systems further along the journey sustained improvement by balancing school autonomy with consistent teaching practice. These systems give pedagogical rights (decisions about teaching) to the middle layers in their systems (such as

¹⁸ Mourshed, M., Chijioke, C. & Barber, M. (2010). *How the World's most improved schools system keep getting better*. McKinsey & Company. The authors identify systems that had shown improvement that is:

- *significant*; for example, an improvement greater than or equivalent to 25 percent of a school-year equivalent on PISA or TIMSS assessments
- *sustained*; achieved five years or more of improvement, with at least three data sets indicating an upward trend.
- *widespread*; gains are demonstrated across multiple subjects and/or assessments. Reducing variance (e.g. between school variance on PISA) is considered to be reinforcing criteria for selection.

¹⁹ Jensen, B., Hunter, A., Sonnemann, J., and Burns, T. (2012) *Catching up: learning from the best school systems in East Asia*, Grattan Institute.

²⁰ Ibid p. 107

²¹ Andreas Schleicher (2013). Foreword to Varkey GEMS Foundation 2013 *Global Teacher Status Index*. Andreas Schleicher is Deputy Director for Education and Skills and Special Advisor on Education Policy to the OECD's Secretary General <https://www.varkeygemsfoundation.org/sites/default/files/documents/2013GlobalTeacherStatusIndex.pdf>

²² Education Workforce Advisory Group (2010). *A Vision for the Teaching Profession. Education Workforce Advisory Group Report to the Minister of Education. Final Report 2010*. New Zealand Government.

districts or schools) later in the journey. However, in parallel, the centre mitigates the risk of this autonomy resulting in wide and uncontrolled performance variations across schools by establishing mechanisms that make teachers responsible to each other as professionals for both their own performance and that of their colleagues. For example, they create teacher career paths in which teachers with proven expertise take on increasing levels of responsibility for supporting colleagues to improve their practice within schools and across the system.

The new approach in Investing in Educational Success is based on giving Communities of Schools decision-making rights which align with the McKinsey findings, shaped for our local context.

What's missing in the New Zealand?

35. Compared to many successfully improving and high performing countries, there are weak incentives in New Zealand for teachers, schools and their communities to collaborate in ways that lift capability and student achievement.
36. Key concerns that are frequently raised in relation to how we develop, train, evaluate, reward and promote teachers include:
 - limited, narrow development and promotion opportunities that provide little incentive for teachers to be great teachers and teacher leaders, resulting in teachers seeking recognition by being 'promoted out of the classroom'
 - variability in the opportunities for and quality of peer to peer observation and analysis of teaching practices
 - variability in the quality of guidance and direction from professional leadership in schools about how teachers can effectively evaluate their own and each others' practices
 - variability in the access to quality, ongoing, constructive feedback for teachers about their performance as measured against level or role-specific standards or competencies
 - reward and recognition for teachers based on time served, or 'doing more' rather than added contribution to lifting student achievement.

Attractive career pathways oriented towards improved teacher practice and system leadership

37. Our recognition and reward systems are not adequately based on demonstrated improvement of the key areas of performance that make the most difference for students. They are not aligned to achieving the system goals for a professional leadership infrastructure that can help improve the practice of every teacher.
38. Countries that have succeeded in making teaching a highly attractive career have done so by offering career prospects that provide professional challenge and opportunities for leadership in areas that align with teachers' own goals of improving student learning (as well as attractive levels of remuneration).
39. Career pathways that offer challenges and reward for effective demonstration of professional leadership responsibility contribute to a strong profession, a profession that accepts and demands accountability for improving teacher practices, student achievement and system outcomes.

Systematic professional leadership development and utilisation

40. New Zealand's education system does not feature a systematic approach to identifying, developing and utilising professional leadership in schools – not just principals but leading teachers with high levels of expertise.
41. Nor do we have any systematic approach to enable collaboration and sharing of expertise within and across schools.

42. We lack a deliberate, system-wide approach to ensuring teachers and leaders can and do work together effectively to solve problems of professional practice. This is a feature of some high performing systems. We do not provide opportunities for teachers to seek practice-focused leadership roles that will drive capability of the profession.
43. High performing systems ensure that the best people with the relevant expertise get to the teachers and students that need it most. New Zealand does not have such a strategy. Expert teachers and highly effective professional leaders need to be systematically identified, incentivised and supported to use their expertise with their colleagues and across the system in response to student learning and achievement needs.
44. Boards of trustees operate in isolation to recruit and appoint leaders of their schools as vacancies arise and compete in the market place for potential applicants. Likewise principals recruit and appoint teachers in competition with all other schools in the market at the same time.
45. Incentives for boards, principals and teachers to work in partnership with other schools to identify and share professional expertise are weak. If one school has a really good maths teacher and one down the road is struggling to lift its maths results, competition conspires against the two schools sharing their resources.
46. Some schools create highly effective professional teaching environments that provide the necessary support and challenge for teaching within the current system. But there is no systemic approach to ensuring this is the norm for all teachers.

Part two: Advice and Members' Independent Background Papers from the Investing in Educational Success Working Group

Not Government policy

Part two: Advice and Members' Independent Background Papers from the Investing in Educational Success Working Group

Not Government policy

Detailed advice on the design and implementation

Introduction

1. This part holds final papers considered by the Investing in Educational Success (IES) Working Group.

Process

2. A Secretariat, comprising representatives from the Ministry of Education, the Post Primary Teachers' Association, the New Zealand Educational Institute Te Riu Roa and the New Zealand School Trustees Association, supported the work of the IES Working Group. The Secretariat prepared papers for the Working Group to consider and sought decisions from the Working Group.
3. In some cases, papers were sent back to the Secretariat for further work and the final paper therefore represented an evolution of ideas and discussion. Where decisions were made on the final paper, only the final paper has been included here.
4. In other cases, the Working Group commissioned new work from the Secretariat. This resulted in a number of papers recording decisions on a particular aspect of IES. In these cases, all papers have been included here.
5. At times, individual members of the Secretariat sought to have individual statements included within a paper.

Advice

6. The decisions made by the Working Group and outlined in these papers form the Working Group's agreed advice to the Government.
7. For some elements of IES, the Working Group came to a conclusion. Where the Working Group felt further work was needed, it commissioned work-streams to continue the work over coming months. The Working Group noted other aspects were best finalised through the variation process for collective agreements.

8. The following table sets out further action for each of the elements of the initial design of IES (noting some will be subject to the negotiation of variations to collective agreements).

Communities of Schools	Advice provided on general parameters. Work-stream commissioned to finalise design and draft guidance to aid Community formation and operation.
New roles	Advice provided on functions, working descriptors and some employment arrangements. Two work-streams commissioned to finalise the design of professional standards for the roles and the selection, appointment and appraisal design.
Change Principal Allowance	Advice provided on the eligibility criteria for school and candidate.
Inquiry Time	Further engagement required on the formula for Inquiry Time.
Teacher-led Innovation Fund	Advice provided on eligibility criteria for the Fund and re-phasing of funding. Recommended that the Ministry develop the application, selection, evaluation and dissemination processes for the Fund, in conjunction with the sector.

Attachment 1 - Communities of Schools

Purpose of report

1. This report seeks the Working Group's agreement to commissioning a work-stream to finalise the design and implementation of Communities of Schools.

Decisions

2. The Working Group:
 - a. **agreed** the scope of the work-stream as outlined in this paper
 - b. **agreed** the parameters for the work-stream as outlined in paragraph 7
 - c. **agreed** the key matters to be covered in the work-stream as outlined in this paper in paragraph 10
 - d. **agreed** the implementation of the work-stream as outlined in this paper.

Discussion

Background to this paper

3. At your meeting on 5 March 2014, you asked that some further work be done on the report "Work-stream for the development of Communities of Schools." In particular you asked that the list of questions related to "key matters to be considered by the work-stream" be revised. The revised list is to consider in particular:
 - the primary focus on the achievement of Māori and Pasifika students, students with special education needs and students from low-income families
 - transitions and connections within and beyond the compulsory schooling sector
 - the balance between guidelines and requirements for Communities of Schools.
4. The Secretariat has also included material to set parameters for the work-stream as at paragraph 7.

Background to the Communities of Schools initiative

5. The Investing in Educational Success Cabinet paper proposes establishing and/or recognising 250 Communities of Schools that will participate in a process of collaboration to address their identified achievement challenges. New roles will be allocated to Communities of Schools to make best use of the existing expertise in Communities of Schools to raise achievement and ensure a good spread across the system. There is no obligation to be part of a Community of Schools but, with the exception of the Teacher-led Innovation Fund and the Change Principal Allowance, access to the additional resources available under Investing in Educational Success is contingent on being part of a Community of Schools.
6. A range of groupings of schools and kura already exist in the system and we would expect the establishment of Communities of Schools to be informed by and possibly based on existing groupings. New Zealand-based evidence on what works in cross-school collaboration will inform the development of Communities of Schools as well as informing the Communities of Schools themselves on their development and function.

Work-stream scope

7. The Secretariat proposes that the Working Group discuss and agree that the work-stream's parameters include the following:

- Schools and kura may elect to form or join a Community of Schools or apply to have an existing group of schools recognised as a Community of Schools. Those that do gain recognition as a Community of Schools will receive the associated resources.
 - Formation of Communities of Schools will be through self-selection on the part of schools. Notwithstanding this, schools will be encouraged to form Communities of Schools that reflect, where possible, the educational pipeline so that the Community is focused on the needs of the individual student. This means that:
 - communities are likely to include primary and secondary schools and, where applicable, kura kaupapa Māori, ngā kura a iwi, area and intermediate schools
 - the Community of Schools may also invite early childhood centres and tertiary institutions to participate to better support transitions into and out of the system
 - the Community of Schools may have a local geographical basis to enable, where practicable, those with Community-specific roles to maximise time in travelling between schools and kura and for frequent face-to-face meetings to be held. It is acknowledged that in some areas (e.g. South Westland, offshore islands), geographic isolation would rule out frequent travel between sites and face-to-face meetings.
8. This work-stream will develop a report and guidelines covering:
- the design of the parameters of the Communities of Schools
 - the processes for Communities of Schools to be formed and roles of various stakeholders in those processes
 - expectations for coordination and organisational arrangements for Communities of Schools
 - a review of possible impacts of the formation of Communities of Schools on existing groupings of schools and kura
 - the timetable for the formation of Communities of Schools over the Investing in Educational Success implementation period
 - mechanisms for prioritising the formation over the roll-out period.
9. This work-stream will not define the nature of the new roles introduced to work in Communities of Schools. This aspect will be developed in the work covering the purpose and establishment of those roles.

Key matters to consider in the work-stream

10. The key matters to be considered can be broadly grouped under the following areas (see Appendix 1 for more detailed matters to be addressed under each heading):
- formation and organisation of Communities of Schools
 - ongoing operation of Communities of Schools
 - priority learner achievement
 - connections and transitions
 - monitoring and evaluation of the approach.

Work-stream implementation

11. This work-stream will take longer than the period of the Working Group's deliberations and the Secretariat's lifespan. We therefore propose the Community of Schools work-stream will include the Ministry, NZEI Te Riu Roa, PPTA and NZSTA to ensure continuity and consistency following on from the work of the Secretariat. There will be full engagement during this process with other groups including those representing principals, early childhood education, priority learners, isolated schools and Māori-medium (Te Rūnanganui o Ngā Kura Kaupapa Māori and

Ngā Kura a Iwi o Aotearoa). This will ensure a collaborative development of the final report. To initiate the work-stream, the scope and matters outlined above would be explored and expanded upon by the Secretariat in a face-to-face workshop. This would ensure that the work begins on a collaborative basis and shared ground. The Ministry will then undertake further analysis and progress each of the issues with ongoing engagement and input from the sector. During this process, sector organisations will also consult with their members.

12. At key points, face-to-face workshops would take place to clarify any differences in view, allow for discussion and debate, and agree the way forward. The Ministry would work with the sector in the final drafting of the paper. Final agreement on the paper will be sought from the Secretary for Education.
13. The proposed timeline for this work is outlined below.

	April 2014	May 2014	June 2014	July 2014	August 2014
First half	Scoping and development workshop 1	Analysis and development	Analysis and development	Final draft for review	Guidance drafted
Second half	Analysis and development	Development workshop 2	Development workshop 3	Report complete	

14. This timeline enables schools and kura to have some months to establish Communities in advance of recruitment for new roles.
15. Proper development of the Communities of Schools aspect of the Investing in Educational Success initiative is critical to its acceptance in the sector and must be worked through with the sector not imposed upon it. NZEI Te Riu Roa is of the view that the time frame indicated in this paper is too short.

Appendix 1

Formation and organisation of Communities of Schools

- What is the balance between guidelines and requirements in the work-stream to finalise the design and implementation of Communities of Schools?
 - How will Communities of Schools form? Will there be any restrictions or structure imposed upon their formation?
 - What are the barriers to Communities of Schools forming? How would these be overcome?
 - Are there maximum or minimum size parameters for Communities?
 - What help or advice is needed to mitigate the tension between size (of community) and inclusiveness?
 - Can schools be in more than one Community of Schools at one time? What implications will this have?
- Will there be any costs associated, including for schools with the formation of Communities of Schools and who will bear those (or are there additional costs that should be supported within the Budget allocation of \$359 million over four years for Investing in Educational Success)?
- What does New Zealand and overseas research and experience inform us about 'what works' in inter-school collaboration in the New Zealand context?
- What data will be required to inform the establishment of Communities of Schools, for example the patterns of transition of students from primary and intermediate to secondary schools?
- What help, advice, or guidance will be available to help Communities of Schools to form and set their goals and objectives?
- How will Communities of Schools or kura be prioritised for establishment in the early implementation phase?
- What elements will be necessary to build a strong culture of collaboration across schools and kura and their wider communities in the New Zealand context?
- Will there be a difference for Communities of Schools in rural areas compared with urban areas?
- Who provides the 'authorisation' for a Community of Schools?

Ongoing operation of Communities of Schools

- Will Communities of Schools change over time in terms of form, membership etc? Will any restrictions be imposed upon this?
 - Can schools change membership from one Community to another over time and what implications would this have for the school and the Communities?
 - Is a school which has initially not joined a Community able to join an existing Community of Schools later?
- What help, advice, or guidance will be available to help Communities of Schools to work together and deliver their goals?
- Will support be available for Communities of Schools at the local and national levels to assist their collaboration? How will the Ministry's regional teams work with Communities of Schools?
- How may a Community of Schools relate to their wider communities of families, whānau, iwi, aiga and other stakeholders?
- How may a Community of Schools relate to other education providers such as early childhood centres and tertiary institutions?
- To what extent are Communities of Schools likely to have a local geographical basis to enable those with Community-specific roles to maximise time in travelling between schools and kura and for regular meetings to be held?
- What opportunities will there be for remote schools, such as those on the Chatham Islands, Great Barrier Island and in South Westland, to genuinely participate in a Community of Schools and have access to the accompanying resources?

Priority learner achievement

- Are there specific expectations on Communities of Schools to ensure that their work supports the acceleration of achievement for:
 - Māori students
 - Pasifika students
 - students from low-income households
 - students with special education needs?
- How will the needs of Māori-medium kura and settings be met within Communities of Schools?

Connections and transitions

- Is there an expectation that Communities of Schools form partnerships/collaborate with parents, families and whānau?
- How is it suggested that Communities of Schools work with their wider community – such as iwi, businesses and other stakeholders?
- Is there an expectation that Communities of Schools link with education sector providers and others to improve the pathways and transitions of students moving through the educational system, from early childhood to tertiary and into the workplace?

Monitoring and evaluation

- Is there an expectation that Communities of Schools will collect and report on their progress to their wider community and to the Ministry? If so, will systems be developed by the Ministry to support this?
- What process will be used to analyse the success of existing groupings of schools and what is the time frame for undertaking that analysis?

Attachment 2.1 - New roles: purpose

Purpose of report

1. This report seeks the agreement of the Working Group to the purpose of the Executive Principal, Expert Teacher and Lead Teacher roles, described respectively as Role A, Role B and Role C in this report.

Decisions

2. The Working Group:
 - a. **agreed** the purpose of the roles as described below
 - b. **noted** that the purpose and names of the roles may need further refinement as a result of the development and agreement on design of interrelated elements of the Investing in Educational Success initiative
 - c. **agreed** the names Executive Principal, Expert Teacher, Lead Teacher and Change Principal be changed
 - d. **noted** that the purpose of the roles is based on assumptions made by the Secretariat about the purpose for the overall Investing in Educational Success initiative and the Communities of Schools
 - e. **noted** that the purpose of the Change Principal Allowance is included in the development work for introducing the Change Principal Allowance.

Purpose of the roles

3. Three new roles are proposed in Investing in Educational Success. For the purpose of this paper, these roles are being described as Role A (Executive Principal), Role B (Expert Teacher) and Role C (Lead Teacher). Table 1 describes the proposed purpose for the new roles.

Table 1: Purpose of roles

Role	Purpose	Maximum number provided for
Role A (Executive Principal) <i>Leading implementation of the shared achievement improvement plan</i>	Offering leadership in building productive collaboration within Communities of Schools. Facilitating the agreement of shared achievement objectives. Supporting the professional growth of leaders and teachers. Offering leadership in the use of professional expertise across schools to meet shared achievement objectives in collaboration with other principals in the community.	250
Role B (Expert Teacher) <i>Strengthening best practice across a Community of Schools</i>	Promoting best teaching practice across a Community of Schools. Strengthening the use of effective inquiry approaches to teaching and learning across schools to achieve the shared achievement objectives.	1000

Role C (Lead Teacher) <i>Strengthening best practice, situated within a school</i>	Promoting best teaching practice within a school. Strengthening the use of an inquiry approach to teaching and learning to achieve the shared achievement objectives.	5000
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Underpinning assumptions

4. The roles will be underpinned by the formation of Communities of Schools, clear professional standards, a rigorous process for selection and clear accountabilities for improving student achievement. Prior to finalising that work, a statement of the purpose will clarify role expectations and confirm the central intent of raising student achievement.
5. In order to describe the purpose of the new roles, the Secretariat needed to make some assumptions about the overall purpose of the Investing in Educational Success initiative. These include the goal of raising student achievement by sharing best practice and utilising expertise in teaching and leadership across schools, supporting professional growth of teachers and leaders, strengthening inquiry teaching approaches, facilitating Communities of Schools and creating additional career pathways for teachers and principals.
6. The Secretariat also made the assumptions that the purpose of the Communities of Schools is to identify shared achievement challenges and to agree and implement the effective use of their resources to meet those objectives.
7. These assumptions were used to underpin the proposed purposes of the new roles. We note that due to the interrelationship between many elements of the Investing in Educational Success initiative, the proposed purpose for the roles may require further refinement as those other elements are developed and agreed.
8. We also note that a specific work-stream is providing advice on the purpose, form and functions of the Communities of Schools.
9. The Secretariat is continuing work on the design and implementation of the Change Principal Allowance separately.

Attachment 2.2 - New roles: functions

Purpose of the report

1. This report seeks the agreement of the Working Group to the provisional list of functions for Role A (Executive Principal), Role B (Expert Teacher) and Role C (Lead Teacher).

Decisions

2. The Working Group:
 - a. **agreed** the provisional list of functions for the roles as described in paragraph 8 below
 - b. **Noted** that the use of Roles A, B and C and the Inquiry Time provided to a Community of Schools will be responsive to the needs of that Community and the schools and kura within it.
 - c. **noted** that the functions of the roles are likely to need further refinement as a result of subsequent agreement on other related elements of the Investing in Educational Success initiative
 - d. **noted** that the function of the Change Principal Allowance is included in the development work for introducing that allowance
 - e. **noted** that the Secretariat will provide advice, on operational issues relating to the roles, to the next meeting of the Working Group including the range of support and 'backfill' required
 - f. **noted** that in providing advice on operationalising the roles, the Secretariat may present variations to the proposals in the Cabinet Paper which:
 - better ensures the agreed purpose and functions of the roles within the framework of the intended approach; and
 - is better supported by the sector.
 - g. **noted** that the development of the roles will be informed by academic advice.

Background

3. You agreed on 5 March 2014 to the purpose of the roles (Appendix 1). You noted that further refinement of the purpose and names may be needed as a result of the development and agreement on design of interrelated elements of the Investing in Educational Success initiative.
4. The Investing in Educational Success initiative will augment the current system by providing improved access to expertise across communities as well as within schools.
5. The selection of appointees to these roles will be informed by expertise from the external selection panel and representatives from each Community of Schools. Individuals filling these roles will be appointed to the positions by, and remain accountable to, their employing board.

Discussion

6. The functions of these roles within a Community of Schools will be responsive to the needs of the individual schools and kura, and to the Community of Schools as a whole as expressed in its shared achievement objectives²³.
7. The achievement plans developed through these shared achievement objectives would incorporate equity of achievement challenges within the Community of Schools and individual schools.

²³ These shared achievement objectives are referred to in the Community of Schools paper.

8. Note that in assessing the shared achievement objectives, a 'basket of evidence' will be used, which can include data from NCEA and National Standards, but not exclusively so. Schools would also continue to address their own challenges, using their own evidence.

Functions of roles to realise their purpose

9. The Secretariat used the principles below to develop the functions set out in Table 1. The functions will:
- meet the objectives of the Investing in Educational Success initiative
 - enable the purpose of the roles to be realised
 - ensure expertise within the Community of Schools is available across the schools and kura
 - support the Community of Schools to reach its shared achievement objectives
 - complement each other and the existing roles in schools and kura
 - support collaboration among self-managing schools and kura
 - be responsive to the particular needs of the Community of Schools and the individual schools and kura within it
 - be transparent to all in the Community of Schools.
10. The provisional list of core functions is in Table 1 below and may not be an exhaustive list. The functions below will be, in most cases, in addition to the functions already carried out by appointees within their school or kura.

Table 1 Functions of Role A, Role B and Role C – provisional list of core functions

Leadership		
Role	Purpose	Functions
Role A (across Community of Schools)	Offering leadership in building productive collaboration within Communities of Schools. Building relationships with early childhood education and tertiary to strengthen the transition of students, and to better support student achievement.	<ul style="list-style-type: none"> • establish strong links, through the principal or tumuaki, with each school and kura in the Community of Schools • identify, with leaders within the Community of Schools, any specialist expertise needed to support: <ul style="list-style-type: none"> – the development of a shared culture of collaboration – responsiveness to cultures within the Community of Schools • facilitate agreement within the Community of Schools about the structures and processes that will be used to: <ul style="list-style-type: none"> – manage and coordinate (resources and activities) – make Community of Schools' decisions – develop cohesiveness among all involved – strengthen participation of students, parents, whānau and wider community – promote student achievement and well-being • use Community of Schools' achievement plan to establish clarity of roles, responsibilities and accountabilities between schools and kura and the Community of Schools, including respective responsibilities for representing the Community of Schools as a whole and in relation to the community plan in each school and kura • work with school and kura leaders to ensure the coordination of the activities of the schools or kura in meeting the objectives of their shared achievement plan • promote collective responsibility for student achievement and well-being within schools and kura and across the Community of Schools.
	Facilitating the agreement of shared achievement objectives.	<ul style="list-style-type: none"> • support school and kura leaders to identify potential shared long-term and short-term achievement objectives • facilitate with school and kura leaders and boards the development and implementation of the agreed shared achievement plan • offer advice to school and kura leaders within the Community of Schools to support the objectives of the plan • together with school and kura leaders and teachers identify the knowledge and skills that teachers and leaders need in each school and kura and across the Community in order to meet the needs of students in relation to the shared achievement objective

Leadership		
Role	Purpose	Functions
		<ul style="list-style-type: none"> facilitate planning, with the other school and kura leaders in the Community, to strategically allocate the resources of teaching expertise and Inquiry Time coordinate the activities of the schools and kura in meeting the objectives of the plan work with school and kura leaders to develop a shared approach to reporting on progress report on overall progress on the achievement plan.
	Supporting the professional growth of leaders and teachers.	<ul style="list-style-type: none"> facilitate agreement among school and kura leaders about the design and approaches to the professional learning and development that will develop the new skills and knowledge that is needed, in particular the contributions from Role B and Role C liaise with school and kura leaders on matters relating to the use and management of Role B and Role C teachers and Inquiry Time.
	Offering leadership in the use of professional expertise across schools to meet shared achievement objectives in collaboration with other principals in the community.	<ul style="list-style-type: none"> confirm, together with school and kura leaders and teachers, expertise that will be drawn from within the Community of Schools in order to develop the knowledge and skills of teachers to reach shared objectives work with school and kura leaders and boards in the Community of Schools in the selection process for roles B and C teachers, from within the Community of Schools, with external advice as appropriate participate with others in the learning and development of teachers and leaders.

Expertise across schools and kura		
Role	Purpose	Functions
Role B (across Community of Schools)	Promoting best teaching practice across a Community of Schools.	<ul style="list-style-type: none"> retain significant (definition to be confirmed) teaching responsibility within their own school as agreed with the school and kura, board and Role A in order to retain currency and credibility promote cross-school and kura Teacher-led Innovation Fund proposals identify expertise which needs to be developed or linked across the Community of Schools support school and kura leaders to implement the agreed actions in the Community of Schools' plan liaise with other teaching and learning support roles provided within, or to, schools and kura in the Community of Schools coordinate the implementation of the achievement plan with Role A, other Role B, Role C and other relevant teaching and support staff within the Community of Schools.
	Strengthening the use of effective inquiry approaches to teaching and learning across schools to achieve the shared achievement objectives.	<ul style="list-style-type: none"> lead, at the request of the school and kura leaders, learning groups within the Community of Schools, including those focused on 'teaching as inquiry' provide and lead structured opportunities, based on the evidence of best practice, for teachers in their Community of Schools to support and assist the ongoing development of effective approaches to 'teaching as inquiry'.

Expertise within schools and kura		
Role	Purpose(s)	Function
Role C (situated within a school or kura)	Promoting best teaching practice within a school.	<ul style="list-style-type: none"> • retain teaching responsibility (whether the class contact time should be reduced for Role C is an active discussion for the Secretariat and advice will be provided to the Working Group) • coordinate and liaise with others responsible for professional development within the school • model and support collaborative practice.
	Strengthening the use of an inquiry approach to teaching and learning to achieve the shared achievement objectives.	<ul style="list-style-type: none"> • strengthen the 'teaching as inquiry' practice of other teachers by providing opportunities for observation and discussion about their practice.

11. An overview of possible changes and links to existing roles are identified in Appendix 2.

Appendix 2

Table 2 Examples of links between the functions of existing and new roles

Existing role	Purpose	Function in relation to new roles
Board	Responsible for the governance and for the oversight of the management of the school or kura.	<p>where roles A, B or C are part of the staff continue to be the employer of those staff in these roles</p> <p>agree to appointments of roles A, B and C from among their current staff</p> <p>participate in the development of a Community of Schools achievement plan</p> <p>oversees its own progress against objectives</p>
Principal or tumuaki (within own school or kura)	Be the professional leader of the school or kura and manage the school or kura on behalf of the board.	<p>subject to policies set by their board, continues to have complete discretion to manage as the principal or tumuaki thinks fit, the school or kura day-to-day administration</p> <p>act on behalf of the board in appointments</p> <p>participate in the development of a Community of Schools</p> <p>participate in the development and implementation of the achievement plan</p> <p>report to their board on progress of the school or kura in meeting its part of the achievement plan</p> <p>consult with Role A about applications for roles B and C</p> <p>encourage applications for Teacher-led Innovation Fund from within their school or kura</p> <p>manage Inquiry Time in their school or kura</p>
Resource teachers	To provide itinerant, specialist support to students and teachers, and work with families, in order to improve the education outcomes for students.	<p>liaise with Role Bs</p> <p>support and liaise as appropriate with the SENCO, SCTs classroom teachers and school management in relation to the work of the new roles and Community of School's objectives</p>
Curriculum and professional leadership roles including SCTs, STs HoDs, APs, DPs, and syndicate/team and curriculum leaders	Leadership and management of curriculum, teachers and enhancement of quality teaching practices in schools and kura.	<p>liaise with roles A, B and C in the school</p> <p>provide specific and targeted linkages between classroom teachers and roles B and C and SCTs</p> <p>facilitate effective working relationships between teachers, support staff, and new roles in relation to the work of the new roles and Community of Schools objectives</p> <p>ensure that timetabling and other in-school programmes and processes provide for smooth transitions and interactions in relation to the functioning of the new roles alongside existing programmes and priorities</p>
Support staff, Administration, teacher aides	Provide support for administration or for staff and students within their school and possibly Community of Schools.	support and liaise with Investing in Educational Success roles as agreed within the school or kura

Attachment 2.3 - New roles: progress and next operational steps

Purpose of report

1. At your meeting of 2 April you sought further advice from the Secretariat on a primary, secondary and area schools implementation model to operationalise the new roles. This paper provides advice on the agreed design changes to the model to date, identifies areas for further discussion and/or negotiation and proposes next steps.

Decisions

2. The Working Group:
 - a. **agreed** the Investing in Educational Success design as outlined in paragraph 13 which will form a core part of your advice, via the Secretary for Education to Joint Ministers
 - b. **agreed** that variations to the Cabinet paper model are required to rebalance the funding allocated to the new roles to best achieve the purposes of the initiative
 - c. **agreed** that as part of the final report it is noted that there are a number of matters which will require addressing in negotiations/variation to collective agreements
 - d. **agreed** the next steps required to finalise the detail of the implementation model, as outlined in paragraphs 33-36
 - e. **agreed** that in preparing his advice on the operationalising of roles for the Joint Ministers, the Secretary for Education be asked to note that, if the PPTA developed model set out in Appendix 1 for secondary and area schools were to be progressed, it would require the following adjustments to the model in the Cabinet paper and would need to be addressed in any subsequent negotiations of variations:
 - reduction of the allowance rates suggested in the Cabinet paper
 - inclusion of a time allowance for Role C
 - numbers of positions and Targeted Principal Payments
 - provision of funding for new administration costs associated with participation in a Community of Schools
 - provision of a component of centrally organised and funded professional development and learning and networking for each of the new roles
 - funding for backfill for roles supporting the new positions
 - eligibility for unit holders to apply for Role C positions.
 - f. **agreed** that in preparing his advice on the operationalising of roles for Joint Ministers, the Secretary for Education be asked to note that the PPTA have identified the changes in recommendation (e) above as essential to its support and that these matters will form part of the negotiations on the variations
 - g. **noted** that processes to change the distribution of roles, to respond to demographic or other changes over time, will be developed as part of the implementation planning for the Investing in Educational Success initiative.
3. Following PPTA recommendations, the Working Group:
 - a. **agreed** that, subsequent to the initial implementation, to ensure resources are fairly distributed across and within Communities of Schools the numbers of new roles and the quantum of Inquiry Time need to be linked to the normal annual staffing adjustments which accompany demographic changes

- b. **noted** that recommendation (3.a) falls outside parameter 14 of the Cabinet paper.
- 4. Following NZEI Te Riu Roa recommendations the Working Group:
 - a. **noted** that NZEI Te Riu Roa has indicated that it will undertake a transparent engagement process with its members in primary and area schools with the aim of finalising details of an implementation model to be agreed in bargaining and other processes.

Background

- 5. At your 2 April meeting you tasked the Secretariat to develop advice on a primary, secondary and area schools implementation model with reference to a series of questions and issues identified in the paper.
- 6. You also indicated that, within the existing financial parameters of the Cabinet paper, the Secretariat should consider and may propose adjustments in the final report on the:
 - reduction of the allowance rates suggested in the Cabinet paper
 - inclusion of a time allowance for Role C
 - numbers of positions
 - provision of funding for new administration costs associated with participation in a Community of Schools
 - provision of a component of central professional learning and development and networking funding for each of the new roles
 - funding for backfill for roles supporting the new positions
 - flexibility for unit holders to apply for Role C positions.

Discussion

- 7. The Investing in Educational Success Cabinet paper outlined a model for investing in the schooling sector. This model was clearly defined as being subject to further design input from the education sector and the initial reactions from the sector were that changes are necessary to the model.
- 8. Since that time, the sector Working Group has agreed large parts of its advice to Joint Ministers on an alternative model which it sees as workable within the budget available and able to achieve the stated Investing in Educational Success goals.
- 9. A range of areas of further design remain. The Secretariat is unable to provide agreed advice at this time on an implementation model as outlined in your paper of 2 April. There remain a number of ways in which these can be resolved.

Opportunities for finalising the design

- 10. In further work to develop an implementation model, the Secretariat notes that there are several points at which specific design details may be progressed:
 - joint Ministers' response to the Working Group's advice
 - in further discussion between the relevant parties
 - as a result of the report from the Communities of Schools Work-stream; the Standards Writing Group and/or the Selection, Appointment and Appraisal Work-stream
 - the collective agreement(s) variation process
 - following any formal evaluation of the initiatives over time.
- 11. The Secretariat discussed the essential aspects that need further work in order for the Investing in Educational Success initiative to:

- best achieve the desired goals and outcomes of the initiative
 - achieve fair and equitable relativities with existing roles in schools
 - ensure the new roles fit with and are complementary to existing professional and leadership roles in schools
 - achieve the support of teachers, principals, boards and the public
 - ensure resources are fairly distributed across and within Communities of Schools.
12. This paper outlines the areas of the model agreed to date and those yet to be finalised. The paper also outlines the next steps required to finalise the design.

Investing in Educational Success design – discussion to date

13. The Working Group report will outline detail on the design aspects of the Investing in Educational Success model. The Working Group has acknowledged that the Investing in Educational Success budget is no more than \$359.246 million over the coming four financial years and \$154.830 million in out-years. In summary the Investing in Educational Success model includes:

Communities of Schools

- a work-stream will propose the detailed design of Communities of Schools
- Communities of Schools will self form with an average of around 10 schools
- Communities of Schools will largely be geographically defined, including schools from across the variety of school types (primary through to secondary) reflecting the student education journey
- the Ministry will provide support to help this formation process to take place
- schools can choose not to join a Community of Schools, but access to Role A, Role B, Role C and Inquiry Time are contingent on membership
- Communities of Schools will identify and deliver shared achievement objectives
- Communities of Schools will encourage collaboration between their governance, leadership and teaching to improve their practice and deliver their shared achievement objectives
- Communities of Schools will be expected to specifically respond to the needs of priority learners
- schools will be allocated Inquiry Time to help them to enable some teachers to collaborate within and across schools in each year.

Targeted Principal Payment (formally Change Principal)

- the Targeted Principal Payment is for a fixed term with a possibility of a further fixed term (length of term not agreed)
- the function of the payment is to support boards of trustees of the most in-need schools to broaden their recruitment pool and assist them to recruit a high quality principal
- eligibility is dependent upon both the school and individual principal meeting agreed criteria.

New functional roles

- three new teaching and leadership roles, currently referred to as Role A (formerly Executive Principal), Role B (formerly Expert Teacher), and Role C (formerly Lead Teacher); the purposes and functions of the roles are agreed (as outlined in the Working Group report)
- boards of trustees remain the employer for all positions
- boards of trustees will need support to fulfil this function
- selection to the roles will be subject to meeting agreed professional standards or criteria

- these professional standards or criteria will be developed by an expert writing group
- assessment against these professional standards/criteria will include external independent experts
- Role A and Role B are fixed-term positions
- reselection to Role A and Role B requires reassessment as continuing to meet the relevant professional standards or criteria
- Role C is subject to regular reassessment against the relevant professional standards
- access to Role A, Role B and Role C is generated through membership of a Community of Schools
- release time is provided to schools for Role A and Role B to enable the function to be fulfilled (PPTA believes it is an intrinsic requirement for Role C to work and to be accepted in secondary and area schools that it too has a specific time allowance)
- a work-stream for the drafting of professional standards and proposed experts to contribute to the drafting process
- a work-stream to finalise the selection, appointment and appraisal design.

Teacher-led Innovation Fund

- a Teacher-led Innovation Fund with a \$10 million budget
- the phasing of this budget over three financial years (\$4 million, \$4 million and \$2 million)
- a review in the second financial year to advise to Government on continuing funding
- the process for developing this fund and its processes for selection and allocating to approved projects.

Areas of detail yet to be finalised

14. The Working Group has not finalised all of the details of an implementation proposal for Investing in Educational Success. Key areas of detail which are yet to be finalised (which incorporates those outlined in recommendation (f). of the Operationalising Roles paper agreed on 2 April) include, but are not limited to:
 - the value of the allowances (which are expected to reduce)
 - the number of Role B and Role C positions
 - the nature of backfill for the new roles
 - the names of the roles
 - the extent and nature of any administrative assistance for the new roles or for the Community of Schools
 - the extent and nature of any support provided for the new roles to enable them to fulfil their functions effectively
 - the extent and nature of time provided to enable the functions to be fulfilled
 - eligibility criteria for selection to the new classroom roles in relation to existing responsibilities, classroom teaching time or units held.
15. More specifically the PPTA have confirmed they will be seeking the following more detailed changes (including through bargaining):
 - a. reduction of the allowance rates as per the model in Appendix 1
 - b. inclusion of a time allowance for Role C as per the model in Appendix 1
 - c. numbers of positions and principal recruitment allowances be adjusted to fit the financial parameters
 - d. provision of funding for new administration costs associated with participation in a Community of Schools

- e. provision of a component of centrally organised and funded professional learning and development and networking for each of the new roles
 - f. funding for backfill for roles supporting the new positions.
 - g. eligibility for unit holders to apply for Role C positions
 - h. the names for the new roles and allowance.
16. The PPTA notes that the Cabinet paper (Annex A – Parameter 14) indicates that the number of new positions would not be linked to future roll changes. In the PPTA's view this would not allow for the natural adjustments in numbers that are required by year to year fluctuations in staffing numbers and it believes that it would create unnecessary future complexities for schools and Communities of Schools. PPTA proposes that the Working Group agree to a recommendation in the final report that the numbers of roles and Inquiry Time allocations are linked to the annual staffing adjustments accompanying demographic changes.
17. NZSTA supports the need to address the variations in roll change which is responsive to and will drive resource requirements.
18. The Secretariat notes that linking the number of new positions and Inquiry Time to future roll growth change:
- a. is outside of the parameters provided by Cabinet (parameter 14)
 - b. would require a reduction in the resources provided in the early years of Investing in Educational Success to allow for that future roll growth; and
 - c. would mean that the number of the new positions could reduce in Communities of Schools where there is a future roll drop as well as possibly increasing in those Communities of Schools in which there is roll growth.
19. The Working Group agrees that the final design (incorporating any details outlined above) must be deliverable within the overall Investing in Educational Success budget for the next four financial years and for out-years.

Next steps

20. The Working Group has agreed the establishment and content of three work-streams stemming from its deliberations. These continue work begun by the Working Group, but which will not be completed by the end of April when the Working Group will have completed its function. Sector groups have key roles in the development of these work-streams. The nature of their engagement is defined within each work-stream. These are:
- Communities of Schools
 - professional standards
 - selection, appointment and appraisal.
21. The details outlined in paragraphs 14-19 will form part of ongoing joint work between the Ministry of Education and sector groups in those points outlined in paragraph 10.
22. Appendix A reflects a model, developed by the PPTA for the secondary and area school sector (there are some amendments to the previous version seen). Comments and questions from the PPTA, Ministry and NZSTA are listed in the right hand column.
23. It is expected that discussion will be ongoing and collective bargaining will commence shortly after Joint Ministers have responded to the Working Group's advice.

Organisation statements on operationalising the roles

NZSTA comment

24. NZSTA wants to see sufficient flexibility in resourcing to allow boards and principals to manage both their school and the work of a Community of Schools. They want an empowering and supportive model.

NZEI Te Riu Roa comment

25. Design and implementation details set out in this paper do not necessarily reflect the views of NZEI Te Riu Roa as to date there has not been engagement with teachers and principals in primary and area schools about the nature of these details. NZEI Te Riu Roa will develop its specifications and/or confirm discussions to date through transparent engagement processes with teachers and principals in primary and area schools.
26. In order for the new roles to be implemented effectively to make a positive difference to children's learning, it is important that the sector accepts and 'owns' the new roles. This can be achieved through a rigorous process of constructive engagement with teachers and principals to seek their input into the operationalising development of the new roles beyond the consultation with sector leaders.
27. The primary and area school sector in New Zealand is diverse in terms of many factors including student ethnicity, size, location, community among others. All of these factors will be taken into consideration in both the operationalisation of the new roles and the Communities of Schools. Therefore involving the sector and allowing for considered feedback from teachers and principals to inform planning decisions could strengthen and enhance the implementation of the Investing in Educational Success initiative.
28. Since the new roles were first announced there has been growing concern and disquiet within the sector with many teachers and principals expressing concern about whether the new roles will make a positive difference to teaching and learning and about possible negative impacts their implementation could lead to. In order to address this disquiet, open and constructive engagement that allows teachers and principals to analyse evidence underpinning this approach, discuss their concerns and to identify mitigations as well as any opportunities is crucial to build the confidence and ownership of teachers and principals in this work.
29. NZEI Te Riu Roa is of the view that the most effective and appropriate way to do this is through open and transparent, genuinely collaborative engagement processes with primary and area school teachers and principals, through established processes such as those used to develop claims and consider offers in bargaining.
30. NZEI Te Riu Roa believes that the best way to do this is to lift the secrecy that surrounds this work to allow for sector discussion and feedback. Agreement has already been reached between the parties to the collective agreements that they will be varied to incorporate the new roles so it is therefore sensible to continue the work to operationalise the roles using bargaining processes.
31. The Ministry, as employing party, would put forward a claim to vary the relevant collective agreements. This claim should include the underpinning evidence about how these new roles are intended to directly benefit children's learning.
32. NZEI Te Riu Roa will then conduct engagement processes with [primary and area school] teachers and principals to seek their feedback to help shape and refine the roles, taking into consideration all necessary factors. This will establish parameters for bargaining and allow the parties to engage on agreeing specific detail.
33. The implementation of these roles represents specific change to the sector so an iterative process of engagement with teachers and principals through the bargaining phase and leading into implementation planning will be important.
34. NZEI Te Riu Roa members have endorsed the following principles that they believe should guide this work:

Continued engagement by NZEI Te Riu Roa in the "Investing in Educational Success" initiative must be based on the following principles:

- *any new initiatives must be underpinned by sound evidence about approaches that are of direct benefit to all children's learning, including for priority learners*
- *any new initiative must be designed through a transparent and genuinely collaborative process of engagement with the profession, taking whatever time is necessary*

- *National Standards data will not be used to determine criteria or eligibility for any roles or resourcing.*
35. The process set out above could help those principles to be met.
36. The process set out in this paper is intended to be an efficient process for determining operationalisation details. Other discussions in the Working Group process will still be subject to member mandate and so cannot reach any definitive outcome. The process in this paper leads more directly to reaching this outcome.

Appendix 1

Initiative	PPTA model for operationalising the new roles within the secondary/area school sector	Questions within the Secretariat
Implementation of Role A	<p>To be appointed an individual would have to:</p> <ul style="list-style-type: none"> • be interested in undertaking and applying for the role • have a strong SMT behind them to support the release of the principal • have the agreement of their board that they can undertake these new functions • meet the criteria for appointment. <p>With an average of only 10 schools in each Community of Schools, it is likely that at some stage a Community of Schools may not find anyone to fill the role.</p> <p>While we should generally expect a current principal in a Community of Schools school to apply, meet the criteria and be appointed, an allowance should be made for flexibility if that is not possible, for example, a current deputy principal who has experience of working within a cluster in this type of role, a vice principal (see below), a recently retired principal, a secondment from another Community of Schools, a shared Role A with another Community of Schools, a shared role among two or more principals in the Community of Schools who each individually meet the appointment criteria. Some of these arrangements would require the ability to split the allowances or for modified forms of employment and salaries.</p> <p>An allowance less than that proposed in the Cabinet paper would avoid creating too great a differential and avoids the risk of changing the positive working relationships between principals currently operating collaboratively in various clusters. Also, other costs need to be met to support the position which will require resourcing from within the existing fiscal parameters. These include:</p> <ul style="list-style-type: none"> • superannuation contributions • an allocation of additional operational funding to the Role A employing school(s) for administration (e.g. administrative support) and other associated costs. Note: the work-stream on Community of Schools is to report back on expected additional administration/travel costs etc • an annual provision for centrally/regionally organised Role A professional learning and development/networks/fora for new role As to learn from experienced ones, for all to share experience between Communities of Schools facilitators and to spread good practices between Communities of Schools. • travel and (for some remote Communities of Schools) accommodation costs. <p>There is some discussion about whether the time allocation should be higher in the first year of the development and implementation of the Community of</p>	<p>There may be a range of ways in which a Community of Schools could be supported to establish and to start working on shared objectives.</p> <p>The Working Group has noted that at its 19 March meeting that, by exception, a deputy principal could hold the Change Principal Allowance.</p> <p>Should the way the Role A's responsibilities are managed if there is no suitable appointee available be a matter of agreement within the Community of Schools?</p> <p>Considering an appointment from outside a school could limit opportunities for career pathways for high quality and experienced, capable principals.</p> <p>What is the level of risk of creating too great a differential?</p> <p>What is the allowance that is needed as an incentive for quality and experienced principals to take up the role?</p> <p>Is there a best balance between the funding for the allowance and funding for support?</p> <p>What are the opportunities for Role As to access further development and to share best practice?</p> <p>The Secretariat has noted that no provision was made for administration costs of Community of Schools in the Cabinet paper. Discussion is focused on whether there should be any specific provision for this and, if so, whether it should be at the school or community level.</p> <p>Does the amount of time needed for Role A change over the different phases of the development of a Community of Schools? How does the nature of the work change during different phases of a community's</p>

Initiative	PPTA model for operationalising the new roles within the secondary/area school sector	Questions within the Secretariat
	<p>Schools strategic plan, reducing to 0.4 in the second year and subsequent years.</p> <p>Supporting the Role A within their own school The deputy principal in a Role A school will take on significant principal responsibilities. This suggests recognition of a fixed-term vice principal role and a higher remuneration rate for that person, with a ripple of higher duties allowances being paid to back fill.</p> <p>A vice principal role will add to the career paths and give deputy principal's in this role extensive experience in running a school under the guidance of an experienced principal.</p> <p>Supporting the Role A from other schools</p> <p>Non-Role A principals (secondary and area schools and kura) The additional functions of the non-Role A principals in a Community of Schools will add more hours to their existing job too. Some of their current function will need to be passed on and the back flow will need to be mopped up with a time allowance and salary recognition, perhaps in the form of additional units to the school.</p> <p>Non-role A (secondary and area schools and kura) Non-Role A schools will incur additional costs associated with their participation in the Community of Schools. It is proposed to provide some additional operational funding to recognise this cost to schools in the Community of Schools to cover their extra administration/community consultation costs, etc.</p>	<p>work?</p> <p>To what extent would /could a school/board recognise a second role holding principal responsibilities?</p> <p>Can the way a board manages the change in responsibilities be supported by changes in rules around "acting up"?</p> <p>How can we support schools to use the release provided/ HDA most effectively to support the current members of SMT to take up the new responsibilities?</p> <p>Having committed to a Community of Schools, how can a school/board be supported with this change to their work?</p> <p>What are the opportunities to manage workload through sharing ideas and with the establishment of the new roles?</p> <p>Note: the work-stream on Community of Schools is to report back on expected additional costs and number of schools in a Community of School.</p>
Implementation of Role B	<p>The funding per position is being looked at in terms of appropriate relativities and in the context of the need to provide for other elements to support the position. An appropriate allowance will retain relativity with senior middle management positions.</p> <p>In addition there will be other costs to support the position:</p> <ul style="list-style-type: none"> • superannuation scheme contributions • an allocation of funding to the employing school(s) for administration, reimbursement of travel and (possibly) accommodation costs, additional relief costs/recruitment costs, incidental allowances etc. • this is likely to require some isolation weightings - special provision may be required for e-Community of Schools • an annual allocation per position for the provision of centrally/regionally organised Role B professional learning and development/networks/fora • back filling costs if the Role B is a HoD or SM. <p>The time allowance is seen as 0.4 allowance as release days per annum to the school, with an entitlement to be</p>	<p>What is the right balance to get the relativities right – time and the allowance?</p> <p>How do we ensure that the new roles are attractive without distorting existing career options?</p> <p>What is the allowance that is needed as an incentive for quality and experienced teachers to take up the role?</p> <p>Is there a best balance between the funding for the allowance and funding for support?</p> <p>What is the amount of teaching time needed for this role to maintain credibility and currency?</p> <p>What flexibility in use of resources would</p>

Initiative	PPTA model for operationalising the new roles within the secondary/area school sector	Questions within the Secretariat
	<p>released and how this is used is by agreement with the employing school (having consulted with the Role A).</p> <p>Two positions may be combined to allow a full-time Role B for a fixed term of one year (1 FTTE and a salary allowance) to allow a Community of Schools to focus intensely on a particular goal. This may also assist in freeing expertise in areas where it is difficult for a school to find a part time replacement or where they may be unwilling to have an extended absence of a key staff member.</p>	<p>support a Community of Schools to make the most of expertise that is needed especially when the expertise is scarce?</p>
Implementation of Role C	<p>A secondary/area school/kura model under consideration is as follows:</p> <p>An allowance that maintains relativity with middle management positions.</p> <p>The entitlements provide a comparable career pathway to middle management and so lessens the risk of a loss of middle managers and the risk of recruitment difficulties.</p> <p>Issues around eligible appointments in small schools/departments are addressed if unit holders can be Role Cs. Senior and middle management allowances would continue to be used as now.</p> <p>The reduced allowance relative to the Cabinet proposal would partly fund a time allowance. This is seen as essential to sector acceptance of the role and to effective performance of the functions of the role and be used to:</p> <ul style="list-style-type: none"> • coordinate with the SCT • observe other teachers in their practice • be observed by other teachers in a structured manner • team teach with other teachers • discuss, feedback and reflect with other teachers on observations/team teaching • prepare for leading learning group activities around teaching as inquiry. <p>Salary and time allowance is seen as the full rate for part timers who take on the role.</p> <p>It may also allow work on specific Community of Schools plan-related improvement initiatives within the school at the request of the principal.</p> <p>Other costs will include:</p> <ul style="list-style-type: none"> • superannuation scheme contributions • a role-specific professional development and learning allowance (e.g. working with adults, etc) for first two years of new appointee to position. <p>The allocation would be to each school, with selection by the school with advice from Role A and external experts to ensure focus on the plan is maintained.</p>	<p>Will this position operate differently in and across the different sectors?</p> <p>Is an individual entitlement to a new time allowance needed for this role to support the purposes of Role C?</p> <p>If yes, is this support best delivered through an individual time allowance or can Inquiry Time provide that support?</p> <p>What is the right balance to the relativities to existing roles (salary/time)?</p> <p>Would having a management role be consistent with the purpose of Role C?</p> <p>How do we ensure that the new roles are attractive without distorting existing career options?</p> <p>What are the opportunities for Role Cs to access further development and to share best practice?</p> <p>What is the amount of teaching time needed for this role to maintain credibility and currency as a Role C?</p> <p>What is the right balance between the number of positions and resourcing other elements associated with Investing in Educational Success?</p> <p>The allocation discussion is being held in the Communities of Schools Work-stream and the Selection in the Selection, Appointment and Appraisal Work-stream.</p>

Initiative	PPTA model for operationalising the new roles within the secondary/area school sector	Questions within the Secretariat
	<p>There would possibly be fewer positions than proposed by the Cabinet model to fund the time allowances and the associated professional learning and development.</p> <p>NB. Release time for teachers to work with people in roles is a separate and additional entitlement (currently called Inquiry Time in the Cabinet paper). This allowance would be in part the time drawn from that allocation that would have been required for Role Cs to work with teachers.</p> <p>The Specialist Classroom Teacher (SCT) is seen as having a natural coordination role for the new positions within the school and between the school and the across-school position – no change to the SCT allowances envisaged and the level of the Role C entitlements does not disturb relativities there.</p>	<p>How can a school/ board make the most effective use of existing roles and Role A and Role B to support the work of Role C?</p> <p>Is the SCT role in secondary schools and the Specialist Teacher role in area schools typically best placed to support the work of Role C?</p>
Change Principal Allowance	<p>It has been proposed reducing the allowance in order to extend it for a longer period and to provide centralised funding for the individualised professional learning and development and networking.</p> <p>It is recognised that on rare occasions, a suitable candidate may be a deputy or vice principal.</p>	<p>What is the right balance between the allowance and possible support for the position?</p> <p>What is the allowance that is needed as an incentive for quality and experienced principals to take up the role?</p>
Inquiry Time	An allocation to each school based on total FTTE, with a minimum quantum for small schools is more equitable than one based on partial staffing components.	What is the best allocation formula to deliver an equitable distribution of Inquiry Time?

Attachment 3.1 - Settings for the new roles: professional standards

Purpose of report

1. The purpose of this report is to signal the proposed process for developing standards to underpin the new principal and teacher roles; within the Investing in Educational Success initiative.

Decisions

2. The Working Group:
 - a. **agreed**, subject to seeing the proposed make up of the group, the standards development process outlined in this paper, to be finalised by the end of October 2014.

Discussion

3. It is suggested that the proposed standards will be developed once the new roles have been clearly defined. The Ministry, in consultation with the Secretariat and Working Group, will establish a writing group ('the Writing Group') to draft the standards, comprising both co-opted experts and individuals identified by each of New Zealand Educational Institute Te Riu Roa, New Zealand Post Primary Teachers' Association, New Zealand School Trustees Association and the Ministry of Education.
4. The OECD²⁴ cautions: "Stating that teaching standards reflect what is valued as good practice is not synonymous with saying that standards can be developed only on the basis of opinions and views not supported by research." The proposed process recognises the OECD's caution and will ensure the standards are technically and professionally valid and reflect practice in a way that is readily identifiable to, and embraced by, practitioners.
5. A key aspect of this work will be to calibrate and integrate the standards, relative to relevant existing professional standards.
6. We envisage there would need to be one or more iterations of draft standards produced by the Writing Group. These will be tested with focus groups as determined by the Writing Group. Once the draft standards are refined, they will be distributed for consultation with the sector as a whole. The Writing Group will then consider feedback and make any changes necessary for them to be finalised.
7. Options for finalising the standards will be subject to further advice to, and consideration by, the Working Group.
8. The Writing Group will be responsible for creating the process to be used to assess teachers against the new standards. It will also identify the tools and resources needed to support both the assessors, and the principals and teachers applying for the new roles. The Ministry of Education will be responsible for producing and distributing these tools and resources.
9. The first standards will need to be in place by the end of October 2014 in time for the new roles to be advertised from the start of 2015.
10. The New Zealand Teachers Council and the Education Council of Aotearoa New Zealand (EDUCANZ) Transition Board will also be consulted in the course of this work. This reflects the New Zealand Teachers Council's role in setting professional standards for teachers' practice, the Registered Teacher Criteria. It also recognises the Transition Board's responsibility to ensure a smooth transition from the Teachers Council to the new professional body.

Risks

11. The end date may not be achieved if there is slippage in the defining of the roles which inform the development of the standards and/or in the associated processes.

²⁴ Centre of Study for Policies and Practices in Education (CEPPE), Chile (2013) – pg 37, "Learning Standards, Teaching Standards and Standards for School Principals: A Comparative Study", *OECD Education Working Papers*, No. 99, OECD Publishing. <http://dx.doi.org/10.1787/5k3tsjgtp90v-en>

Attachment 3.2 - Settings for the new roles: Standards Writing Group

Purpose of report

1. On 5 March you considered advice on the process for establishing a work-stream to develop professional standards. This paper incorporates work since then, in particular recommending how membership of the Standards Writing Group should be selected.

Decisions

2. The Working Group:
 - a. **noted** that you have agreed the standards development process outlined in this paper, to be finalised by the end of October 2014
 - b. **agreed** the members of the Standards Writing Group must meet at least one of the following criteria and the group must collectively meet all of the criteria:
 - has deep understanding, both theoretical and practical, of effective teaching and leadership for diverse learners, including collaborative practices
 - has deep understanding of the practice of leading and facilitating teacher and leadership professional learning including effective appraisal practices
 - has knowledge and experience in developing standards of practice (can include educational and non-educational practice).
 - c. **agreed** that the Standards Writing Group will be empowered to seek specific external expertise on the draft standards to ensure they are as valid and robust as possible.

5 March discussion

3. It is suggested that the proposed standards will be developed once the new roles have been clearly defined. The Ministry, in consultation with the Secretariat and Working Group, will establish a writing group (the 'Writing Group') to draft the standards, comprising both co-opted experts and individuals identified by principal groups, Te Rūnanganui o Ngā Kura Kaupapa Māori and Ngā Kura a Iwi o Aotearoa, New Zealand Educational Institute Te Riu Roa, New Zealand Post Primary Teachers' Association, New Zealand School Trustees Association and the Ministry of Education.
4. The OECD²⁵ cautions: "Stating that teaching standards reflect what is valued as good practice is not synonymous with saying that standards can be developed only on the basis of opinions and views not supported by research." The proposed process recognises the OECD's caution and will ensure the standards are technically and professionally valid and reflect practice in a way that is readily identifiable to, and embraced by, practitioners.
5. A key aspect of this work will be to calibrate and integrate the standards, relative to relevant existing professional standards.
6. We envisage there would need to be one or more iterations of draft standards produced by the Writing Group. These will be tested with focus groups as determined by the Writing Group. Once the draft standards are refined, they will be distributed for consultation with the sector as a whole. The Writing Group will then consider feedback and make any changes necessary for them to be finalised.
7. Options for finalising the standards will be subject to further advice to, and consideration by, the Working Group.
8. The Writing Group will be responsible for creating the process to be used to assess teachers against the new standards. It will also identify the tools and resources needed to support both

²⁵ Centre of Study for Policies and Practices in Education (CEPPE), Chile (2013) – pg 37, "Learning Standards, Teaching Standards and Standards for School Principals: A Comparative Study", *OECD Education Working Papers*, No. 99, OECD Publishing. <http://dx.doi.org/10.1787/5k3tsjtp90v-en>

the assessors, and the principals and teachers applying for the new roles. The Ministry of Education will be responsible for producing and distributing these tools and resources.

9. The first standards will need to be in place by the end of October 2014, in time for the new roles to be advertised for the start of 2015.
10. The New Zealand Teachers Council and the proposed Education Council of Aotearoa New Zealand (EDUCANZ) Transition Board will also be consulted in the course of this work. This reflects the:
 - New Zealand Teachers Council's role in setting professional standards for teachers' practice, the Registered Teacher Criteria
 - the Transition Board's responsibility to ensure a smooth transition from the Teachers Council to the new professional body
 - the future role of the new professional body.

Risks

11. The end date may not be achieved if there is slippage in the defining of the roles that inform the development of the standards and/or in the associated processes.

Criteria for membership of the Writing Group

12. We propose the Writing Group consists of up to eight people with suitable expertise to achieve the tasks described above. This will allow for experts to be nominated by the sector representative organisations named in paragraph 3 above and for experts to be co-opted by the Ministry of Education.
13. To ensure suitable expertise in the Writing Group the following criteria need to be used to select all members of the Writing Group. Members should collectively be able to meet these criteria:
 - deep understanding, both theoretical and practical, of effective teaching and leadership for diverse learners, including collaborative practices
 - deep understanding of the practice of leading and facilitating teacher and leadership professional learning, including effective appraisal practices
 - knowledge and experience in developing standards of practice (can include educational and non-educational practice).
14. The Writing Group will be empowered to seek specific external expertise on the draft standards to ensure they are as valid and robust as possible.

Attachment 3.3 - Settings for the new roles: selection, appointment and appraisal

Purpose of report

1. This report seeks the Working Group's agreement to commissioning a work-stream to further develop the selection, appointment and appraisal processes for the new roles in order to provide advice to the Government.

Decisions

2. The Working Group:
 - a. **agreed** the scope of the work-stream as outlined in this paper
 - b. **agreed** the key areas for advice to be covered in the work-stream as outlined in this paper
 - c. **agreed** the implementation of the work-stream as outlined in this paper.

Introduction

3. The Secretariat has previously identified to the Working Group at its 5 March meeting its understanding of the purpose of the Investing in Educational Success initiative is to raise student achievement by:
 - sharing best practice and utilising expertise in teaching and leadership across schools
 - supporting professional growth of teachers and leaders
 - strengthening inquiry teaching approaches
 - facilitating Communities of Schools
 - creating additional career pathways for teachers and principals.
4. The Secretariat has been developing, at the direction of the Working Group, three new roles to achieve these purposes. These roles will be underpinned by clear professional standards; rigorous processes for selection, appointment and appraisal; and clear accountabilities.
5. The Cabinet agreed that external and independent expertise be involved in the appointment of candidates in the new roles. The Secretariat is considering models which support the implementation of the purpose of the Investing in Educational Success initiative, through the provision of external expertise in selection and appointment processes to Communities of Schools. While selection may involve external input, all new roles remain accountable to their employing board of trustees. The board's agreement to the release of its staff member is required for the employee to take up the new role. Employing boards also retain responsibility for performance management and appraisal of those appointed to the new roles.
6. Where roles work across a Community of Schools, the appraisal would need to incorporate a process for capturing feedback on that work. It could consider the extent to which planned action has been delivered and has contributed to the Community of Schools' plans. It is anticipated that the employing boards will seek feedback from the other schools in the community. This will require the design and implementation of a 360 degree feedback process enabling the Community of Schools to contribute to the individual's appraisal.
7. The Cabinet paper envisaged that NZSTA would provide guidelines and tools to all boards to support effective appraisal processes as part of its expanded role in providing broader human resource support to boards.
8. Te Rūnanganui o Ngā Kura Kaupapa Māori also has a role in supporting kura kaupapa Māori.
9. The work-stream could be informed by (and may inform) the appraisal development underway by the New Zealand Teachers Council. The Ministry will keep the EDUCANZ Transition Board informed of progress in this work.

10. This paper proposes a work-stream to take this work forward.
11. This paper recognises that the outcomes from other work currently in progress by the Secretariat and the Working Group will have implications for the process for selection and appointments, in particular:
 - the agreement on the processes for establishing Communities of Schools and their purpose
 - the purpose, functions and integration of the new and existing roles
 - the development of standards and associated assessment processes to underpin selections and appointments.

Work-stream scope

NZEI comment: NZEI holds the view that the level of specificity outlined in this paper is inappropriate given that much of this work needs to be undertaken by the parties involved in collective bargaining processes. The views of NZEI Te Riu Roa are expressed in Appendix 2.

12. This work-stream will develop advice covering:
 - a. effective processes used to select and appoint applicants who have the appropriate expertise and fitness for the three new roles and the Change Principal Allowance, including the role of independent external expertise
 - b. processes for establishing selection panels and their composition for each role, including participation by external, independent experts and any nominations process to decide membership
 - c. timing and sequencing considerations in establishing selection panels
 - d. the processes for review and reselection of those roles with a fixed term
 - e. implications for boards of trustees in considering appraisal of new roles
 - f. tools and guidance needed to support any appraisal processes
 - g. manageable processes for appointments and reappointments.

The scope of the work-stream will not extend to making nominations for selection panels.

Key areas for advice from the work-stream

13. Within the scope, the work-stream will provide advice on the following key areas:
 - quality measures/standards and moderation
 - establishing selection panels
 - responsibilities and roles of boards, Communities of Schools and Role A in selections and appointments
 - sequencing
 - barriers and costs
 - appraisal, review and reappointment.
14. Appendix 1 provides illustrative questions on the above.

Work-stream implementation

15. This work-stream will take longer than the period of the Working Group's deliberations and the Secretariat's lifespan. We therefore propose the work-stream will include the Ministry, NZEI Te Riu Roa, PPTA and NZSTA, and engage with member organisations of the Secretariat and other sector groups including representatives of Te Rūnanganui o Ngā Kura Kaupapa Māori, New Zealand Area Schools Association, and principals throughout the work-stream. This will ensure continuity and consistency in a collaborative development of the final advice.

16. The work-stream will meet to develop its processes and confirm a timeline based on the indicative dates below. At key points, consultation will take place to clarify any differences in view, allow for discussion and debate, and agree the way forward. The advice will be provided to all members of the Working Group.
17. The proposed timeline for this work is outlined below.

	May 2014	June 2014	July 2014	August 2014
First half	Scoping and development workshop one	Analysis and development	Analysis and development	Final draft for review
Second half	Analysis and development	Development workshop two	Development workshop three	Advice complete

Appendix 1

Quality measures/standards and moderation

- a. What quality measures may be used in selection and appointment decisions?
- b. How might potential candidates demonstrate that they have met the requirements of the relevant professional standard?
- c. How might/may consistency of judgement about meeting the relevant professional standard be achieved on a national basis?

Establishing selection panels

- d. What processes could be used to set up selection panels?
- e. Is external and independent expertise required for selections and appointments to each of the new roles?
- f. What expertise might be required for people making selection and appointment decisions, in particular knowledge and understanding of the capabilities needed to be effective in meeting needs of Māori and Pasifika students and students with special education needs? How could that be obtained?
- g. How could external and independent expertise be assured in appointments to each of the three new roles?
- h. What training may be needed for people making selection and appointment decisions?

Responsibilities and roles of boards, Communities of Schools and Role A in selections and appointments

- i. Who might make selections?
- j. Who makes appointments?
- k. What guidance and support is needed for Communities in choosing suitable applicants?
- l. How could boards be represented in the selection panels?
- m. How could Communities be represented on the selection processes?
- n. Should appointments be limited to principals/teachers within the community, and if not what processes could be used to fill positions?
- o. What is the role of the Ministry in supporting the selection process?

Sequencing

- p. Is there a sequencing to the selection process?
- q. Following the establishment of the Community, at what point should Role A (Executive Principal) be appointed?
- r. Does the Role A (Executive Principal) need to be appointed prior to the selection of Role B and Role C (Expert Teachers and Lead Teachers)?

Barriers and costs

- s. What costs are anticipated for individual schools and the Community of Schools in the selection and appointment processes?
- t. Are there barriers to the successful implementation of nation-wide processes involving an external selection process, and if so how could they be addressed?

Appraisal, review and reappointment

- u. What are the possible processes for renewal of fixed terms for people appointed to new roles?
- v. Who would have responsibility for appraisal?
- w. How could selection of Role A and Role B be informed by the review of the Community of Schools plan and changing needs?

- x. Who would have responsibility for reappointment?
- y. What is the role of the community and Executive Principals and Expert Teachers in appraisal and review?
- z. What are the possible feedback processes for contributing to the individual's appraisal? What tools or guidance could be required to support appraisal wherever the roles' functions contribute to the Community of Schools' objectives?
- aa. How might the new professional standards be applied as part of an individual's appraisal by their employing board, including Role C?

Appendix 2

NZEI Te Riu Roa has asked for the following to be provided to the Working Group. The other members of the Secretariat have not had an opportunity to consider its contents.

Advice on: Work-stream on sequencing matters for implementing new roles

Purpose of report

1. This appendix seeks the Working Group's agreement to commissioning a work-stream to further develop those aspects of the new roles that fall outside the scope of the collective bargaining processes that will be employed to incorporate the new roles within the relevant collective agreements.

Decisions required

2. The NZEI Te Riu Roa recommends that the Working Group:
 - a. **agree** the scope of the work-stream as outlined in this paper
AGREE / DISAGREE
 - b. **agree** the key areas for advice to be covered in the work-stream as outlined in this paper
AGREE / DISAGREE
 - c. **agree** the implementation of the work-stream as outlined in this paper.
AGREE / DISAGREE

Introduction

3. It is NZEI's view that the Secretariat has previously identified to the Working Group at its 5 March meeting that its assumed understanding of the Government's intended purpose of the Investing in Educational Success (IES) initiative is to raise student achievement by:
 - sharing best practice and utilising expertise in teaching and leadership across schools
 - supporting professional growth of teachers and leaders
 - strengthening inquiry teaching approaches
 - facilitating Communities of Schools
 - creating additional career pathways for teachers and principals.
4. It is NZEI's view that the Secretariat has been focused, at the direction of the Working Group, on a variety of issues surrounding the development of the three new roles identified in the Cabinet paper. The Cabinet paper proposed that these new roles be underpinned by clear professional standards, rigorous processes for selection, appointment and appraisal, and clear accountabilities. These more substantive aspects fall within the sphere of the bargaining processes and are therefore beyond the scope of the proposed new roles work-stream.
5. The Cabinet paper proposed that external and independent expertise would be involved in the appointment of candidates in the new roles.
6. While selection may involve external input, all new roles will remain accountable to their employing board of trustees. The board's agreement to the release of its staff member would be required for the employee to take up the new role. Employing boards would also retain

responsibility for performance management and appraisal of those appointed to the new roles as per the details to be developed through the normal collective bargaining process.

7. It is envisaged that where roles work across a Community of Schools, the appraisal processes developed through collective bargaining would need to incorporate a process for capturing feedback on that work. It could, for example, consider the extent to which agreed action has been delivered. It is anticipated that the employing boards will seek feedback from the other schools in the community. This may require the design and implementation of a 360 degree feedback process enabling the Community of Schools to contribute to the individual's appraisal.
8. The Cabinet paper envisaged that NZSTA would provide guidelines and tools to all boards to support effective appraisal processes as part of its expanded role in providing broader human resource support to boards.
9. This paper proposes a work-stream to take this work forward by focusing on the areas detailed below.

Work-stream scope

10. This work-stream will develop advice covering:
 - a. timing and sequencing considerations in establishing selection panels
 - b. implications for boards of trustees in considering appraisal of new roles
 - c. The scope of the work-stream will not extend to making nominations for selection panels or to determining parameters for subsequent collective bargaining processes.

Key areas for advice from the work-stream

11. Within the scope set out above, the work-stream will provide advice on the following key areas (further details can be found in Annex A):
 - Sequencing
 - Barriers and costs.

Work-stream implementation

12. This work-stream will take longer than the period of the Working Group's deliberations and the Secretariat's lifespan. We therefore propose the work-stream will include the Ministry, NZEI Te Riu Roa, PPTA and NZSTA, and engage with member organisations of the Secretariat and other sector groups throughout the work-stream. This will ensure continuity and consistency in a collaborative development of the final advice.
13. The work-stream will meet to develop its processes and confirm a timeline based on the indicative dates below. At key points, consultation will take place to clarify any differences in view, allow for discussion and debate and agree the way forward. The advice will be provided to all members of the Working Group.
14. The proposed timeline for this work is outlined below.

	May 2014	June 2014	July 2014	August 2014
First half	Scoping and development workshop one	Analysis and development	Analysis and development	Final draft for review
Second half	Analysis and development	Development workshop two	Development workshop three	Advice complete

Attachment 4.1 - Change Principal Allowance: Criteria, expectations and support

Purpose of report

1. This paper builds on the previous papers of 19 February, 5 March and 19 March, and responds to your request for further work on the linkages between the *Review of Statutory Interventions in State and State Integrated Schools* and the Change Principal Allowance.

Decisions

2. The Working Group:
 - a. **agreed** to the criteria for schools' eligibility to offer the Change Principal Allowance at paragraph 10
 - b. **agreed** to the criteria for principals' eligibility to receive the Change Principal Allowance at paragraph 13
 - c. **agreed** to the processes for appointment to an approved Change Principal Allowance school at paragraph 14
 - d. **agreed** to the expectations on those receiving the Change Principal Allowance at paragraph 15
 - e. **noted** the support available to principals receiving the Change Principal Allowance at paragraph 19
 - f. **noted** the links between Investing in Educational Success and the *Review of Statutory Interventions* at paragraphs 23-28
 - g. **agreed** the approach described in paragraph 29 to ensure the links between the two pieces of work are clarified and made.

Background

3. Following discussion of an initial paper on the Change Principal Allowance at your meeting on 19 March 2014, you requested further work be done.
4. We have further clarified the links between the *Review of Statutory Interventions in State and State Integrated Schools* and the Change Principal Allowance.
5. The name Change Principal Allowance is used in this paper. Along with the interim titles for the new roles, the appropriateness of this term is being considered by the Secretariat.

Purpose of the allowance

6. The allowance is intended to enable the schools most in need that meet the identified school criteria, including a current principal vacancy, to attract highly effective principals who can provide the leadership impact needed to lift student achievement.
7. The Change Principal Allowance may not be the appropriate response to all issues in schools with high needs. Boards would select this response when they see it as the most appropriate for their circumstances. (Note that any reference to a board in this paper may also refer to a Limited Statutory Manager or Commissioner.)

Criteria for schools' eligibility for Change Principal Allowance

8. The intent is that if a board of trustees seeks access to the Change Principal Allowance, their school is assessed by the Ministry against an identified set of criteria.

9. We propose that school boards would need to agree to seek access to the Change Principal Allowance and meet some or all of the agreed criteria in order to gain the Allowance.
10. In addition to having an existing principal vacancy, proposed criteria are:
 - a. significant underachievement, particularly for one or more of the Ministry's priority groups (Māori students, Pasifika students, students with special education needs and students from low socio-economic families), student achievement is well below the average achievement for 'like' schools and evidence over time shows that there has been little or no improvement
 - b. Education Review Office reports indicate a one to two year review, often over repeated review office visits
 - c. a history of statutory interventions. Progress is minimal or not sustained such that the identified issues that created the need for a statutory intervention remain
 - d. serious problems with student safety and staff well-being
 - e. there has been high principal turnover with, for example, two or three principals within the past five years
 - f. significant financial issues which put the school at financial risk
 - g. extraordinary circumstances - for example, the school has had significant problems and negative public attention which has led to the loss of the principal, undermined the confidence and culture of the school and distracted the school from a focus on its key educational purpose. This criterion may be sufficient on its own to justify the allowance.

Criteria for principals' eligibility for the Change Principal Allowance

11. Criteria for principals' eligibility for the Change Principal Allowance will be further informed by the work-stream on professional standards for the Investing in Educational Success initiative.
12. It is envisaged that people eligible for the Change Principal Allowance will almost always be experienced current principals. There may be occasions, albeit rare, when an exceptional, and highly experienced deputy principal with experience in change management is both the best applicant for the job and meets much of the criteria below. In those instances, consideration can be given, by the Secretary for Education, to extend the Change Principal Allowance to that applicant.
13. We propose that to receive the Change Principal Allowance, the appointed principal should meet a number of the following criteria:
 - a. can provide evidence of successful performance reviews as a principal
 - b. has had experience working with diverse learners and demonstrates a commitment in their current school to ensuring a culturally responsive environment
 - c. has had experience in 'turning around' a challenging school. This would include evidence of a number of the following:
 - significantly raising student achievement
 - changing community perceptions, such as evidenced by stabilising the school roll
 - moving a school from an Education Review Office one to two year review to at least a three year review
 - improving the school's finances (or maintaining a sound financial base over time)
 - working with the board to move the school out of statutory intervention
 - change has been embedded or sustained in a challenging school (if appropriate).

And in their current school:

- d. student achievement in current school shows evidence of accelerated progress and/or better student achievement outcomes when compared with 'like' schools

- e. recognised as working positively with current staff and board to set, communicate and monitor learning goals and targets
- f. Education Review Office report of current school indicates at least a three-year review
- g. there are no identified significant financial issues in own school
- h. is able to demonstrate experience in aligning resources (staffing and financial) to priority goals and targets in current school
- i. has worked to ensure there is an orderly environment both in and outside the classrooms and there is no evidence of serious problems with student safety
- j. there is no evidence of serious problems with staff welfare and safety
- k. has worked to ensure there is a constructive and collaborative work environment
- l. can provide evidence (possibly from a 360 degree appraisal or referees reports) of personal characteristics including:
 - being respected by their profession
 - being an effective communicator
 - having strong engagement with their school community
 - the ability to build relational trust as evidenced by having positive professional relationships with current staff and board members
 - the ability to nurture talent, especially with senior leadership team.
- m. has been involved in recent professional learning and development alongside staff members at current school
- n. is capable of encouraging succession to keep the changes sustainable.

Processes for appointment

- 14. The Secretariat anticipates the board will follow the normal principal appointment process with the following points of difference:
 - a. when a vacancy exists, the board of trustees considers the opportunity to offer a Change Principal Allowance to an applicant
 - b. the board seeks approval from the Secretary for Education to offer the Change Principal Allowance to an eligible applicant in the recruitment of their new principal
 - c. if the approval in principle is granted by the Secretary for Education, the board advertises the principal position indicating that a successful applicant who meets the Change Principal Allowance criteria will be eligible for this allowance (currently described as being available for three years with a possible extension of another two years)
 - d. appropriate support mechanisms, provided by the New Zealand School Trustees Association and other appropriate organisations, apply in respect of the board's selection processes
 - e. an external expert is part of the appointment panel to confirm that the successful candidate meets the Change Principal Allowance criteria. In all other aspects, the board follows its normal recruitment process
 - f. the specific term for which the allowance is payable will be considered in the light of the specific needs of each school, and the priorities of the employing board, and Community of Schools as appropriate
 - g. a board may choose to appoint a principal who they consider the 'best fit' for their school but who has not met the required Change Principal Allowance criteria. In this case, the Cabinet paper anticipates that the allowance would not be provided to the appointed principal.

Expectations on those receiving the Change Principal Allowance

15. The employing board and the principal receiving the Change Principal Allowance will reach a performance agreement in the normal manner. As well as the general expectation specified in 15a. below, the agreed objectives will reflect the specific needs of the school and be appropriate to the agreed term of the allowance. For example, agreed goals may reflect agreed change management as well as ongoing objectives, and capability building at the school. In general these principals will be expected to:
 - a. work with the board to develop plans, goals and targets for the School Charter particularly, the strategic overview and annual plan. These will include but are not limited to:
 - setting student achievement targets
 - developing wider school improvement targets which will assist in meeting achievement targets
 - building critical relationships to better understand the school from the viewpoint of the students, staff, community, iwi and other key stakeholders
 - a planned process of self-review to identify the key issues that are impacting on student achievement and well-being
 - the development of plans and actions informed by the self-review process and which may be included within the school's charter and systems
 - progress towards recommendations set by the Education Review Office if applicable
 - b. continue to meet the appropriate Change Principal Allowance criteria
 - c. work alongside any statutory appointee (if applicable) to reduce the identified risk to the school.
16. We do not propose to define the steps change principals will take, as each school will vary. However, experience of this kind will be useful to inform practice, guidelines and any agreed and specific professional development and support for principals.
17. Review and evaluation processes of the implementation will be established within the school to inform ongoing development. Objective review and evaluation will include, but not be limited to:
 - progress against the agreed school goals and targets
 - tracking of student engagement and achievement information
 - staff turnover
 - staff morale
 - reports that show progress from the Education Review Office when a principal with the Change Principal Allowance has been in place for three years, and
 - financial status of the school.

Support available for schools receiving the Change Principal Allowance

18. The use of the Change Principal Allowance in schools with high needs will not be sufficient in itself to generate the extent of change required.
19. Schools that are eligible for a Change Principal Allowance are likely to be prioritised by the Ministry for support that is appropriate to their current needs, for example:
 - professional learning and development with providers under contract to the Ministry
 - programmes for students provided under contract from the Ministry

- the school can elect to work with a Student Achievement Function Practitioner, (this would enable leaders, teachers, board members and parents to undertake a comprehensive inquiry and develop a detailed plan for improvement based on root causes of underachievement)
 - Positive Behaviour for Learning provided by the Ministry of Education.
20. The school can elect to participate in a Community of Schools at a time judged most suitable for the school. Through this initiative, the school with the Change Principal Allowance would be eligible for the resource provided with this initiative including support provided by the new roles attached to this resource and the Inquiry Time.
21. If there are significant financial issues, the school would be supported by a Ministry Senior Financial Advisor.
22. Targeted support can be provided for the board by the New Zealand School Trustees Association so that it receives the appropriate professional development to govern confidently and capably and support sustainability of improvements made.

Links between Investing in Educational Success and the Review of Statutory Interventions

23. A *Sector Review of Statutory Interventions* is currently underway. The purpose of this review is to assess the current management of statutory interventions and complete an end to end redesign of the statutory interventions process. A Sector Working Group has been set up to lead this work. The group has recently released a discussion paper for wider consultation with its sector groups. A report with recommendations is due to go to the Minister of Education in June 2014.
24. Statutory interventions are applied at the governance (board) level as opposed to the management (principal) level. The Statutory Intervention Review is considering the statutory intervention framework within the spectrum of support available to help schools in need. This would include lower level support which may be put in place prior to a statutory intervention, or to reduce the likelihood of a statutory intervention. It is also expected to consider support which may be delivered in conjunction with a statutory intervention.
25. A Change Principal Allowance can be seen as a new addition to the range of support available to help schools in high need. The allowance may help to reduce the likelihood of the need for a statutory intervention, due to stronger principal support being available to the existing board of trustees. Alternatively, a statutory appointee may seek the Change Principal Allowance in the situation where they have a principal vacancy.
26. The implications of this are that:
- the *Sector Review of Statutory Interventions* needs to be aware of the new Change Principal Allowance and its role in supporting schools in need as part of the spectrum of support available to schools
 - any recommendations from the *Sector Review of Statutory Interventions* for improving needs analysis and support for a school in need should be considered for its relevance to schools which fit the criteria for the Change Principal Allowance
 - any recommendations from the *Sector Review of Statutory Interventions* for how other support combines with a statutory intervention need to be considered for its relevance to the potential support needs of a school using a Change Principal Allowance.
27. Members of the Secretariat expressed concern, based upon evidence from overseas and within New Zealand, that the requirements to repay loans and to pay for statutory intervention costs from school funds in schools which are utilising the Change Principal Allowance would work against the intentions of this initiative.
28. In addition, Investing in Educational Success offers a further support opportunity to schools either in statutory intervention or using a Change Principal Allowance. Any school in this situation may already be a member of, or may choose to join, a Community of Schools. This would enable the school to access support from the community from the new roles and from the collaboration inherent in the Community of Schools model.

29. In order to ensure the cross-fertilisation of both processes, the Secretariat proposes that:
- the sector representatives on each group are authorised to discuss the implications of each process on the other in the formal meetings of their respective working group
 - the two relevant Ministry teams link their working practices to share information and inform advice to the respective sector working groups.

NZEI comment

30. In relation to the references, in this and other papers, to 'student achievement', NZEI Te Riu Roa is of the view that it must be overtly clear that 'student achievement' must be considered from multiple perspectives and different sources of information, covering the broadness of the curriculum. For further clarity, NZEI Te Riu Roa is opposed to any suggestion that National Standards data is a valid measure of student achievement or progress.
31. NZEI Te Riu Roa is of the view that, in light of the importance of the statutory intervention work, this Change Principal Allowance work should not progress any further until such time as the findings of the statutory intervention work can be fully considered.

Attachment 4.2 - Change Principal Allowance: further advice

Purpose of report

1. This paper responds to the Working Group's request to provide further advice on whether appointees who did not initially meet the criteria should be subsequently granted the Change Principal Allowance on the basis of their effectiveness at the school.
2. This paper builds on the previous papers of 19 February, 5 March, 19 March and 2 April.

Decisions

3. The Working Group:
 - a. **agreed** that the Change Principal Allowance remain as an incentive to attract highly effective principals to apply for vacant principal positions in our most challenged schools
 - b. **agreed** that appointees who did not initially meet the criteria should not be subsequently granted the Change Principal Allowance.

Background

4. The name Change Principal Allowance is used in this paper. The Secretariat has proposed that the allowance name be changed to have a working title the "Targeted Principal Allowance" but this has yet to be agreed by the Working Group.
5. Following discussion of an initial paper on the Change Principal Allowance at your meeting on 2 April 2014, you requested further work be done in relation to principal eligibility to be granted the allowance subsequent to the appointment.
6. Please note that this issue has been previously discussed by the Secretariat and it was decided this would not be appropriate.

Purpose of the allowance

7. The allowance is intended to enable those schools most in need, to attract highly effective principals who can provide the leadership impact needed to improve valued outcomes as set out in *The New Zealand Curriculum* and/or *Te Marautanga o Aotearoa* and/or *Te Aho Matua o nga Kura Kaupapa Māori o Aotearoa* and/or *Te Piko o te Mahuri* including student achievement. Schools would need to meet the identified school criteria for a Change Principal Allowance, including a current principal vacancy.
8. The Working Group agreed that in exceptional circumstances the allowance may be awarded to a deputy principal who sufficiently meets the eligibility criteria as set out in paragraph 12 and 13 of the 2 April paper.

Awarding the Change Principal Allowance

9. The purpose of the Change Principal Allowance was defined in the Cabinet paper to "*enable the most challenged schools to attract highly effective principals,*" (Cabinet paper, item 34).
10. The April 2 paper of the Change Principal Allowance noted that "*a board may choose to appoint a principal who they consider the 'best fit' for their school but who has not met the required Change Principal Allowance criteria. In this case, the Cabinet paper anticipates that the allowance would not be provided to the appointed principal,*" (was item 14g, 2 April). You asked for further advice on this point.
11. If provision is made for a board to provide a principal with the allowance on evidence of having met the principal criteria for eligibility after being appointed to the Change Principal position (that is, having not been recognised as eligible upon taking up the appointment), this shifts the focus of the allowance away from a recruitment incentive.

12. The allowance would move from being an appointment incentive for the board to use to an entirely different purpose that does not align with encouraging a wider range of applicants to apply for positions at a school in need.
13. The Secretariat has confirmed that its advice to the Working Group is that the allowance cannot be awarded subsequent to appointment because it is important that the original recruitment intent of the allowance is retained.

Attachment 5 - Inquiry Time

Purpose of report

1. The purpose of this report is to provide you with advice about the distribution of the Inquiry Time resource to enable schools to facilitate teachers' participation in structured opportunities to improve their professional practice to support the goals of the Community of Schools' education plan.

Decisions

2. The Working Group:
 - a. **agreed** that the purpose of Inquiry Time is to support teachers to take time to undertake structured opportunities to access, observe, collaborate and reflect with Lead Teachers and Expert Teachers within or across schools.
 - b. **agreed** that the Inquiry Time could also be used to support teachers to take time to undertake structured opportunities to access, observe, collaborate and reflect with others with expertise within their school or Community of Schools
 - c. **noted** that the Secretariat is looking at whether the formula outlined in paragraph 10 below, is based on a school's total teacher staffing entitlement or roll-based teacher entitlement, and the cost, equity and distribution implications of that
 - d. **agreed** that the Inquiry Time formula is included in future Education (School Staffing) Orders
 - e. **noted** that the Inquiry Time allocation based on 50 hours per year per 10 FTTE equates to an average of approximately 4 to 4.5 hours per year if distributed per teacher²⁶. There is no obligation envisaged by the Cabinet paper on schools to distribute it evenly (meaning some teachers may be supported with more hours than other teachers, and that some teachers may not receive Inquiry Time each year).
 - f. **noted** that in providing advice on operationalising the roles, the Secretariat may present variations to the proposals in the Cabinet paper which:
 - a. better ensures the agreed purpose and functions of the roles within the framework of the intended approach; and
 - b. that is better supported by the sector.
 - g. **agreed** that the Ministry will need to engage with the Working Group members prior to the commencement of bargaining on the Inquiry Time formula.

Discussion

3. The Investing in Educational Success initiative establishes Inquiry Time as an integral part of the investment to build and support teacher capability across a Community of Schools through structured opportunities to access, observe, collaborate and reflect on their teaching practice.
4. Following consultation within the Community of Schools, there will be discretion within schools in setting the strategic parameters for the use of Inquiry Time. It is envisaged that schools will use their allocation strategically to align with the student achievement goals, agreed by the relevant Community. In addition, by considering the Inquiry Time allocation across a Community of Schools, there is the potential for the Community to strategically align and possibly share the use of this time in order to better meet its improvement objectives.
5. The new roles within the Communities of Schools (currently referred to as Executive Principal, Expert Teacher and Lead Teacher) will be working within and across schools to share their

²⁶ Source: Education Counts – Total FTTE and Total Headcount (excluding Principals) in State and State Integrated Schools as at April 2012.

expertise to develop and change classroom teaching practice to support the Community of Schools' achievement objectives. Inquiry Time is to facilitate teachers' participation in structured opportunities to improve their professional practice to support the goals of the Community of Schools.

6. It is envisaged that Inquiry Time will support an environment where teachers build a strong culture of inquiry and collaboration regarding their professional practice.

Allocation

7. The design proposed in the Cabinet paper distributes Inquiry Time directly to schools for them to administer. This allocation will be determined by their total teacher staffing entitlement. Each school will need to determine the best use of the time for its teaching staff with the Community of Schools' achievement goals in mind. It is expected that this will be delegated to the principal to operate.
8. Inquiry Time is in addition to the specific time allowances and entitlement for the new roles in existing employment agreements.
9. The formula in the Cabinet paper distinguishes between schools on the basis of their roll-based teacher entitlement. It proposes that small schools (<10 full-time teacher equivalents (FTTE)) would receive 50 hours per year; all other schools (≥ 10 FTTE) would receive 50 hours per year for each 10 FTTE of their roll-generated staffing.
10. The distribution formula for Inquiry Time in the Cabinet paper was based on a school's roll-based teacher entitlement. The Secretariat is looking at whether the formula should be based on a school's total teacher staffing entitlement or roll-based entitlement, and the cost, equity and distribution implications of that. The Secretariat will report on this at the next Working Group meeting.
11. The table below outlines some examples of the allocation in different schools using roll-based staffing. Total teaching will amend these figures:

School type	Number of students	Estimate of roll-based teacher entitlement	Inquiry Time annual allocation
U1 primary school	29	2.50	50 hours
U4 primary school	214	10.80	54 hours
U4 kura	277	23.30	117 hours
U5 area school	379	24.70	124 hours
U6 secondary school	561	36.60	183 hours
U12 secondary school	1,679	98.10	491 hours

12. The Secretariat envisages that the distribution formula will be developed through the usual consultation processes for changes to the Education (School Staffing) Order. It has been signalled by the employee parties to the teacher collective agreements that they are likely to claim to include the definition of the purpose of the new staffing component in the collective agreements.

13. Following PPTA initial analysis, they have indicated to the Secretariat concerns that:
 - a. at this level of resourcing, many teachers will not receive any Inquiry Time and a few teachers will receive considerably more than 4 hours per year
 - b. as the Cabinet paper also envisages that the time will resource both the teacher engaged in the professional learning and the expert providing it, this will mean that in effect one hour of engagement by a teacher would consume two hours of Inquiry Time allocation
 - c. the average amount of Inquiry Time per teacher would be only two hours per year, though again this would vary from nothing to several hours for any individual teacher
 - d. most teachers would not access Inquiry Time in a year.
14. The Secretariat will consider this further and provide collective analysis to the next working group.

Risks

15. The Secretariat also identified the following risks:
 - there is a risk that Inquiry Time will not be used for the purposes intended
 - there is a risk that there is an expectation within the education sector that teachers will have access to the Inquiry Time each year to help develop practice. If in fact the time will be available only to some teachers this will raise concerns about:
 - equity
 - the time being perceived as identifying 'failing teachers' (and therefore developing negative connotations and some resistance to its use).
16. There is a risk that the time will be allocated to individual teachers in quantities which are too small to achieve changes in teaching practice which have significant impact. There is some overseas evidence that indicates unless teachers have substantial and sustained professional learning and development time the effects on the achievement of their students will be limited. (See Linda Darling Hammond et al (2009), Appendix 1).

Appendix 1

Some readings relevant to Inquiry Time

New Zealand references

1. Best Evidence Synthesis on professional learning, especially principle 7, 'Opportunities to process new learning with others: Collegial interaction that is focused on student outcomes can help teachers integrate new learning into existing practice'. Timperley et al argue that time with colleagues on its own does not necessarily improve practice, but time in a professional learning community "that is focused on becoming responsive to students" does.
<http://www.educationcounts.govt.nz/publications/series/2515/15341> or the International Academy of Education Summary, p.19: <http://www.educationcounts.govt.nz/topics/bes/bes-programme>
2. **Building Bridges: A DIY approach**
Twenty schools including a large secondary school and contributing primary schools, working together to improve learning. Involved 'buddy' visits by secondary teachers to primary schools to teach lessons in core subjects – when presumably they were covered at their own schools. Also a cross-sector professional development day.
<http://nzcurriculum.tki.org.nz/Curriculum-stories/Case-studies/Network-learning-communities/Building-bridges>
3. **The honest teacher: True confessions of a language teacher on a path from confusion to clarity**
Group of six HoDs in Languages running a networked learning community across schools to consider curriculum change. "NLC [Networked Learning Community] funding has been used for **teacher release time**, travel and the cost of external speakers."
<http://nzcurriculum.tki.org.nz/Curriculum-stories/Case-studies/Network-learning-communities/The-honest-teacher>
4. Ministry of Education evaluation of networked learning communities, plus set of case studies. The networked learning communities were set up by School Support Services advisors who had funding to distribute to the communities for such needs as teacher release etc. However, lack of time was mentioned as one of the barriers to effective learning communities, especially for leaders to organise them and for participants to do the follow-up work they'd agreed to do.
<http://nzcurriculum.tki.org.nz/Curriculum-stories/Case-studies/Network-learning-communities>

Overseas references

5. **Linda Darling Hammond et al (2009) Professional learning in the learning profession: A status report on teacher development in the United States and abroad.**

Relevant quotes:

Enabling educational systems to achieve on a wide scale the kind of teaching that has a substantial impact on student learning requires much more intensive and effective professional learning than has traditionally been available. If we want all young people to possess the higher-order thinking skills they need to succeed in the 21st century, we need educators who possess higher-order teaching skills and deep content knowledge. (p.2)

Rigorous research suggests that sustained and intensive professional learning for teachers is related to student-achievement gains. An analysis of well-designed experimental studies found that a set of programs which offered substantial contact hours of professional development (ranging from 30 to 100 hours in total) spread over six to 12 months showed a positive and significant effect on student achievement gains. According to the research, these intensive professional development efforts that offered an average of 49 hours in a year boosted student achievement by approximately 21 percentile points. Other efforts that involved a limited amount of professional development (ranging from 5 to 14 hours in total) showed no statistically significant effect on student learning. (p.9)

- <http://learningforward.org/docs/pdf/nsdcstudytechnicalreport2009.pdf>
6. **Ruth Chung Wei, Alethea Andree and Linda Darling-Hammond (2009) – a group of Stanford researchers - published in Educational Leadership (magazine of the American Association of Supervision and Curriculum Development).**
Examined professional learning and development opportunities for teachers in high-achieving countries in PISA and TIMSS (Finland, Sweden, Japan, South Korea, Singapore, UK, Australia. Common features of systems included “Time for professional learning and collaboration built into teachers’ work hours”. Article claims that “In most European and Asian countries, instruction comprises less than half of a teacher’s working time ... [with] the rest of teachers’ working time – generally about 15 to 20 hours per week – spent on tasks related to teaching ...” which was largely collaborating with colleagues. These systems also “provide time for teachers’ professional development by building it into teachers’ work day and/or by providing class coverage by other teachers.”
<https://edpolicy.stanford.edu/sites/default/files/publications/how-high-achieving-countries-develop-great-teachers.pdf>
7. **Andreas Schleicher (2012) OECD document ‘Preparing teachers and developing school leaders for the 21st century: Lessons from around the world’.**
Section on school organisation to promote teacher learning (pp.47-51)
Teachers can do more, and should be encouraged to do more, to share their expertise and experience systematically in ways that go beyond the mere exchange of information. OECD data show that teachers report relatively infrequent collaboration with colleagues within the school, beyond a mere exchange of information and ideas; direct professional collaboration to enhance student learning is more rare. Understanding that collaboration takes time, some countries are providing teachers with some scheduled time to encourage them to engage in such co-operation.
Box 2.15 describes Japan’s regular ‘lesson studies’ in which groups of teachers meet together to review their lessons and how to improve them, and Shanghai-China’s training of teachers to collaborate as action researchers in effective practice. In both cases, they are given timetabled time to do this collaborative work.
http://www.oecd-ilibrary.org/education/preparing-teachers-and-developing-school-leaders-for-the-21st-century_9789264174559-en

Attachment 6.1 - Teacher-led Innovation Fund

Purpose of report

1. To identify and agree on the purpose of the Teacher-led Innovation Fund.

Decisions

2. The Working Group:
 - a. **agreed** to the purpose statement for the Teacher-led Innovation Fund, set out in paragraph 10
 - b. **noted** that further consideration of the fund is scheduled for meeting four of the Working Group (19 March).

Discussion

3. Cabinet agreed in the 21 January 2014 Cabinet paper to the creation of a fund to encourage and support teacher-led innovation and the dissemination of new and effective practice (Teacher-led Innovation Fund).
4. The approved Cabinet paper allocates \$10 million to the fund over four years on the understanding that the impact of the fund on teaching practice and student outcomes would be reviewed in the third year. The Cabinet paper also says that a decision on the possibility of continuation and resourcing would be made at that time.
5. Improvements are desired in the achievement levels of students who are performing at less than their full potential. Funding innovative practice will assist New Zealand to maintain and improve its high performing education system.
6. Organisations and systems which achieve steady improvement have common characteristics. These include characteristics of leadership and culture, support and investment, and openness to change.
7. The Teacher-led Innovation Fund seeks to further embed some of these characteristics in the education system. It would support a closer dialogue across the profession so that existing initiatives can be identified and encouraged, and further development of formal processes for nurturing and rewarding innovative practice established. The fund is a step in this direction.
8. A clear agreement of the purpose of the fund would guide the Secretariat's discussion, and future decisions, on the application process, and what criteria should apply and the mechanism for allocating funding.
9. The Secretariat recommends that the purpose of the Teacher-led Innovation Fund is to enable teachers to develop innovative and effective practice that:
 - can be modified and applied by other schools and teachers in a manner that is appropriate to their settings and needs
 - is sustainable
 - can be assessed and evaluated, and
 - is intended to result in progress for students, and/or address identified challenges in the education sector by adding a greater range of tools for teachers to access.

Relevant information to decisions

10. In order to meet the purpose of the fund, and ensure the best possible use of the funding available, we need to consider:
 - criteria for allocation
 - a mechanism for allocating funds
 - mechanisms for sharing findings
 - an application process
 - methods of assessing the value of innovations explored in funded projects
 - how we meet the requirement to engage internal and external expertise, and
 - that innovation by its very nature is evolutionally and adaptive.

Attachment 6.2 - Teacher-led Innovation Fund: purpose and proposals

Purpose of report

1. To provide you with the amended proposal for the Teacher-led Innovation Fund as requested at your 5 March 2014 meeting.

Decisions

2. The Working Group:
 - a. **agreed** to the purpose for the Teacher-led Innovation Fund, set out in paragraph three of this paper
 - b. **agreed** to the amended proposals for the Teacher-led Innovation Fund as detailed below
 - c. **agreed** that the distribution of the \$10 million over three years, of \$5 million in 2015/16 and \$5 million in 2016/17, should be amended (within the \$10 million within three financial years) if needed to better achieve the objectives (such as to \$4 million in 2015/16, \$4 million in 2016/17 and \$2 million in 2017/18).

Discussion

3. You requested changes to the purpose of the Teacher-led Innovation Fund (Appendix 1). These changes are included in the amended purpose below. The purpose of the Teacher-led Innovation Fund is to accelerate achievement outcomes for students, in particular for priority learners, and/or address identified challenges in the education sector by adding a greater range of tools for teachers to access. The Teacher-led Innovation Fund aims to enable teachers to develop innovative and effective practice that:
 - is applicable in other schools and settings possibly with modification that is appropriate to their contexts and needs
 - is sustainable
 - is able to be assessed and evaluated.
4. You requested that the Secretariat further develop the proposal for a Teacher-led Innovation Fund. This proposal cover:
 - accessing the Teacher-led Innovation Fund
 - criteria for application
 - composition and function of the Teacher-led Innovation Fund selection panel
 - monitoring and evaluation of approved innovative practices
 - distribution of findings about effective innovative practice.
5. You requested examples from the New Zealand context. The implementation of the Teacher-led Innovation Fund will draw on examples of current practice already operating in the sector, such as those in the table in Appendix 3.

Proposal

Accessing the Teacher-led Innovation Fund

6. The Secretariat recommends the following phases that describe the way teachers can access the Teacher-led Innovation Fund to develop and implement innovative practices. Detailed criteria and an application process will be developed.

PHASE ONE: Development and application

- baseline analysis to identify the need which the project seeks to address, including any needs identified for priority learners. This need might be in relation to student achievement, engagement, well-being, teacher knowledge or skills, transitions for children/ students etc. and may be within a single school or across a group/Community of Schools
- scoping of possible strategies to address the need, including, if available, identification of relevant research or other evidence that may indicate the strategy or strategies to trial
- seek external expertise to assist with the project and with that assistance, design a strategy to address the selected challenge/opportunity/issue, identify any research ethical considerations, and include costings and a process for evaluation of the strategy
- make application to the Teacher-led Innovation Fund selection panel
- the Teacher-led Innovation Fund selection panel reviews and approves/declines the application or refers it back for further information/refinement. If approved, funding is allocated.

PHASE TWO: Implementation

- the project is implemented
- provision of a final report at the end (note: a milestone report may also be required of longer or more costly projects). Note: the final report would need to include sufficient information about the innovation and its impacts for it to be able to be evaluated by the expert panel and information disseminated.

PHASE THREE: Evaluation

- robust evaluation of each project by an expert panel set up under the Teacher-led Innovation Fund.

PHASE FOUR: Dissemination

- the Ministry disseminates information about each project, in sufficient detail to enable the innovation to be applied in other schools or groups/Communities of Schools or settings
 - dissemination may be by means of:
 - a. dedicated on line publication
 - b. on line fora
 - c. Te Kete Ipurangi
 - d. the Education Gazette
 - e. Ministry Bulletin for School Leaders
 - f. professional development providers as appropriate
 - g. existing professional networks.
 - sector organisations are likely to acknowledge this innovative work too
 - dissemination may include the wider education sector such as early childhood education and tertiary.
7. The Ministry's support role for schools should include, wherever possible, providing support, particularly during the development phase, to ensure that implementation of sound innovative practices occurs whenever possible.

Criteria for application

8. This proposal incorporates what you wanted to see in this initiative (Appendix 2). The following are proposed as guidelines for the development of criteria for application to the Teacher-led Innovation Fund.
- originates within a school or group/Community of Schools and is teacher led
 - addresses a significant improvement need within the school or group/Community of Schools with a focus on developing innovative and effective practice
 - involves collaboration by a group of teachers
 - clearly identifies a need which the project seeks to address and the strategy to be used
 - identifies how the strategy will lift achievement of priority learners, including evidence as to the likelihood of success of that strategy
 - identifies planned impacts and intended research techniques
 - includes external expertise to ensure rigour and validity to the identified innovative practice
 - has the potential to be applicable in other education contexts, possibly with modification, and ensuring that the innovation is appropriate to that context.
9. The Teacher-led Innovation Fund has been allocated \$10 million for three years and applications would need to be managed within this budget. Distribution changes over the four years of Investing in Educational Success are desirable. The distribution should meet the desired objectives and could be:

2015/16	2016/17	2017/18
\$4 million	\$4 million	\$2 million

Composition and function of the Teacher-led Innovation Fund selection panel

10. You requested a more detailed proposal in regards to the composition of the panel:
- the Teacher-led Innovation Fund Selection Panel is seen as a cross-sector panel that meets as needed, with responsibilities around approval and administration
 - the panel will consist of up to seven members from across the education sector, one of whom brings external expertise from the education research community
 - one of the members will be appointed as chairperson. The chairperson will have oversight/leadership of the panel, with a particular emphasis on effective management of the selection process
 - the panel will meet to consider Teacher-led Innovation Fund applications
 - the panel will be given the discretion to agree and confirm their own processes
 - the panel will be required to note justifications for their decision on each application. The panel will have discretion over how this works in practice, but decisions must be made according to the criteria provided to applicants. The panel should have discretion to refer an application back to the applicants for further refinement and resubmission
 - the panel will ensure that innovation projects adhere to the usual conventions that would apply to research in particular the ethical considerations
 - the panel members and panel chairperson will need to be engaged for defined periods of time, dependent on volume and the time schedule of applications submitted

- additional responsibilities of the selection panel members could include:
 - a. setting policies for the deployment of funds
 - b. monitoring projects
 - knowledge and experience of the panel members should include:
 - c. knowledge of educational practice including innovation strategies and practices that meet the learning needs of priority learners
 - d. experience on similar review and/or assessment panels
 - e. experience in moderating judgements within an education context
 - f. experience in both English-medium and Māori-medium curricula contexts
 - g. experience in education of Māori students, Pasifika students, students with special education needs, students from low-income areas and students in isolated areas
 - h. knowledge of evaluation approaches.
11. The Ministry of Education will support the management and administration of the panel.

Monitoring and evaluation of approved project outcome/impact

12. You agreed that you preferred an approach that included robust evaluation. The evaluation should also be culturally responsive. Measures of success to be used by projects could include:
- student achievement
 - student engagement
 - student well-being
 - Community of Schools engagement
 - external evaluation
 - robustness of conclusions drawn
 - the extent to which the innovation can be sustained and scaled up.
13. The measures and evaluation may show that the expected improvements in achievement and/or identified challenges have not been met. This information about what does not work will also inform future decision making and actions taken by teachers. It is important that information about innovations that are shown not to achieve the targeted results is disseminated, along with information about the successful innovations.
14. The question of evaluation of the impact of projects will be considered at a later time.

Attachment 6.3 - Teacher-led Innovation Fund: criteria and processes

Purpose of report

1. The purpose of this report is to provide further detail for the criteria for the Teacher-led Innovation Fund and to propose an approach for developing and confirming the application, selection, evaluation and dissemination processes.
2. This is the second of two papers on the Teacher-led Innovation Fund to this meeting, and assumes a positive response to the first paper.

Decisions

3. The Working Group:
 - a. **agreed** the criteria be confirmed for use in selection of innovative projects for the Teacher-led Innovation Fund
 - b. **agreed** that the Ministry of Education provides the lead and engages with member organisations of the Secretariat, and other sector groups, to develop and confirm the application, selection, evaluation and dissemination processes for the Teacher-led Innovation Fund.

Background

Purpose

4. At the last meeting you agreed, with some amendments, to the purpose of and proposals for the Teacher-led Innovation Fund.
5. The purpose of the Teacher-led Innovation Fund is to accelerate achievement outcomes for students, in particular for priority students, and/or address identified challenges in the education sector by adding a greater range of tools for teachers to access. The Teacher-led Innovation Fund aims to enable teachers to develop innovative and effective practice that:
 - is applicable in other schools and settings possibly with modification that is appropriate to their contexts and needs
 - is sustainable
 - is able to be assessed and evaluated.

Criteria guidelines - agreed

6. The Working Group agreed that the guidelines below be used for the development of criteria for selection for the Teacher-led Innovation Fund:
 - originates within a school or group/Community of Schools and is teacher led
 - addresses a significant improvement need within the school or group/Community of Schools with a focus on developing innovative and effective practice
 - involves collaboration by a group of teachers
 - clearly identifies a need which the project seeks to address and the strategy to be used
 - identifies how the strategy will lift achievement of priority learners including evidence as to the likelihood of success of that strategy
 - identifies planned impacts and intended research techniques

- includes external expertise to ensure rigour and validity to the identified innovative practice
- has the potential to be applicable in other education contexts, possibly with modification.

Criteria for selection for Teacher-led Innovation Fund projects

7. The Working Group has used the guidelines above to develop the criteria that applications should meet for selection.

Purpose of innovation project

- links the purpose of the innovation project strongly to the purpose of the fund
- identifies clearly the need to be addressed and any specific needs of priority learners using the baseline analysis and information.

Description of innovative practice

- describes the process of considering possible strategies to address the identified need
- describes the innovative practice selected and includes details of why this practice is likely to be effective
- provides details of external expertise engaged to assist with selection and design of strategy.

Planning and methodology

- provides details of the school(s)/kura or Community of Schools that will be involved
- shows that the innovation is teacher led and describes how collaboration among teachers is involved
- provides an implementation plan with the proposed research methodology, including identification of ethical considerations.

Review and evaluation

- includes detail of an inquiry process for ongoing monitoring, review, evaluation (including use of external expertise) and reporting on progress.

Wider use

- shows that the innovation has the potential to be used in other schools/kura in a variety of contexts.

Board support

- includes board(s) agreement and confirms support for the innovative project and that necessary ethics requirements are in place.

Work to implement the Teacher-led Innovation Fund

8. The Working Group agreed to the phases of work to enable teachers to access the Teacher-led Innovation Fund. These phases are development and application, implementation, evaluation, and dissemination (Appendix 3).
9. Development of the processes for these phases will take longer than the life of the Working Group. We therefore propose that the Ministry of Education provide the lead and engage with member organisations of the Secretariat, Māori-medium kura and principals' groups to ensure a collaborative approach to develop and confirm the application, selection, evaluation and dissemination processes for the Teacher-led Innovation Fund.

Timeframe - tentative

10. The Cabinet paper shows that Teacher-led Innovation Fund funds would be allocated to schools/kura for selected projects from 1 July 2015. The Working Group has recommended refining the design of the fund's allocation to the distribution below:

2015/16	2016/17	2017/18
\$4 million	\$4 million	\$2 million

11. The following table provides an overview of the tentative timeframe for teachers to begin their projects.

30 July 2014	Application process and criteria for selection confirmed
End of 2014	Evaluation process confirmed
End of 2014	Selection panel confirmed
End of 2014	Applications open
Early term 2, 2015	Selection of projects made by panel
1 May 2015	School/kura informed
1 July 2015	Funds allocated to school/kura
1 July 2015	Evaluation process in place
1 July 2016	First dissemination underway following completion and evaluation of projects

12. If you agree to the recommendations, then the Ministry of Education would consult with member organisations of the Secretariat, representatives of Māori-medium kura, isolated schools and principals' organisations to establish a collaborative approach to develop and confirm the processes for the phases of work.

Appendix 1

Feedback from Working Group meeting 19 February 2014

Teacher-led Innovation Fund	
What we want to see	What we do not want to see
Diverse knowledgeable selection	Capture by high decile schools (old boys / girls)
Space for failure	Big bureaucracy - every cent going to innovation led change
Target priority learners at tail end	Funding stuff that isn't finished / robust
Smart selection / allocation process	Principal filtered
Focus on communities	Huge milestone reporting that kills energy / enthusiasm
Outcomes (permissive) approach	
A 'basket' of measures	
Innovation at teacher level 'factory floor'	
Themes:	
Potential for more than one institution to collaborate	
Look at RTLB and other successful approaches	
Support good robust evaluation	
Freedom to learn and fail	
Free to take risks	
Must provide support	

Appendix 2

New Zealand examples that inform the proposals for the Teacher-led Innovation Fund

Name of Programme	Description	Example shows
<i>TeachNZ Study Awards</i>	Study Awards are funded to support the professional development of teachers and principals. Study Leave Awards Sabbaticals and Study Support Grants provide paid study leave to complete part-time or full-time study for completing qualifications, moving to another curriculum area, or to research a topic of interest.	A successful model of allocation involving sector representatives and the Ministry.
<i>Royal Society Fellowships</i>	RSF Teacher Fellowships offers primary, intermediate and secondary teachers the opportunity to improve their teaching through working in New Zealand based host organisations for two terms.	A successful model of allocation of opportunities to teachers.
<i>Academic Counselling and Target Setting</i>	An innovation developed in 2007 by Massey High School. An innovative approach was used with data to set challenging targets and to then provide students with support through regular academic counselling sessions with deans. Parents were involved in the programme by restructuring parent-teacher interviews. This approach has been made available to schools through the StarPath Project.	New Zealand example where innovation has lead to wider use.
<i>Mutukaroa</i>	An innovative approach to a home school learning partnership that seeks to accelerate learning progress and achievement for students in years 1, 2 and 3 by fostering the active engagement of parents and whānau in learning partnerships, and to provide them with the tools and knowledge necessary for them to support the development of core skills in their children. Developed at Sylvia Park School, the Ministry is now providing wider opportunities for schools to establish this partnership with parents and whānau.	New Zealand example where innovation has led to wider use.
<i>Learning and Change Networks</i>	The Learning and Change Networks (LCN) already utilise established networks and communities to promote sector/leader capability and identify opportunities to promote effective change for priority learner groups.	New Zealand development of Communities of Schools.
<i>Teaching and Learning Research Initiative</i>	The Teaching and Learning Research Initiative seeks to enhance the links between educational research and teaching practices to improve outcomes for learners. The fund was established by the Government in 2003 and is administrated by NZCER.	A New Zealand fund designed to grow research capability and capacity in the areas of teaching and learning and examples of diverse dissemination of work.
<i>Centres of Innovation</i>	Selected early childhood education centres located throughout New Zealand were chosen as Centres of Innovation as part of the plan for early childhood education - <i>Pathways to the Future/Nga Huarahi Arataki</i> (2002).	A New Zealand fund with evaluation was done by NZCER.

Appendix 3

Accessing the Teacher-led Innovation Fund (amended from 5 March 2014 Working Group meeting)

The Secretariat recommends the following phases that describe the way teachers can access the Teacher-led Innovation Fund to develop and implement innovative practices.

PHASE ONE: Development and application

- baseline analysis to identify the need which the project seeks to address, including any needs identified for priority learners, (this need might be in relation to student achievement, engagement, well-being, teacher knowledge or skills, children/students etc. and may be within a single school or across a group/Community of Schools)
- scoping of possible strategies to address the need, including, if available, identification of relevant research or other evidence that may indicate the strategy or strategies to trial
- seek external expertise to assist with the project, and with that assistance design a strategy to address the selected challenge/opportunity/issue, identify any research ethical considerations, include costings and a process for evaluation of the strategy
- make application to the Teacher-led Innovation Fund selection panel
- the Teacher-led Innovation Fund selection panel reviews and approves/declines application or refers it back for further information/refinement. If approved, funding is allocated.

PHASE TWO: Implementation

- the project is implemented
- provision of a final report at the end (note: a milestone report may also be required of longer or more costly projects).

PHASE THREE: Evaluation

- robust evaluation of each project by an expert panel set up under the Teacher-led Innovation Fund.

PHASE FOUR: Dissemination

- the Ministry of Education disseminates information about each project, in sufficient detail to enable the innovation to be applied in other schools or groups/communities of schools or settings
- dissemination may be by means of:
 - a. dedicated on-line publication
 - b. on-line fora
 - c. Te Kete Ipurangi
 - d. the Education Gazette
 - e. Ministry Bulletin for School Leaders
 - f. professional development providers as appropriate
 - g. existing professional networks.
- sector organisations are likely to acknowledge this innovative work too
- dissemination may include the wider education sector such as early childhood education and tertiary.

Detailed advice on the foundation elements of Investing in Educational Success

Attachment 7 - Student achievement

Purpose of report

1. This paper responds to your request for an amendment to the words “student achievement” that would avoid any inadvertent implication that there was a singular focus on a particular form of measurement.

Decisions

2. The Working Group:
 - a. **agreed** that the term ‘student achievement’ is understood to mean “valued outcomes as set out in *The New Zealand Curriculum* and/or *Te Marautanga o Aotearoa* and/or *Te Aho Matua o nga Kura Kaupapa Māori o Aotearoa* and/or *Te Piko o te Mahuri* including student achievement” to ensure there is a broad understanding of evidence of student progress and achievement as at paragraphs 6 and 7
 - b. **noted** that the first reference in the Working Group’s final report on this matter, uses the language “valued outcomes as set out in *The New Zealand Curriculum* and/or *Te Marautanga o Aotearoa* and/or *Te Aho Matua o nga Kura Kaupapa Māori o Aotearoa* and/or *Te Piko o te Mahuri* including student achievement”, and clarifies that further references to ‘student achievement’ in the final report equate to that full description.

Background

3. Following discussion of a paper on the Change Principal Allowance at your meeting on 2 April 2014, you requested further work be done in relation to the term ‘student achievement’.
4. This term is in many other papers, so this paper seeks to provide advice that is generic rather than specific to one element, Change Principal Allowance, within the Investing in Educational Success initiative.

Discussion

5. We have reviewed the term ‘student achievement’ to consider a broader description of the outcomes we are seeking for students.
6. The first reference in the Working Group’s final report on this matter, uses the language “valued outcomes as set out in *The New Zealand Curriculum* and/or *Te Marautanga o Aotearoa* and/or *Te Aho Matua o nga Kura Kaupapa Māori o Aotearoa* and/or *Te Piko o te Mahuri* including student achievement”, and further references to “student achievement” in the final report equate to the full description.
7. The term ‘valued outcomes as set out in *The New Zealand Curriculum* and/or *Te Marautanga o Aotearoa* and/or *Te Aho Matua o nga Kura Kaupapa Māori o Aotearoa* and/or *Te Piko o te Mahuri* including student achievement’ conveys that both qualitative and quantitative information is valued. Examples of information may be school developed tools, standardised tests, school and national surveys, student work, student and stakeholder perception tools, and others that contribute to student achievement and other valued outcomes.

Attachment 8 - Focus on priority learners

Purpose of report

1. The purpose of this report is to articulate how the Investing in Educational Success initiative can contribute to an accelerated lift in the achievement of Māori students, Pasifika students, students from low socio-economic families and students with special education needs.
2. This paper is to inform the development of elements within the Investing in Educational Success initiative.

Discussion

Introduction

3. The Investing in Educational Success initiative is firmly focused on the Government's commitment articulated in the Cabinet paper to:
 - a. raise the achievement of those who are already doing well, and
 - b. lift the learning and achievement of priority students.
4. The Government has defined four groups of students as its priority students: Māori students, Pasifika students, students from low socio-economic families and students with special education needs. Many students from these groups achieve at high levels within education. However, student achievement data also shows that students from these groups are over represented among those students the system has struggled to support.
5. Simply lifting the achievement of all may not address the relatively poorer performance of particular groups. It may serve to entrench the achievement gap between students from priority groups, who are not achieving, and those students who are achieving well.

Māori students

6. A relatively high number of Māori at very young ages means that numbers of Māori in the education system will grow over the next few years. There are over 170,000 school students who identify as Māori, making up 22 per cent of the total schooling roll. Of the school-aged population, approximately 10 per cent of Māori students are in Māori-medium education (i.e. taught in Māori between 51 per cent and 100 per cent of the time). The Māori school-aged population is predominantly located in the North Island (88 per cent). Reflecting generally lower family income, they are over-represented in lower decile schools (33 per cent are in Level 1 or 2 decile schools, compared to 15 per cent of the total population; four per cent are in decile 10 schools compared to 15 per cent of the total population).
7. Two thirds of Māori students stay on at school to age 17, as compared to three-quarters of the total population. 63.7 per cent of Māori boys stay until they are age 17, compared to 78.9 per cent of all boys.
8. Provisional results for NCEA Level 2 in 2013 suggest an improvement for Māori school leavers of around four percentage points compared to the previous year. This equates to around 59 per cent of Māori school leavers with NCEA Level 2 in 2013. However, the current trend especially for Māori, is not sufficient to achieve the BPS target for Māori, even if 85 per cent is achieved for the population as a whole²⁷.
9. *Ka Hikitia* identifies two critical factors that will make the biggest difference for Māori achievement:
 - a. quality provision, leadership, teaching and learning, supported by effective governance
 - b. strong engagement and contribution from parents, families and whānau, hapū, iwi, Māori organisations, communities and businesses.
10. Schools or Communities of Schools that focus on these priorities give effect to the goals of *Ka Hikitia – Accelerating Success 2013-17*. The strategy document provides guidance and

²⁷ Education Counts, Ministry of Education, retrieved March 2014

information to support schools and kura to understand these priorities. Other documents such as *Tātaiako*, the BES exemplars, Te Aho Matua o nga Kura Kaupapa Māori o Aotearoa, Te Piko te Mahuri and Ruia smart tools provide support to design and implement effective teaching practices and effectively engage communities. Existing specific education initiatives and approaches that aim to accelerate Māori student achievement would further support schools: *Achievement 2013-2017*, Building on Success, SAF support, *Reading Together*, and local initiatives that are supported by Māori students, parents, families, whānau and iwi, businesses and community groups.

Pasifika students

11. The Pasifika population living in New Zealand is also young, particularly those born in New Zealand. By 2051, Pasifika students will rise from 10 per cent of the total school population to 20 per cent. Those learners represent a wide variety of Pacific nations and communities. Pasifika families are also over-represented among low-income households.
12. Despite some improvements in educational outcomes, Pasifika communities have the highest proportion of people with no qualifications; Pasifika males in general are more likely to have 'no qualification' compared with Pasifika females.
13. Trends for achievement of NCEA Level 2 have been positive, with provisional results for 2013 suggesting an improvement of around seven percentage points for Pasifika students compared to the previous year. This equates to around 72 per cent of Pasifika school leavers with NCEA Level 2 in 2013²⁸.
14. It is expected that schools or Communities of Schools will lever off current work being undertaken under the *Pasifika Education Plan* and local initiatives. Integration of such strategies and frameworks would support the goals of the Investing in Educational Success initiative.
15. Ensuring the Investing in Educational Success initiative and the personnel in place meet the needs of Pasifika students means:
 - a. personalising learning in a way that puts Pasifika students, their parents, families and communities at the centre, and
 - b. ensuring there is sufficient Pasifika capability and competence through knowledge and understanding of Pasifika culture and of Pasifika-focused pedagogy.

Students from low socio-economic families

16. Across OECD countries, research²⁹ indicates that:
 - a. children from low socio-economic families and communities develop academic skills more slowly compared to children from higher income families
 - b. in New Zealand, the socio-economic background of New Zealand students exerts a somewhat larger influence on their achievement than in most other OECD countries.
17. In 2012, 76 per cent of school leavers achieved NCEA Level 2 or above. A clear correlation can be seen between the socio-economic mix of the school the student attended and the percentage of school leavers attaining at least an NCEA Level 2 qualification. Schools in the lowest deciles (deciles 1 and 2) draw their students predominantly from communities with the highest degree of socio-economic disadvantage.
18. In 2012, 89.6 per cent of students from schools in the highest deciles (deciles 9 and 10) left school with at least an NCEA Level 2 qualification. This compares to 58.1 per cent of school leavers in deciles 1 and 2. There is a large variation among schools and kura within each decile in the percentage of school leavers attaining any qualification. For example, decile 2 schools display a range between 40 per cent and 80 per cent of students gaining NCEA Level 2. Decile 8 schools display a range from 70 per cent to nearly 100 per cent attainment³⁰. However, care needs to be taken in interpreting this variation as the decile rating is not

²⁸ Education Counts, Ministry of Education, retrieved March 2014

²⁹ <http://www.oecd.org/pisa/pisaproducts/48852584.pdf>

³⁰ Education Counts, Ministry of Education, retrieved March 2014.

designed to capture the full range of factors (both within school and outside school) that influence student achievement.

19. Both PISA and school leaver data show that low attainment among students from low socio-economic backgrounds is not confined just to schools serving predominantly the most disadvantaged communities, but is widely distributed across schools.
20. Communities of Schools need to agree on a way of effectively identifying students from low socio-economic families prior to further work on identifying needs and developing responses. Māori and Pasifika students are over-represented in low decile schools.

Students with special education needs

21. Students with special education needs are over represented among those students the system has struggled to support. This is complicated by the diversity among students with special education needs in terms of specialist support required, the level of support required and the duration of that support.
22. There is also diversity in the responses provided to students with special education needs, driven by that complexity and by a range of school approaches and resourcing availability.
23. The majority of students with special education needs attend regular schools and kura, with only around 2,400 learners attending the 28 special day schools across the country. A small number of students with special education needs attend residential special schools, regional health schools, and vision or deaf education centres.
24. Around three per cent of school learners (30,000) have high special education needs³¹. There are a further (estimated) 40,000-60,000 learners with moderate special education needs³². At school, referrals for early intervention support for Māori students increase significantly, compared to referrals from early childhood settings.
25. The recommendations within the Government's Review of Special Education (2010), which focused on students with high special education needs, are being implemented under the 'Success for All' action plan. While continuing to strengthen individually targeted special education provision through the range of special education initiatives, 'Success for All' focuses on the actions to assist all schools to be inclusive.
26. Key elements of the 'Success for All' approach to be taken to lift achievement for students with special education needs are for students to be:
 - a. present and included in their school or kura with their peer group
 - b. participating in the curriculum
 - c. learning, growing and developing with their peers³³.

Link with Investing in Educational Success

27. The Investing in Educational Success initiative is a systemic approach to the achievement challenge. It will empower Communities of Schools to identify priorities, build capability within and across schools and kura, and use resources in ways that contribute to shared objectives for raising student achievement.
28. Investing in Educational Success is not a stand-alone solution to the achievement challenge for students from priority groups.
29. The success of all students, including those discussed in this paper is of key importance. It is important to ensure that all students are able to experience success and that any approaches to support and enhance this are underpinned with high quality evidence and research about effective approaches.

³¹ Ministry of Education Funded Supports and Services for Learners with Special Education Needs/Disabilities April 2012 (special education overview Ministry of Education internal document)

³² <http://www.minedu.govt.nz/NZEducation/EducationPolicies/SpecialEducation/AboutUs/WhatWeDo.aspx>

³³ *Success for All – Every School, Every Child* – This is the Government's vision and work programme to achieve a fully inclusive education system. It builds on the views of more than 2,000 people from across New Zealand who made submissions to the Government's Review of Special Education 2010.

30. Although the Investing in Educational Success initiative is specifically focused on in-school factors, out-of-school factors for students cannot be ignored and should be carefully considered when developing in school approaches. A careful analysis of both in and out-of-school factors is important in order to accurately identify influences on both success and underachievement. This should then inform the development of systemic resourcing to support learning.
31. One aspect of this is careful and thorough engagement which includes dialogue with and between teachers, principals, support staff and boards of trustees as well as students and their communities and whānau.
32. The Investing in Educational Success initiative aims to strengthen the approach through:
 - a. a more systemic and systematic use of evidence to gain an accurate and comprehensive picture of achievement across the Community of Schools
 - b. opportunities to collaborate with families and whānau across the Community of Schools
 - c. encouraging shared ownership of the achievement challenge
 - d. an impetus to developing a shared response
 - e. additional resourcing
 - f. dissemination of good practice
 - g. the provision of support and expertise across Communities of Schools.
33. Communities of Schools are designed to provide access to a greater pool of knowledge and expertise for teachers and principals to draw on, particularly where there is limited knowledge and experience in working effectively with students from a particular priority group and their whānau and families.
34. The Investing in Educational Success initiative is intended to help attract high calibre applicants into teaching. It is intended to help retain members of the profession and incentivise them to stay in the classroom or move into leadership roles. Enhancing collaboration among teachers and principals, will allow them to focus on what works to lift achievement of priority learners, and provide opportunities for teacher-led innovation of new and good practice.

Proposed broad approach

35. Establishing Communities of Schools provides an opportunity to analyse student achievement data and other evidence to identify shared achievement objectives. This will allow each Community of Schools to set its own goals and determine an agreed cross-school approach, including the explicit consideration of the impact on students from priority groups.
36. In developing their plan, Communities of Schools would include across-school or external roles and resources that focus on the needs of specific students for example RTLit, RTM, Resource Teachers Vision, Resource Teachers Hearing Impaired, RTLb, SWIS, Special Education staff (Ministry of Education).
37. Effective assessment of the challenge and development of a response for particular schools within the community entails consideration of not only the achievement data but also other factors that impact on achievement, such as:
 - a. the socio-economic characteristics of their communities
 - b. identity, language and cultural considerations
 - c. retention and engagement of students
 - d. relevance and value of the curricula
 - e. learning settings and pathways available, and
 - f. relationships with family, whānau, iwi, communities and other stakeholders.

38. Analysis of a shared evidence base within a Community of Schools is intended to strengthen existing practice within and across schools. This could enhance schools' ability to respond to individual student needs.

Identifying achievement challenges

39. The use of disaggregated data will enable schools, kura and Communities of Schools to identify the achievement challenges for students from priority groups within their wider student achievement challenges.
40. This approach, combined with the sharing of useful and effective tools and experience across a community, will help teachers develop a greater focus on individual students and their needs.
41. In addition many students fit into more than one group of priority learners. A clear focus on individual students and their unique learning needs will allow this to be recognised and responded to.

Intended impact

42. The long-term system change intended by Investing in Educational Success would provide for collective ownership of raising achievement, including achievement for priority students, through the structure of Communities of Schools.
43. The use of unique indicators and outcomes for Māori students, Pasifika students, students from low socio-economic families and students with special education needs in the measurement of valued outcomes will enable school, kura and Communities of Schools to measure the impact of the initiative on these students.
44. Schools will be able to access expertise and knowledge across a Community of Schools and disseminate best practice, enhancing teaching and learning across the Community.
45. Enhancing teaching and learning in this way alongside shared information is expected to provide for a much more timely and targeted response to individual students and a consequent lift in achievement.

Criteria for appointment to new roles

46. Further advice on selection and appointment for the new roles is also being brought to the Working Group. The content of this paper is relevant to that advice.
47. The new roles will target expertise to where it is needed most. In order to ensure the achievement challenge for students from priority groups is addressed, the new roles will need to attract people with appropriate knowledge and experience. To effect this, the criteria for appointment of Role A (Executive Principals), Role B (Expert Teachers) and Role C (Lead Teachers), and for approval of a Change Principal Allowance could include evidence of knowledge and experience of the accelerated lifting of achievement for students from priority groups.
48. Similarly, the professional standards for appraisal for Roles A, B and C could include success in working with, and lifting the achievement of, students from priority groups.

NZEI Te Riu Roa comment

49. The success of all students, including those discussed in this paper is very important to NZEI Te Riu Roa members and the communities they are part of. We want to ensure that all students are able to experience success and that any approaches to support and enhance this are underpinned with high quality evidence and research about effective approaches. Although the Investing in Educational Success initiative is narrowly focused on in school factors, out of school factors for students can't be ignored and should be carefully considered when developing in school approaches. NZEI Te Riu Roa believes that careful analysis of both in and out of school factors should be done in order to accurately identify influences on both success and underachievement. This should then inform the development of systemic resourcing to support learning, including through the Investing in Educational Success initiative.

50. One aspect of this is developing a process of careful and thorough engagement which includes dialogue with relevant members, teachers, principals and support staff who work with these students, as well as the communities and whānau that these students come from.

Attachment 9 - Culture of the profession

Purpose of report

1. This paper provides you with advice on school professional cultures and makes links to how the implementation process of Investing in Educational Success could support, and be supported by, the development of strengthened positive professional cultures. Note that in this paper school professional cultures are situated within broader cultural contexts.

Decisions

2. The Working Group:
 - a. **noted** that, while culture is reflected in all areas of human endeavour, building strong professional cultures across Communities of Schools can support ongoing improvement in the performance of the education system
 - b. **noted** that the Investing in Educational Success initiative has the potential to support stronger school professional cultures
 - c. **noted** that the implementation process is being designed to support the building of strengthened positive professional cultures
 - d. **noted** that for the potential of the initiative to be realised, careful change management that fully engages the sector will be essential.

Discussion

3. A useful definition of 'School cultures' can be adapted from a definition by Louise Stoll^[1]. Note insertions in [] are the Secretariat's.

[School] culture describes how things are and acts as a screen or lens through which the world is viewed [by professionals within a school]. In essence, it defines reality for those within a social organisation, gives them support and identity and creates a framework for occupational learning. Each school has a different reality or mindset of school life, often captured in the simple phrase 'the way we do things around here.'
4. Culture encompasses the characteristics of a particular group of people defined by everything from language, beliefs, cuisine, social habits, music and arts. It results from both conscious and unconscious perspectives, values, interactions and practices. Schools have their own individual cultures and, in time, each Community of Schools will develop their own distinguishing culture.
5. Schools and Communities of Schools will include people from a wide range of ethnic cultures that may influence the nature of their school professional cultures. For example a Community of Schools with a strong Pasifika influence is likely to have a different 'way we do things around here' than a Community of Schools with a Māori-medium influence. For the purposes of this paper, the Secretariat has focused on building strong school professional cultures within the Investing in Educational Success initiative.
6. The New Zealand context in which educational professionals work presents both opportunities and challenges for strengthening effective school cultures:
 - self management – devolved decision-making
 - funding models based on roll size and school and student characteristics
 - governing school boards that are elected by the community, supporting parental voice and agency
 - high levels of school and professional autonomy

^{1]} Stoll L. (1998). *School Culture*. School Improvement Networks Bulletin, No.9. Institute of Education, University of London.

- broadly enabling school curriculum documents, *The New Zealand Curriculum* and *Te Marautanga o Aotearoa*, which provide space for local curriculum decision-making
 - the bi-cultural context
 - an egalitarian tradition – expressed for example in parent engagement on boards and a commitment to co-construction of the curriculum between teachers and with students
 - long history of strong teacher and principal professional associations, some of which also have an industrial role.
7. A strong school professional culture in the context of New Zealand will be characterised by:
- engagement, learning and well being of every student as the basis of school and professional identity
 - a primary focus on continuous improvement for teaching and learning, using evidence to inform decision-making
 - a fundamental belief that every student has the potential to make a valuable social, cultural and economic contribution to the well-being of their whānau, their community and New Zealand as a whole
 - recognition of every student's individual social and cultural identity so that they can enjoy and achieve success
 - a shared language for the description, analysis, interpretation and evaluation of practice
 - expectation of collaboration as a way of working to:
 - obtain evidence of the impact of their practice for students
 - engage in ongoing inquiry
 - develop innovative approaches
 - a commitment to making professional practice transparent to peers, students and parents
 - a professional practice norm of giving and seeking critical feedback from peers, students and others, and actively encouraging others to take agency for improvement
 - commitment to high ethical standards.
8. Investing in Educational Success has the potential to support the strengthening of effective school cultures by, for example:
- promoting and supporting effective collaborative practice through the agreeing of shared achievement objectives and plans through Communities of Schools, new roles, Inquiry Time and Teacher-led Innovation Fund projects
 - promoting a shared professional language through the Communities of Schools
 - engaging all teachers and leaders with the expertise held by appointees to the new roles
 - acknowledging and promoting internal professional capability and autonomy through new roles and the Teacher-led Innovation Fund
 - demonstrating commitment to equity of outcomes and achievement for every student through the Change Principal Allowance
 - focusing on shared professional responsibility within the Communities of Schools and between peers.
9. Implementation of the Investing in Educational Success initiative needs to be cognisant of:
- the school professional cultures and how they may differ from school to school and community to community, and
 - the implications that this may have on the process of forming communities and how they are identified.

10. The implementation process will build on what we have learned about:
 - how schools operate best in a community/network/cluster
 - what support groups of schools need to work collaboratively
 - how communities build their capability in using the inquiry process
 - how all parts of the system need to be aligned to support desired outcomes, and how the evaluation of Investing in Educational Success will be used formatively to inform ongoing tranches as the initiative is implemented over time.
11. School communities (including Communities of Schools) need to be engaged, empowered and appropriately supported in the development of their own culture. Any such development and support should be based on sound evidence about effective approaches.
12. The Investing in Educational Success initiative is expected to have a significant impact on the way schools, leaders and teachers work. For the potential of the initiative to be realised, careful change management that fully engages the sector will be essential.

Attachment 10.1 - Context statement about other related work

Purpose of report

1. The purpose of this report is to identify the context within which the Investing in Educational Success (IES) work is to be carried out.

Decisions

2. The Working Group:
 - a. **agreed** to the 'Context for Investing in Educational Success', as set out in the diagram attached to this report.

Relevant information to decision, including purpose of any attachments

3. At the first meeting of the Working Group on 4 February 2014 you requested two initial pieces of advice from the Secretariat:
 - a. the alignment of the IES initiatives with the wider context
 - b. a proposed work programme
4. Diagram 1 sets out the context for the IES work.
5. A draft work programme has been provided under a separate report.

Investing in Educational Success

- Three new roles
- Change principal allowance
- Innovation fund

Existing roles in schools

Strengthening Teacher and Principal Appraisal

- ERO commissioned national report on current quality and effectiveness of appraisal

Minister's Cross-Sector Forum and work streams

Reforming Initial Teacher Education

Taskforce on Regulations Affecting School Performance

Induction of Monitoring Teacher Council Pilots

ERO Teacher Council Registered Teachers Criteria Reviews

School Interventions

Increase funding for NSTA

Existing Cluster Networks

Exhibits

Youth and Partnership

Vocational Teacher Learning

Research

E-learning and Digital Network

Principals' Circle

Sector Facing Activities Review (aka Clutter Buster Review)

Teachers Council Review

ERO Review of Schools

Excel Roma Education Initiative

Professional Learning and Development

- Building on Success Professional Learning and Development Project
- Review
- Positive Behaviour for Learning
- Restorative Practices
- PPTA's Teacher Learning Groups
- Study Awards

Student Welfare Initiatives

- Wellbeing Initiatives
- ERO Review of Pastoral Care/Guidance
- Inclusive Practice

Raising the status of the profession

- Prime Minister's Education Excellence Awards
- International OCEED Teaching Summit: NZ March 2014
- Recognition (in primary schools)

Parental Engagement

- School's Action Plan work programme
- Collaboration Partnership with EOI informally
- Participate in the Whānau
- PCEH and the Whānau
- ECE participation initiatives - Engaging priority families
- Parental Engagement Sale of Committee Inquiry

Attachment 10.2 - Education sector initiative – links and decision points

Purpose of report

1. This report meets the request from the Working Group to provide a new diagram which:
 - a. provides a clear list of what Investing in Educational Success has impact on or what will have impact on Investing in Educational Success
 - b. shows
 - i. the timeframe for key decisions
 - ii. how the work interconnects.

Decisions

2. The Working Group:
 - a. **noted** the attached diagram.

Discussion

3. At your 19 February meeting, you discussed a diagram outlining a range of initiatives which would be influenced by or would influence Investing in Educational Success. You added further relevant initiatives and strategies through that discussion. You also requested a further diagram showing the time frames for key decisions and how key work streams will interconnect.
4. Investing in Educational Success is a system wide initiative and, as such, it could be argued that it has links to every other initiative in the compulsory schooling sector. However, for simplicity, we have sought to identify in Annex B, just those with a more direct link. We have also sought to separately identify those for which the links need to be clearly articulated in order to ensure well informed decision-making during 2014. Annex A outlines the longer list of initiatives which have relevance (ranging from a more direct impact, an influence link, or simply a need for ongoing awareness). Annex B is the diagram Education Sector Initiatives: Decision Points outlining the decision points.
5. The initiatives identified as having direct impact on/being directly impacted by Investing in Educational Success are relatively few, as follows:

Initiative	Link with Investing in Educational Success
Professional Learning and Development (PLD) Review	Ensure PLD Review decisions and implementation complement Investing in Educational Success in building teacher and leader professional capability. Timeframe is longer than 2014 and the Ministry will ensure cross-team linkages. Overlap in sector group membership.
Change Programme for Ministry of Education Sector Enablement and Support	The Sector Enablement and Support Change Programme will be undertaken with awareness that supporting Investing in Educational Success will be a key future role for regional teams.
Expansion of the role of the New Zealand School Trustees Association	The New Zealand School Trustees Association will consider how its expanded services support the Investing in Educational Success agreed operating model. NZSTA is a member of the Working Group and Secretariat.
Statutory Intervention Review	Report due May 2014. Ensure Statutory Intervention Review Working Group and Investing in Educational Success Working Group have mutual awareness of each other's work. Overlap in sector group membership.

Taskforce on Regulations Affecting School Performance	Ensure that proposals for regulation and legislative change are informed by Investing in Educational Success agreed operating model. The Ministry will ensure cross-team linkages. No overlap in sector group membership.
Network for Learning (N4L) roll-out	Investing in Educational Success will be able to leverage technology provided through N4L for collaboration across Communities of Schools (350 schools by July 2014, all schools by December 2017). Opportunities presented by digital technologies will also assist Communities of Schools to respond to their achievement challenge.
New Zealand Teachers Council/Education Council of Aotearoa/New Zealand (EDUCANZ) establishment process	There are clear opportunities to involve the New Zealand Teachers Council (and eventually EDUCANZ) in the ongoing use of the professional standards. There may also be other ways the organisation may support IES. Overlap with Working Group and Transition Board membership.

6. The above initiatives are all led or supported by a Ministry team. To ensure links are effectively made, the Ministry's Investing in Educational Success team will undertake timely, focused discussions with the other relevant teams. The intention is that each of the above initiatives is able to influence proposals for the agreed Investing in Educational Success operating model, and conversely that, where appropriate, the evolving operating model for Investing in Educational Success will inform those other initiatives.
7. There is also considerable overlapping membership of the Investing in Educational Success Working Group with several of the above initiative sector groups. Given this overlap, members of the Investing in Educational Success Working Group will have considerable scope to cross-fertilise between the work-streams.

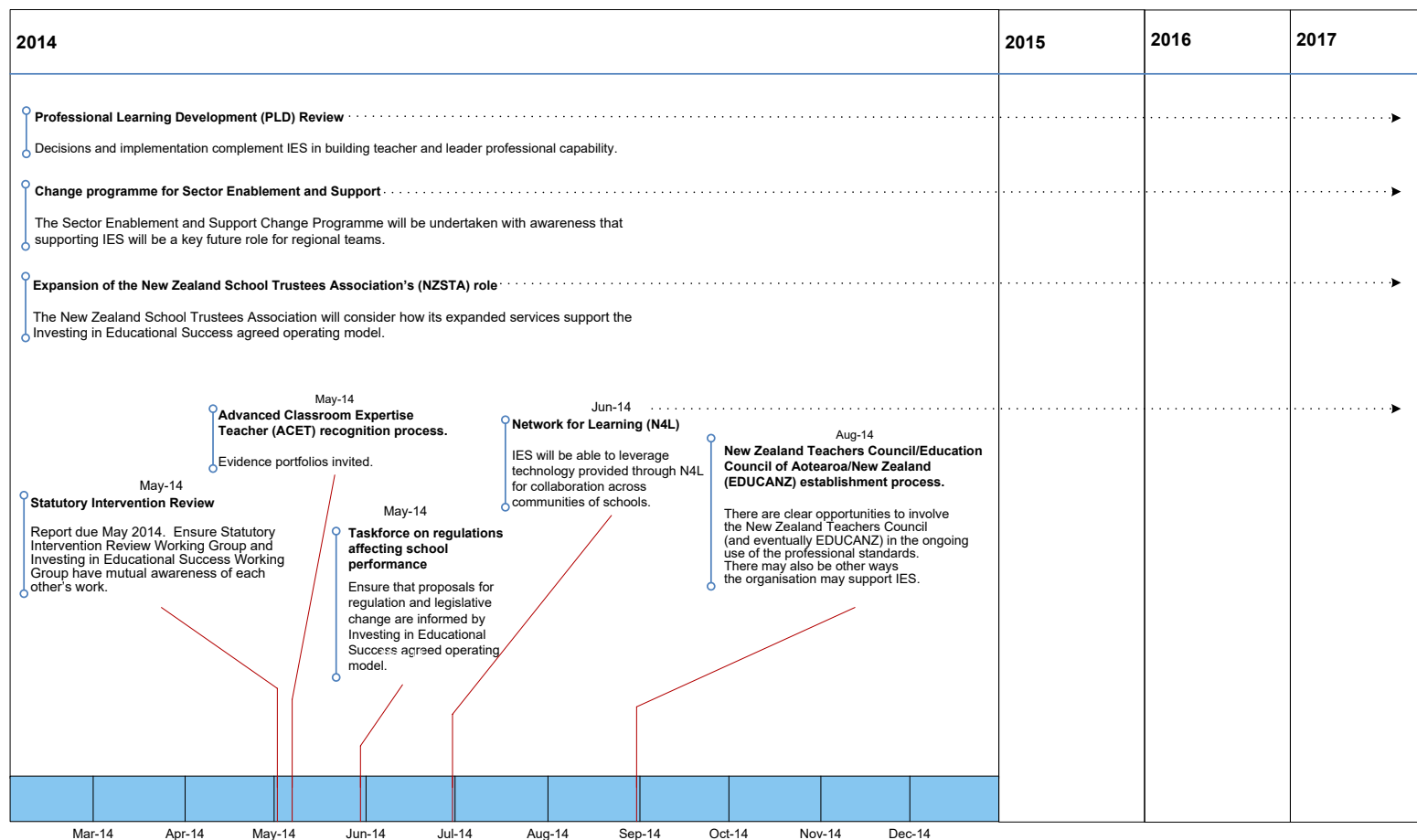
The list of initiatives identified, which included those on the original diagram as well as those separately identified by the Working Group, was as follows:

- Taskforce on Regulations Affecting School Performance
- Statutory Interventions Review
- PLD Review
- Building on successful professional learning and development
- Ka Hikitia
- Pasifika Education Plan
- Education Council of Aotearoa New Zealand (EDUCANZ)
- Inclusive education capacity building
- Prime Minister's Excellence Awards
- Festivals of Education
- OECD International Teaching Summit, March 2014
- Advanced Classroom Expertise Teacher Recognition implementation (Primary teachers)
- Change programme for Sector Enablement and Support
- Sector Facing Activities Review
- Reforming Initial Teacher Education
- Parental Engagement Select Committee Enquiry
- Children's Action Plan Work Programme
- Iwi Education Partnerships
- Parent information portal
- Pasifika PowerUp
- NCEA and the whānau
- Early childhood education participation initiatives – engaging priority families
- Student welfare initiatives
- Bullying guidelines
- ERO review of pastoral care/guidance
- Inclusive practice
- Positive Behaviour for Learning
- Restorative Practice
- Teacher Learning Groups
- Study Awards
- ERO commissioned national report on current quality and effectiveness of appraisal
- Teachers Council induction and mentoring pilots
- ERO Teachers Council Registered Teachers Criteria Reviews
- Funding increase to New Zealand School Trustees Association
- Public Achievement Information
- Network for Learning
- Existing clusters and networks
 - Excel Rotorua
 - Youth Guarantee
 - Vocational Pathways
 - Resource Teacher: Learning and Behaviour
 - Virtual Learning
 - Learning and Change Networks Principals Cluster

Annex B

Education sector initiatives: Decision points

28 February 2014



1/02/2014

31/12/2014

Attachment 11 - Basket of evidence

Purpose of report

1. The purpose of this paper is to provide the Working Group with advice on a 'basket of evidence' that could be used to inform a Community of Schools' inquiry into its progress towards its shared objectives.

Discussion

2. At your meeting on 2 April you requested a paper on the 'basket of evidence' that could be used by a Community of Schools.

Considerable evidence in schools

3. Schools collect a considerable amount of evidence about students' progress and achievement in relation to the national curriculum (*The New Zealand Curriculum* and/or *Te Marautanga o Aotearoa* and/or *Te Aho Matua o nga Kura Kaupapa Māori o Aotearoa* and/or *Te Piko o te Mahuri*). A range of quantitative and qualitative information is collected by schools and a range of tools is available to support schools to gather this evidence.
4. An ongoing cycle of self-review is an important process for monitoring student progress and achievement and for determining the effectiveness of programmes and processes. Evidence (examples are given in Appendix 1) collected during self-review could relate to:
 - a. demographics
 - b. student achievement and progress
 - c. student well-being, participation and engagement
 - d. teaching and leadership practice
 - e. perceptions of those within and connected with the school
 - f. school climate
 - g. school processes.
5. We would expect a Community of Schools to use some of this existing evidence (or other quality indicators) as part of its inquiry to determine the impact of its actions and to measure progress towards shared objectives.

Appendix 1

This appendix illustrates the range of existing evidence and tools which schools can draw on. It is neither exclusive nor fixed in time.

A significant amount of guidance is available to teachers and schools via the Ministry's Te Kete Ipurangi (TKI) web-pages to support them in gathering both qualitative and quantitative evidence to inform their decision-making.

This contains information about available tools and resources and includes a tool selector for teachers and schools to help them select the most appropriate assessment tool to suit their particular purpose. The TKI web pages below also provide advice and guidance about using evidence:

- for learning³⁴ including coverage about gathering evidence, working with data, reading and analysing data and target setting
- identifying what is already working and for whom³⁵
- to inform the design of pathways for accelerated learning and use inquiry to determine what additional support may be needed³⁶.

What evidence does a school have?

Based on <http://assessment.tki.org.nz/Using-evidence-for-learning/Gathering-evidence/Consider-the-evidence-page/What-evidence-does-a-school-have>

All schools have data about valued student outcomes. To make the most of these data to improve learning, we need to be aware of many other factors – evidence that describes our students' wider learning environment.

It is useful to think of all data and other evidence in these categories:

- **demographics** – objective data that describes a school and its students, staff and community, much of it collected at enrolment and systematically every day
- **student achievement** and progress – data and other evidence from national assessments, standardised testing we carry out in the school, portfolios of student work, etc.
- **student well-being, participation and engagement** – data and other evidence about student feelings of well-being, attendance, and suspensions, for example.
- **teaching and leadership practice** – evidence about the implementation of agreed practice and its impact
- **perceptions of those within and connected with the school** – evidence of what staff, students and others think about the school
- **school climate** – how the values and culture of a school are put into practice
- **school processes** – how the school is organised and operates – the timetable, resources.

Demographics

Data that provides a profile of a school (so also known as profile data):

- school – decile, roll size, urban/rural, single sex or co-educational, teaching spaces
- students – ethnicity; gender; age; year level; attendance; lateness, suspension and other disciplinary data; previous schools; part-time employment
- staff – gender, age, years of experience, qualifications, teaching areas, involvement in national curriculum and assessment, turnover rate
- parents/caregivers and community – socio-economic factors, breadth of school catchment, occupations.

³⁴ <http://assessment.tki.org.nz/Using-evidence-for-learning>

³⁵ <http://nzcurriculum.tki.org.nz/System-of-support-incl.-PLD/Designing-learning-for-school-context>

³⁶ <http://nzcurriculum.tki.org.nz/System-of-support-incl.-PLD/Impact-of-changed-practices>

Student achievement

Evidence about student progress and achievement, including disaggregated by priority groups:

- national assessment results – NCEA, New Zealand Scholarship – details like credits above and below year levels, breadth of subjects entered
- standardised assessment results administered internally – PAT, asTTle testing, Observation Survey, Aro Matawai Urunga-ā-Kura (AKA)
- National Standards, Ngā Whanaketanga Rumaki Māori judgements
- Measurable Gains Framework – Māori learners enjoying and achieving education success as Māori
- narrative assessment for students with special education needs
- progress towards IEP goals for learners with special education needs
- other in-school assessments – most will be non-standardised but some, especially within departments, will be consistent across classes – includes data from previous schools, primary/intermediate
- student work – work completion rates, internal assessment completion patterns, exercise books, notes, drafts of material and other artefacts – these can provide useful supplementary evidence
- achievement and progress information from previous schools.

Note: Student achievement should be read as meaning ‘valued outcomes as set out in *The New Zealand Curriculum* and/or *Te Marautanga o Aotearoa* and/or *Te Aho Matua o nga Kura Kaupapa Māori o Aotearoa* and/or *Te Piko o te Mahuri* including student achievement’

Example:

A year 9–13 secondary school has extended its relationship with contributing schools to develop a comprehensive profile of each student's achievement. This data incorporates asTTle reading and STAR data. The data does more than simply place students on levels at the time they enter year 9. It enables student progress over years 6, 7, 8, and 9 to be investigated.

Student well-being, participation and engagement

- well-being at school survey of students about the nature of the school environment
- Measurable Gains Framework - Māori learners connected and engaged
- Inclusive Practice Tools
- Career Education Benchmarks - Careers NZ
- attendance data over time
- stand down, suspension and exclusion data
- behaviour data (some is collected through Positive Behaviour for Learning programme and schools continue this approach)
- impact of specialist support – Special Education, RTM, RTLb, SWIS , RTLit
- school or Community of Schools-based evidence of engagement with the local community.

Teaching and leadership practice

Evidence about teaching and leadership practice and its impact on valued student outcomes and contribution to the school as a whole.

- individual professional inquiries into student achievement and well-being
- appraisal information about teacher and leadership practice
- Tātaiako or Ruia for information about teachers' appraisal for Māori learners' success
- Measurable Gains Framework – Effective educational leadership; culturally responsive learning contexts and systems
- Educational Leadership Practice Survey - NZCER
- Self-audit Framework: Key Competencies and Effective Pedagogy
- other in-school observations and reviews, surveys, information from meetings, PLCs.

School climate

- staff morale, staff turnover, shared values, positive working environment, positive relationships and inclusive practices
- welcoming and respectful relationships within and across schools
- staff workplace surveys
- informal sources – anecdotal views about the school environment, staff and student morale, board perceptions, conversations among teachers.

Perceptions of those within and connected to the school

Evidence about what students, staff, parents and the community think about the school.

- self-appraisal – student perceptions of their own abilities, potential, achievements, attitudes
- formal and informal observations made by teachers – peer interactions, behaviour, attitudes, engagement, student-teacher relationships, classroom dynamics
- structured interactions – records from student interviews, parent interviews, staff conferences on students
- student voice - student surveys, student council submissions, conferencing.

Student voice

Student surveys, student council submissions, conferencing.

Example:

As part of the Assess to Learn project (AtoL), a school has developed a structured system for recording student perceptions about their own learning. *Outcomes and Indicators* includes a self-evaluation sheet and a matrix of indicators of progress.

School processes

Evidence about how the school is organised and operates including:

- timetable – structure, period length, placement of breaks, subjects offered, student choices, tertiary and workforce factors
- classes – how they are compiled, their characteristics, effect of timetable choices, etc.
- resources – access to libraries, text books, ICT, special equipment
- finance – how the school budget is allocated, how funds are used within departments, expenditure on professional development
- staffing – policies and procedures for employing staff, allocating responsibility, special roles, workload, subjects and classes
- externally generated reports – from ERO and NZQA (these contain data and perceptions)
- Measurable Gains Framework – effective parent, families and whānau engagement
- board processes - effective governance and quality planning and reporting, links to parents and whānau.

Detailed advice on implementation and evaluation of Investing in Educational Success

Attachment 12 - Implementation principles and approach

Purpose of report

1. The purpose of this paper is to provide advice on the implementation of the Investing in Educational Success suite of initiatives.

Decisions

2. The Working Group:
 - a. **agreed** the implementation principles set out in paragraph 3
 - b. **agreed** the implementation approach set out in paragraph 4.

Discussion

Implementation principles

3. The Secretariat has developed the following principles to guide the implementation of the Investing in Educational Success suite of initiatives:
 - schools will need to be actively supported in establishing their Communities of Schools, implementing the initiative and developing their achievement goals
 - implementation of the Investing in Educational Success initiatives will be led by schools and their communities, who will be supported in setting achievement objectives by the Ministry
 - implementation will model behaviours that support collaboration and a positive professional school culture
 - sector representatives and the Ministry will work together to implement the Investing in Educational Success initiatives
 - implementation will be cognisant of school operations to minimise impact.

Approach

4. To give effect to the principles above, the Secretariat recommends the following approach to the implementation of initiatives:
 - **Leadership:** The Secretary for Education will be responsible for the implementation. An Advisory Group including sector representatives and academics will be established to advise the Secretary for Education on issues arising during implementation and identified in the evaluation.
 - **Ownership and engagement:** The sector members of the Advisory Group and the Ministry will engage with schools and their communities to raise awareness and understanding about Investing in Educational Success across the sector.
 - **Provision of assistance in establishing Communities:** The Ministry of Education will take an active role in bringing together schools to aid the formation of Communities of Schools and support their progress towards being recognised as a Community of Schools for resourcing purposes. This will be informed by the Communities of Schools work-stream.

- **Model behaviours:** The implementation is an opportunity to model collaborative and other behaviours that support positive school culture and foster good government and sector relationships.
- **Resources, information and advice:** Timely resources, advice, models and information will be produced to support schools in establishing communities, developing their achievement plans and meeting the objectives of the initiatives. Schools will have access to sources of quality advice from the Ministry of Education, NZSTA and the unions.

NZEI Te Riu Roa comment

5. Parties in the Secretariat met and discussed this paper at a time that did not allow for NZEI Te Riu Roa to participate. Time constraints on subsequent days did not allow for further discussion and therefore NZEI Te Riu Roa was not able to fully participate in the process of developing this paper. Therefore, this paper cannot be considered to accurately reflect the views of NZEI Te Riu Roa. For avoidance of doubt, this does not necessarily mean that NZEI Te Riu Roa opposes all points in the paper. A summary of our view is set out below.
6. Planning for implementation needs to come after bargaining and other processes to finalise the shape of the initiative are completed. Implementation should be based on the following principles:
 - any new initiative implemented must be underpinned by sound evidence about approaches that are of direct benefit to all children's learning, including for priority learners
 - any new initiative implemented must be designed through a transparent and genuinely collaborative process of engagement with the profession, taking whatever time is necessary.
7. Participation in the Investing in Educational Success initiative must be at the discretion of each school. All schools must be provided with sufficient information to allow for well informed decisions about whether they believe the Investing in Educational Success initiative will best support success for their students. If a school chooses not to participate in one or all parts of the initiative this must not lead to alteration (either restriction of access or imposition of) with regards to all other forms of funding or support within the education system.

Attachment 13 - Evaluating the Investing in Educational Success initiative

Purpose of report

1. This paper outlines the process and initial thinking for developing an evaluation framework for the Investing in Educational Success initiative.

Decisions required

2. The Working Group:
 - a. **noted** that the Investing in Educational Success initiative will be subject to an evaluation process
 - b. **agreed** the Ministry of Education establish an Evaluation Reference Group to provide input and advice to the evaluation of the Investing in Educational Success initiative as outlined in paragraph 8
 - c. **agreed** the Ministry of Education will hold the responsibility for the implementation of the Investing in Educational Success evaluation in conjunction with other education sector agencies
 - d. **agreed** the proposed design, activities and principles outlined in the remainder of this paper will be further developed by the Ministry of Education in conjunction with the Evaluation Reference Group
 - e. **agreed** that evaluation reports will be available to the sector throughout the implementation of the initiative, at appropriate points.

Discussion

3. Investing in Educational Success is intended as a system development rather than a project. The evaluation plan will respond to this, focusing on:
 - what changes in the system can be attributed to the initiative
 - the effects of the alternative career pathways
 - the effects on student achievement
 - barriers to meeting its objectives
 - any unforeseen and unwanted consequences.
4. The evaluation will cover all elements of the Investing in Educational Success initiative.
5. We expect the evaluation will primarily be formative in the initial stages – identifying what has and hasn't worked, strengthening the implementation and delivery phases, and identifying whether risks are being adequately mitigated. Over time, the evaluation would seek to inform schools, Communities of Schools and the Government about what is working and how it is working, how it can be adapted and strengthened and whether the resourcing is adequate to meet the expectations on Communities of Schools, to enable all involved to learn and adapt as the changes to the system are implemented.
6. We propose the evaluation seeks to identify the extent of change and impact at a number of levels. It will follow normal evaluative practice by drawing on a theory of change which identifies the links between the investment (e.g. roles being introduced and Communities of Schools forming), desired changes in practice (e.g. in teaching and leadership) across the sector and outcomes sought and whether there are operational, systemic, resourcing or other barriers to these.

Evaluation management and roles

7. The Ministry of Education will hold responsibility for implementing the Investing in Educational Success evaluation in conjunction with other key education sector agencies, in particular the Education Review Office (ERO).
8. It is important that the sector is able to actively contribute to the design and ongoing progress of the evaluation. We propose to establish an Evaluation Reference Group (ERG) to provide input and advice to the evaluation of Investing in Educational Success. The membership of the ERG is expected to include sector representatives and education and evaluation experts as well as the Ministry and staff from the ERO to ensure diversity of views and opinions are captured and credible independent input is integrated into the evaluation approach.
9. A governance and management structure will be established to ensure that the agreed approach is sound, credible and reflects the diversity in the sector, and to provide oversight of the evaluation delivery and progress. The membership of the governance structure and role for education professionals, and education and evaluation experts is yet to be determined.

Evaluation design

10. The evaluation design will be developed in the coming months with significant input from the sector and evaluation professionals. The evaluation design can only be completed when the design of the initiative is itself finalised. Initial design can be based on those aspects already agreed by the Working Group as forming their advice to Government. The design process is expected to include the following key elements:
 - a. articulating the Investing in Educational Success theory of change which outlines the key actions and changes being introduced and how they ultimately link to student achievement
 - b. identifying key evaluation questions which follow the theory of change and seek to identify links between the implementation of the Investing Educational Success and the behaviours and outcomes sought
 - c. agree key success indicators reflecting the key evaluation questions and theory of change
 - d. identify possible obstacles to success.

Evaluation activities

11. We expect the evaluation and monitoring work programme will span a number of years and is likely to include three broad strands:
 - a. specific evaluation projects to address formative and summative questions, for example, the extent to which elements in the design have been implemented as intended, whether they are operating effectively and efficiently once implemented, whether there are early signs of success or issues to be addressed, any obstacles (including resourcing) to achieving intended outcomes, any unintended/unwanted consequences and whether identified risks have been adequately mitigated.
 - b. ongoing monitoring of key success indicators – this will provide those working in Communities of Schools, as well as those making decisions at the system level, with information about different aspects of Investing in Educational Success implementation at different levels in the change theory. This could provide information to schools and Communities of Schools which will help them improve effectiveness. Qualitative indicators, such as sector attitudes and engagement should contribute to the success indicators.
 - c. strategic evaluation projects – this strand is deliberately designed to be flexible and the focus is to respond to emerging patterns and trends from the ongoing monitoring strand.
12. Evidence will be required at multiple levels to identify progress in implementation, what impact it is having, and any obstacles to participation and to achieving changes. The Working Group report includes advice on a basket of evidence which can assist Communities of Schools to develop and assess their own plans and delivery. This same evidence could inform the evaluation.

Evaluation principles

13. The evaluation will be designed to avoid introducing unnecessary compliance-based monitoring processes. Instead it will aim to identify how existing evidence which is likely to be used by Communities of Schools to plan, manage and review their own activities can inform the evaluation. It will also consider how existing accountability systems and approaches can be drawn upon. For example, it is appropriate to consider how the introduction of Investing in Educational Success impacts on the ERO's core business and whether the ERO evaluation methodology may change to reflect the change in the system.
14. Schools already provide information to their communities via the planning and reporting cycle. We assume that schools will use that same approach to keep their communities informed of the Community of Schools objectives and progress. Should this be the case, this information could contribute to the overall evaluation.
15. Communities of Schools are likely to set a wide variety of objectives, relevant to their own circumstances and achievement challenges. This enables effort and resources to be focused on local priorities and is likely to result in a wide variety of local indicators of success being utilised. Input from students, teachers, school leaders, boards and representative organisations will need to form part of the evaluation. The devolved nature of the New Zealand school system and the local ownership of achievement challenges will make the overall evaluation more complex.

NZEI Te Riu Roa comment

16. Parties in the Secretariat met and discussed this paper at a time that did not allow for NZEI Te Riu Roa to participate. Time constraints on subsequent days did not allow for further discussion and therefore NZEI Te Riu Roa was not able to fully participate in the process of developing this paper. Therefore, this paper cannot be considered to accurately reflect the views of NZEI Te Riu Roa. For avoidance of doubt, this does not necessarily mean that NZEI Te Riu Roa opposes all points in the paper. A summary of its view is set out below.
17. NZEI Te Riu Roa believes that robust evaluation is essential. Evaluation has to be open, transparent and free to reach any conclusion, including the possibility that the initiative is partially or wholly not meeting objectives. It needs to have a formative element to guide effective development although it must also reach firm conclusions at critical points. In order to have credibility and to build the confidence of the education community it should be conducted by suitably skilled organisations external to key stakeholders and developed on the basis of established, accepted best practice models. Any evaluation needs to include effective processes for meaningful engagement with teachers, principals, support staff, students, parents and whānau, and other members of education communities.

Attachment 14 - Principles for the Working Group

The work of the Working Group is to build teacher and leadership capability to ensure learning improves for all young people. The Secretariat is to advise on the design, resourcing and implementation of sustainable changes to support teachers to:

- constantly review the impact of their teaching on learning
- actively seek external observation and critique by colleagues and experienced teachers and leaders
- seek and contribute to evidence of what works to improve learning outcomes and how they can apply that in their day-to-day practice.

and in which:

- leadership expertise is developed and utilised
- experience is recognised and utilised across the system
- there is opportunity and incentive to stay in the classroom
- collaboration is encouraged across the system
- opportunity for teacher-led innovation is enhanced
- clear pathways to fuller professional careers as teachers or principals are created
- there is incentive for leading practitioners to take up principal roles
- change is evidence-based and properly managed
- teaching increasingly becomes a first career of choice for our best graduates
- unintended negative consequences are identified and avoided.

Working Group meeting summaries and list of papers considered by meeting date

Attachment 15 - Schedule of Working Group meeting summaries

Meeting 1

Date	4 February 2014
Location	Te Papa
Attendees	Lorraine Kerr, Judith Nowotarski, Angela Roberts, Nancy Bell, Phil Harding, Tom Parsons, John Garner, Rawiri Wright, Arihia Stirling, Unasa Enosa Auva'a. Peter Hughes, Graham Stoop, Rowena Phair, Geoff Short, Sarah Borrell and Suze Strowger. Apology: Ross Tyson.

The first meeting of the Working Group for Investing in Education Success ('the Group') began with a chance for everyone to express their thoughts and reflections on the proposals.

Working Group organisation

All organisations involved indicated their support with being part of the Group. They also agreed that Graham Stoop (who is leading the work within the Ministry), Rowena Phair (to present the Government's view), and Geoff Short (from the Minister's office) would sit at the table.

The Group supported the proposal that the bulk of the work to support their discussions would need to be managed by a small joint team of staff ('Secretariat') drawn from the organisations reflected on the Group. This would allow the members of the Group to focus on key areas.

The Group recognised that variations of the teacher and principal collective agreements would be likely (and that any bargaining for a variation would happen in a normal way).

Terms of Reference

The members of the Group were in general agreement with the concept of having a Terms of Reference, and a further version was asked to be circulated to members of the Group before the next meeting. It was agreed that a key reference point for the Group would be the Cabinet paper and this would inform the Terms of Reference. It was also agreed that the same Terms of Reference would apply to the Secretariat.

Work programme and items for next meeting

By agreement, two initial pieces of advice were sought from the Secretariat:

- the alignment of the Investing in Education Success initiatives with the wider context
- a proposed work programme.

The Group had a discussion on possible areas of initial focus to assist the Secretariat. Subject to the Secretariat's advice on the work programme, the Group asked that for the next meeting papers are prepared on items such as change principals, innovation fund, professional standards, interface with existing roles and selection/appointment.

Communications

All members of the Group were in agreement that they would adopt a 'no surprises' approach in communication, whether in the media or to their wider constituents. That would include ensuring that concerns were raised openly within the Group where needed. If needed, Peter Hughes will speak on behalf of the Group. The Ministry identified that it was getting invitations from the sector and that it would communicate the times and dates of those meetings to members of the Group.

Attachments

There are two attachments to this summary:

- Meeting schedule
- How we work together.

Revised Terms of Reference will be circulated early next week.

Attachment 1 – Meeting dates

Dates for the remaining five meetings are:

- Wednesday 19 February
- Wednesday 5 March
- Wednesday 19 March
- Wednesday 2 April
- Wednesday 16 April

In each case the meeting will be held 12pm-4pm with a lunch provided at 12pm.

The venue for the February and March meetings is:

The Royal Society of New Zealand
11 Turnbull St, Thorndon, Wellington

The venue for the April meeting will be confirmed at a later date.

Attachment 2 – How we agreed we would work together

- We will commit to ensuring that what we do makes a difference to the achievement of priority learners and check in from time to time to ensure we are doing that.
- We will focus on the issues rather than the personalities, because we know that everyone on this Group is well motivated.
- We will use a 'parking space' approach to ensure that particular issues don't derail our meeting. We also agree to escalate problems early, to stop them surprising people later. To help, at the start of each meeting we'll have a 'check in discussion' to ensure that any issues have a chance to be raised.
- We will respect that everyone has constituencies whose views they must reflect. To make it easier, summaries from the meetings will be circulated to members for use within their organisations.
- We will act in good faith towards each other.
- We will consider all points of view, and ensure that there is a whole system focus. We'll work to take the bigger view, including identifying the connections, the inter-relationships and dependencies.
- We will recognise that our time is valuable so, to ensure we make the most of meetings, we will do what we say we will do, we'll ensure that we are well prepared for the meeting and we'll have read the pre-meeting material (and we're entitled to rely on others having read it too).
- We will recognise that at times we will need to have challenging conversations. We accept that that isn't negative thinking, but is designed to help us move forward. We'll have the courage to address the hard issues. We'll be 'can do' in our approach to this work and work hard, even struggle if needed, to find solutions to problems.

Meeting 2

Date	19 February 2014
Location	Royal Society of New Zealand
Attendees	Lorraine Kerr, Judith Nowotarski, Angela Roberts, Nancy Bell, Denise Torrey (for Phil Harding), Tom Parsons, John Garner, Gary Sweeney (for Ross Tyson), Rawiri Wright, Arihia Stirling, Unasa Enosa Auva'a. Peter Hughes, Graham Stoop, Rowena Phair, Geoff Short, Sarah Borrell and Suze Strowger. Apology: Ross Tyson and Phil Harding.

The second meeting of the Working Group for Investing in Educational Success ('the Group') began with a chance for everyone to express their thoughts and reflections since the previous meeting.

What the evidence says

A separate session was proposed to the Group's organisations on what the evidence says. The Ministry will organise a face-to-face workshop between the Group's meetings.

Work programme (see attachment)

The draft work programme was agreed to with changes:

- Criteria of innovation fund to meeting 3
- Cultural change to move earlier
- Re-engagement of roles to include support and evaluation
- Selection and appointment process to move to meeting 4

Integration with current work

The context for investing in education success was discussed. The Group also identified:

Regulations review

- Interventions review
- PLD review
- Pasifika Education Plan
- EDUCANZ
- Ka Hikitia
- Building on success
- Inclusive education capacity building

A new diagram was sought that provided for a clear list of what IES has impact on or what will have impact on IES. The diagram should show the timeframes for key decisions and how the work streams will interconnect.

Innovation fund

The purpose statement in the Secretariat's paper was agreed subject to:

- First bullet point – the word schools is changed to be more inclusive (wider than schools)
- Fourth bullet point - the word 'will' is added to the start and 'outcomes' is added instead of 'progress'

The Group provided some guidance on what they wished to see and not see in this proposal and invited the Secretariat to come back next time with a further developed proposal that provides options (including on what is the composition of people on the panel and how good ideas are circulated and shared). The Group also asked for examples of other successful models in New Zealand.

Change Principals

The Working Group provided some guidance on what they wished to see and not see in this proposal. The Group noted that the change principals and intervention work needs to be linked up

but that it cannot be a linear process where we wait until work in one is completed before commencing the other.

The Group agreed that initial criteria for schools requiring this targeted intervention be developed in anticipation of the first Change Principal appointments and that review and evaluation processes be established, alongside the implementation, to inform ongoing development.

Attachments

There are four attachments to this summary:

- Dates for remaining meetings
- The 'what we want' and 'what we don't want' for innovation fund (from whiteboard)
- The 'what we want' and 'what we don't want' for change principals (from whiteboard)
- An updated work programme (as a separate attachment)

Attachment 1 – Dates for remaining meetings

Dates for the remaining four meetings are:

- | | |
|----------------------|----------------------|
| • Wednesday 5 March | • Wednesday 2 April |
| • Wednesday 19 March | • Wednesday 16 April |

In each case the meeting will be held 12pm-4pm with a lunch provided at 12pm.

The venue for the February and March meetings is The Royal Society of New Zealand at 11 Turnbull St, Thorndon, Wellington. The venue for the April meeting will be confirmed later.

Attachment 2 – Innovation fund

What we want to see	What we do not want to see
<ul style="list-style-type: none"> - Diverse knowledgeable selection - Space for failure - Target priority learners at tail end - Smart selection / allocation process - Focus on communities - Outcomes (permissive) approach - A 'basket' of measures - Innovation at teacher level 'factory floor' - Themes: - Potential for more than one institution to collaborate - Look at RTLB and other successful approaches - Support good robust evaluation - Freedom to learn and fail - Free to take risks - Must provide support 	<ul style="list-style-type: none"> - Capture by high decile schools (old boys / girls) - Big bureaucracy - every cent going to innovation led change - Funding stuff that isn't finished / robust - Principal filtered - Huge milestone reporting that kills energy / enthusiasm

Attachment 3 – Change principals

What we want to see	What we do not want to see
<ul style="list-style-type: none"> - Supported principals - See as part of a broader more proactive intervention approach - Right schools, right candidates, right communities, right matches - Solutions / options for consistently failing schools - Support for boards (NZSTA) - Understand some situations where broader set of interventions required - Support structure for career principals 	<ul style="list-style-type: none"> - Schools stigmatised - Vacancy constrained but not used as a blunt instrument - Lose focus on raising achievement

Meeting 3

Date	5 March 2014
Location	Royal Society of New Zealand
Attendees	Lorraine Kerr, Judith Nowotarski, Angela Roberts, Nancy Bell, Phil Harding, Tom Parsons, John Garner, Ross Tyson, Rawiri Wright, Arihia Stirling, Unasa Enosa Auva'a. Peter Hughes, Graham Stoop, Rowena Phair, Geoff Short, Sarah Borrell and Suze Strowger.

The third meeting of the Working Group for Investing in Educational Success ('the Group') began with a chance for everyone to express their thoughts and reflections since the previous meeting. A request was made for an adjustment to be made to the FAQs on the Ministry's website to reflect the fact discussions are occurring that will adjust some of the components. It was agreed that the next meeting would include the presentation from Dr Stoop given to the last meeting of the cross sector forum.

Purpose of roles

The provided purpose of the roles was accepted by the Group (for the time being noting the underlying assumptions).

Change principals

The Group was comfortable with the direction indicated by the Secretariat including the description of change principals as being an allowance (rather than role) and that criteria (rather than performance standards) might better suit this component.

The Group asked the Secretariat to note some of the other professional support for principals going into that role.

The paper was noted and the Secretariat asked to continue to develop the proposal further.

Interface with other roles

This paper was noted. No further work was sought from the Secretariat.

Professional standards

The Group agreed to the standards development process outlined in the paper, subject to the Group seeing the proposed makeup of the Standards Writing Group.

Commissioning of work stream on Communities of Schools

The Group was supportive of the proposal and asked the Secretariat to provide clarity on points of emphasis for this proposed work stream and to continue to develop the proposal for the next meeting.

Innovation fund

The Group was supportive of the proposal and asked the Secretariat to make some specific changes to the paper.

Integration with other work

This paper was noted, especially the importance of the overlap with the PLD review and the statutory intervention work. No further work was sought from the Secretariat.

Note that at the end of the meeting NZEI read a statement on behalf of itself, NZAIMS and NZPF reflecting their approach to Investing in Educational Success.

Attachments

There is one attachment to this summary:

- Dates for remaining meetings

Attachment 1 – Dates for remaining meetings

Dates for the remaining four meetings are:

- Wednesday 19 March (The Royal Society of New Zealand at 11 Turnbull St, Thorndon, Wellington)
- Wednesday 2 April (The Royal Society of New Zealand)
- Wednesday 16 April (Te Wāhanga, Level 5, the Ministry of Education office in Saint Paul Square)

In each case the meeting will be held 12pm-4pm with a lunch provided at 12pm.

Meeting 4

Date	19 March 2014
Location	Royal Society of New Zealand
Attendees	Ray Newport (for Lorraine Kerr), Judith Nowotarski, Angela Roberts, Nancy Bell, Phil Harding, Tom Parsons, Ross Tyson, Rawiri Wright, Arihia Stirling, Unasa Enosa Auva'a. Peter Hughes, Graham Stoop, Rowena Phair, Sarah Borrell and Suze Strowger. Apologies Lorraine Kerr; John Garner, Geoff Short.

The fourth meeting of the Working Group for Investing in Educational Success (the Group) began with a chance for everyone to express their thoughts and reflections since the previous meeting.

Communities of Schools

The Group agreed:

- the scope of the work-stream as outlined in the paper.
- the parameters for the work-stream as outlined in the paper.
- the key matters to be covered in the work-stream as outlined in the paper.
- the implementation of the work-stream as outlined in the paper.

Changes were also sought to the paper as attached.

Innovation fund

The Group agreed:

- to the purpose for the Teacher-led Innovation Fund, set out the paper.
- to the amended proposals for the Teacher-led Innovation Fund.
- that the distribution of the \$10 million over three years, of \$5 million in 2015/16 and \$5 million in 2016/17, should be amended (within the \$10 million within three financial years) if needed to better achieve the objectives (such as to \$4 million in 2015/16, \$4 million in 2016/17 and \$2 million in 2017/18).
- the criteria for use in selection of innovative projects for the Teacher-led Innovation Fund.
- that the Ministry of Education provide the lead and engage with member organisations of the Secretariat, and other sector groups, to develop and confirm the application, selection, evaluation and dissemination processes for the Teacher-led Innovation Fund.

Changes were also sought to the two papers as attached.

Functions of roles

The Group agreed the provisional list of functions for the roles as described in the paper. Changes were also sought to the paper as attached.

Change Principal Allowance

The Group asked for this paper to return to its next meeting. The Group asked for the statutory intervention and IES work to be brought closer together.

Inquiry Time

The Group agreed:

- purpose of Inquiry Time is to support teachers to take time to undertake structured opportunities to access, observe, collaborate and reflect with Lead Teachers and Expert Teachers within or across schools.
- Inquiry Time could also be used to support teachers to take time to undertake structured opportunities to access, observe, collaborate and reflect with others with expertise within their school or Community of Schools.

- c. Inquiry Time formula is included in future Education (School Staffing) Orders.

Changes were also sought to the paper as attached.

Professional Standards Writing Group

The Group agreed:

- a. That the members of the Standards Writing Group must meet at least one of the following criteria and the group must collectively meet all of the criteria:
 - has deep understanding, both theoretical and practical, of effective teaching and leadership for diverse learners, including collaborative practices
 - has deep understanding of the practice of leading and facilitating teacher and leadership professional learning including effective appraisal practices
 - has knowledge and experience in developing standards of practice (can include educational and non-educational practice).
- b. that the Standards Writing Group will be empowered to seek specific external expertise on the draft standards to ensure they are as valid and robust as possible.

Changes were sought to the paper to ensure principals and Māori groups were also involved in identifying the experts on the Standards Writing Group. See attached.

Dr Graham Stoop's presentation

Dr Stoop presented material on the IES. This was the same presentation as used at a recent cross-sector forum.

Attachments

There is one attachment to this summary:

- Dates for remaining meetings

Attachment 1 – Dates for remaining meetings

Dates for the remaining two meetings are:

- Wednesday 2 April (The Royal Society of New Zealand at 11 Turnbull St, Thorndon, Wellington)
- Wednesday 16 April (Te Wāhanga, Level 5, The Ministry of Education office in Saint Paul Square)

In each case the meeting will be held 12pm-4pm with a lunch provided at 12pm.

Meeting 5

Date	2 April 2014
Location	Royal Society of New Zealand
Attendees	Lorraine Kerr, Judith Nowotarski, Nancy Bell, Angela Roberts, Tom Parsons, John Garner, Rawiri Wright, Ross Tyson, Phil Harding, Unasa Enosa Auva'a Peter Hughes, Graham Stoop, Rowena Phair, Sarah Borrell and Suze Strowger. Apologies Arihia Stirling and Geoff Short.

The fifth meeting of the Working Group for Investing in Educational Success ('the Group') covered the following items.

Commissioning work-stream on selection, appointment and appraisal

The Group asked the Secretariat to revise the purpose statement to acknowledge the role of collective bargaining and that the report informs the Government on the policy process. The Group also asked the Secretariat to add to paragraph 14 references to isolated schools, Pasifika and Māori.

Operationalising roles

This paper was accepted with the inclusion of three additional recommendations that were, where applicable, agreed to:

1. Note (crosslink to 2c in paper 5) that for the potential of the initiative to be realised, careful change management that fully engages the sector will be essential.
2. Agree that the Secretariat continue to develop advice on a primary, secondary and area schools implementation model referred to in paragraph 9 for the 16 April meeting of the Working Group.
3. Agree that, within the existing financial parameters of the Cabinet paper, the Secretariat should consider and may propose adjustments in the final report on the:
 - i. reduction of the allowance rates suggested in the Cabinet paper
 - ii. inclusion of a time allowance for Role C
 - iii. numbers of positions
 - iv. provision of funding for new administration costs associated with participation in a Community of Schools
 - v. provision of a component of central PLD and networking funding for each of the new roles
 - vi. funding for backfill for roles supporting the new positions
 - vii. flexibility for unit holders to apply for Role C positions.

Change Principal Allowance (revised proposal)

The Group agreed to all recommendations in this paper. They asked for further advice from the Secretariat on paragraph 14(g) and for an amendment to the words "student achievement" that would avoid any inadvertent implication that there was a singular focus on the form of measurement.

Basket of evidence

The Secretariat was asked to provide a paper to the final meeting that commissions work on a process for developing a basket of evidence. This should include cultural aspects.

Lifting the achievement of priority students

The Secretariat was asked to revise this paper to provide further assurances that this work will support priority students and to provide a sense of the impact.

Culture of the profession

The Secretariat was asked to revise the paper to reflect a broader cultural context and to provide a link to implementation.

Implementation

A white board session was held on what the Group members wanted to see and or did not want to see (see Attachment 1).

Final report skeleton

The Group agreed to the format proposed for the final report, with the inclusion of a section on implementation of proposed approach and a section on the evidence that informs the policy.

General comment – Note that NZEI:

1. Wishes to have recorded that Working Group members may need to seek or to refresh a mandate, through consultative and related processes including paid union meetings for union members of the working group.
2. Wishes to have recorded that it does not agree with paragraph 8 of the paper titled “The new roles: their functions” considered by the Working Group on 19 March. The paragraph says “Note that in assessing the shared achievement objectives, a ‘basket of evidence’ will be used, which can include data from NCEA and National Standards, but not exclusively so. Schools would also continue to address their own achievement challenges”.
3. Wishes to have recognised that it reserves its position with respect to the papers sent to this meeting of the Group as the papers currently stand (in line with NZEI’s comments within the papers).

Attachments

There are two attachments to this summary:

- Want to see/don’t want to see for implementation plan (from whiteboard)
- Dates for remaining meeting.

Attachment 1 – Implementation

Want to see	Don't want to see
<ol style="list-style-type: none"> 1. Some early starts (CoS) 2. Robust comprehensive evaluation from outset 3. Evidence for final proposal 4. Tight/loose- flexibility of approach 5. Pipeline potential 6. Champion with buy in from profession 7. Clear view of impact on priority students 8. End-to-end, comprehensive implementation plan 'change management tool kit' 9. Strong Communities 10. Happen with the sector not to the sector 11. Permissive and responsive approach but supportive 12. Fill knowledge gap in safe and affirming way- teacher inquiry and collaboration 13. Stretch challenge, not the small stuff (some CoS's) 14. Builds on and affirms what exists 15. Scalable and sustainable (implementation) 16. Structured, system wide, support for roles. 17. Good early starts (people, BOTs) 	<ol style="list-style-type: none"> 1. Narrow singular implementation approach 2. False prophets 3. \$359 million elsewhere 4. Managed risk to avoid Novopay 5. Size of CoS optimal 6. Successful CoS's operating in isolation

Attachment 2 – Date for remaining meeting

The date for the remaining meeting is:

- Wednesday 16 April (Te Wāhanga, Level 5, The Ministry of Education office in Saint Paul Square)

The meeting will be held 12pm-4pm with a lunch provided at 12pm.

Meeting 6

Date	16 April 2014
Location	Ministry of Education
Attendees	Lorraine Kerr, Ian Leckie (for Judith Nowotarski), Nancy Bell, Angela Roberts, Tom Parsons, John Garner, Rawiri Wright, Arihia Stirling, Ross Tyson, Phil Harding, Unasa Enosa Auva'a Peter Hughes, Graham Stoop, Rowena Phair, Sarah Borrell and Suze Strowger. Apologies Judith Nowotarski, Geoff Short.

The sixth and last meeting of the Working Group for Investing in Educational Success ('the Group') covered the following items.

Operationalising roles

Recommendations (a) through to (j) were agreed (noting NZEI's note that it would aim to finalise details after it had engaged with its members). Some members of the Group asked if there could be the flexibility so that in exceptional circumstances there was a process that would allow the appointment of a person who is not currently a principal in that community, and it was agreed that the idea would be considered (including implications of that).

Titles

After discussion of the advantages and disadvantage of the current titles and proposed titles it was agreed that new role descriptors should be sought for the report.

Work-stream on selection, appointment and appraisal

Recommendations (a) to (c) were agreed. It was agreed that paragraph 7 would be amended to include "Te Rūnanganui o Ngā Kura Kaupapa Māori also have a role in supporting kura kaupapa Māori".

Change Principal Allowance (revised proposal)

Recommendations (a) and (b) were agreed.

Basket of evidence

This paper was noted. It was agreed that no work-stream was needed, but that the Ministry would consider developing the material further.

Lifting the achievement of priority students (revised proposal)

This paper was noted.

Culture of the profession (revised proposal)

This paper was noted.

Student achievement

Recommendations (a) and (b) were agreed.

Evaluation

Recommendations (a) through to (e) were agreed.

Professional standards

The Group discussed possible names. It was agreed that Dr Stoop would consult further on some names for a sector reference group to support the academics and specialists.

Implementation principles and approach

Recommendations (a) and (b) were agreed.

Final draft report

There was some general discussion on the report

It was agreed that recommendation 11 would be amended to show that the Ministry would need to engage with the Working Groups members prior to the commencement of bargaining on the inquiry time formula.

It was also agreed that the Principles for the Working Group would be added as a separate attachment.

It was agreed that Group members would send any proposed changes (with alternative wording) to the Secretariat by 2pm Thursday 17 April.

The group were reminded that this advice was still in the Budget process, and that the process from here was that:

- Peter Hughes would sign the report out as chair of the Working Group (agreed)
- The Government would then respond.

Following that, it was envisaged that the report would be made public. The Ministry would then lodge claims for variation and other implementation processes would (fully) commence.

The Ministry agreed to write to each member of the Working Group with process, timeframes and commitments for supporting advisory groups and work streams.

Thanks

Peter thanked all participants for their hard work and engagement.

Attachment 16 - Schedule of Working Group meetings and papers considered

4 February

- Proposed Terms of Reference and approved parameters
- Proposed work programme
- Proposed meeting schedule

19 February

- Proposed work programme
- Context with Investing in Educational Success work
- Teacher-led Innovation Fund
- Change Principals

5 March

- Purpose of roles
- Change Principal Allowance (update from last meeting)
- Interface with other roles
- Integration with other work
- Professional standards
- Commissioning of work-stream on Communities of Schools
- Teacher-led Innovation Fund (update from last meeting)

19 March

- Communities of Schools (revised proposal)
- Teacher-led Innovation Fund (revised proposal)
- Teacher-led Innovation Fund - Criteria
- Functions of roles (Executive Principal, Lead Teacher, Expert Teacher)
- Change Principal Allowance
- Inquiry Time
- Professional Standards Writing Group

2 April

- Commissioning work-stream on selection, appointment, and appraisal
- Operationalising roles
- Change Principal Allowance (revised proposal)
- Lifting the achievement of priority students
- Culture of the profession
- Final report skeleton

16 April

- Operationalising roles
- Titles
- Commissioning work-stream on selection, appointment and appraisal – purpose statement
- Change Principal Allowance (revised proposal)
- Basket of evidence
- Lifting the achievement of priority students (revised proposal)
- Culture of the profession (revised proposal)
- Student achievement
- Evaluation
- Implementation
- Draft final report

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