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**GOVERNANCE and MANAGEMENT  
UNDER *TOMORROW'S SCHOOLS*:  
DUALISM or SEPARATISM?**

**A thesis presented in partial fulfilment  
of the requirements for the degree of  
Masters  
in  
Educational Administration  
Department of Social and Policy Studies in Education  
at Massey University, Palmerston North  
New Zealand**

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**2001**

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## ABSTRACT

The thesis aimed to determine the following:

- (i) How boards of trustees and principals in state secondary schools determine their respective roles and responsibilities of governance and management.
- (ii) Can the principal be seen as standing apart from the board of trustees of which they are a member?
- (iii) If conflicts between governance and management arise, how are these solved?

The researcher was concerned to learn in educational readings that governance and management and the governance-management interface is a sorely neglected area of research, and that since the inception of *Tomorrow's Schools* there had been an exponential growth in the number of court proceedings involving conflicts of governance and management between principals and boards of trustees. The researcher wanted to determine the views of principals and board chairpersons on governance and management and undertake an in-depth study of a sample of secondary schools' governance-management interface.

A considerable body of quantitative and qualitative research literature has examined the background to the educational reforms and the delivery and implementation of the 'self-management' model. Of particular relevance to this study is the fact that New Zealand followed the 'New-Right' philosophy that was sweeping other westernised countries and devolved the responsibility and accountability for the provision of education to local communities. Empowerment of local communities was seen to be an essential ingredient in ensuring that the 'self-management' model succeeded.

Evidence in this study suggests that the roles of governance and management are not truly split as was envisaged by the initiators of the educational reforms. There appears to be a merging of the two roles and negotiation of the two roles is needed between the principal and the board of trustees. The governance-management interface that has been developed over the last decade has done so owing to each school's interpretation of *Tomorrow's Schools* guidelines and the relevant sections of the *Education Act 1989*. While the participants in this study indicate a satisfaction with their governance-management interface, there are dissatisfactions with the current model and these have been recorded. The majority of the participants in this study see the principal as an integral part of the board, despite the fact that he/she is both an employee of the board and an employer of staff. Conflict between the two roles had occurred and the schools were able to deal with these in-house or by providing professional development in the areas of concern.

In the researcher's opinion, if schools wish to ensure that the governance and management of their school is run in such a way that the board governs and the principal manages, then aspects of John Carver's (1997) Policy Governance model provides them with a vehicle to do so. This model sharpens the board's focus on governance and the ends they wish to achieve, and provides the principal with empowerment to develop and implement the means needed to achieve the prescribed ends.

The current model of governance and management is working for the majority of schools. However, the "one glove fits all approach" is not appropriate for all schools. Evidence in this study shows that there does need to be a reappraisal of some issues that surround the 'self-management' model. Because schools exist to promote teaching and learning and the board of trustees and principals are charged with the responsibility for showing gains in student learning, ways must be found to further enhance the governance and management functions.

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## GLOSSARY

### **BOT**

#### **Board of Trustees**

A group legally constituted as a corporate body under the *Education Act 1989*. They have the responsibility of governing the school.

### **Charter**

Each school in New Zealand has a charter that is a signed contract between the school (BOT) and the Minister of Education (MOE). It outlines the school's mission statement, includes how the school will incorporate the *NEG's* and the school's goals for the education of its students.

### **Decile**

All state schools in New Zealand are ranked into deciles (10% groupings), ranging from 1 (the lowest) to 10 (the highest). This is calculated by assessing the socio-economic status of a sample of students in the school. The lower the decile rating, the more targeted funding for educational achievement a school receives.

### **ERO**

#### **Education Review Office**

This is an independent body which reports directly to the Minister of Education. Education Review Officers review the performance of educational institutions on a three yearly cycle and their written reports are available for public scrutiny.

### **Governance/Management**

In the discourse of *Tomorrow's Schools*, these two terms differentiate between the respective roles and responsibilities of the BOT (governance) and the Principal and teaching professionals (management). The *Education Act 1989* states that the BOT will govern (section 75) and the Principal will manage (section 76). However, there is often a lack of understanding of the boundaries between these two roles and often conflict arises.

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**LEA's****Local Education Authorities**

Corporate bodies in England and Wales who are responsible for the funding and resourcing of schools within their geographical boundaries.

**LMS****Local Management of Schools**

In England and Wales, funding and resource management is devolved to governing bodies and school staff. In schools becoming locally managed, they limit the powers of the LEA's.

**MOE****Ministry of Education**

This is the statutory body who controls education in New Zealand.

**NAG's****National Administration Guidelines**

These were gazetted in April 1993. They provide the statutory basis for boards of trustees to deliver on their governance and management functions. Central government through the Ministry of Education, determines the NAG's and it is a mandatory requirement for all schools to implement these guidelines in their policies and practices.

**NEG's****National Education Goals**

These were gazetted in April 1993. They are deemed to be part of every school's charter. Central government through the Ministry of Education, determines the NEG's and it is a mandatory requirement for all schools to be achieving these goals through the delivery of their academic, pastoral care, and sporting and cultural programmes.

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**NZCER****New Zealand Council of Education Research**

NZCER is a not-for-profit organisation with a bicultural focus whose mission is to support educators through quality research, resources and information.

**NZEI****New Zealand Educational Institute**

Union for Early Childhood, Primary and Intermediate Teachers’.

**NZPPTA****New Zealand Post Primary Teachers’ Association**

Union for Secondary Teachers’.

**NZQA****New Zealand Qualifications Authority**

A specialised agency of the Ministry of Education, responsible for the assessment of curriculum and qualifications.

**NZSTA****New Zealand Schools Trustees’ Association**

This is the national body that represents boards of trustees of all state and integrated schools who pay a membership fee to belong. Often referred to as STA (Star).

**OECD****Organisation for Economic and Co-Operative Development**

A group of countries that are grouped together for international statistical comparison.

**OFSTED****Office for Standards in Education**

The English and Welsh equivalent of *ERO*.

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**Tomorrow's Schools**

The umbrella term used to characterize the changes that occurred to educational administration in New Zealand in the late 1980's. Namely, the decentralization of management from central government to local communities.

**Trustees**

In a New Zealand Secondary School, the board of trustees comprises of the following people –

- The Principal

- An elected Staff representative.

- An elected Student representative (optional – Mandatory since September 2000).

- Between three and seven elected trustees.

- Between two and six co-opted trustees (optional).

A board would have a minimum of five trustees and a maximum of sixteen. Each of the individuals is a trustee and has equal voting votes. However, the chairperson does have the casting vote.

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## CHAPTER ONE

### INTRODUCTION

#### *Background to the Study*

Wide ranging changes to the administration of New Zealand schools were heralded by the introduction of *Tomorrow's Schools*, with the aim of improving the education system by providing schools with greater independence and flexibility. Boards of trustees were delegated the responsibility of governing their schools, while the principals were given the responsibility of managing the schools.

The concepts of governance and management have been difficult to understand with clarity for both boards of trustees and principals.

Based on the way the *Tomorrow's Schools* model is actually practised in schools, it is evident that there is not a clear distinction between governance and management. For example Kelly (1998) writes:

I have already noted that the simplistic notion that boards govern and principals manage was advanced as a way to think how schools work. It was apparent from an early stage that such a definition caused confusion rather than clarity, but in the absence of any clear alternative this way of thinking about a school's operation has persisted. The split between governance and management actually helps polarise the roles of board and principal and may have been instrumental in creating or enhancing personnel tensions at some schools. On reflection, it is with regret that I must note that we should have made it clearer to trustees that this was an artificial situation and that boards have complete flexibility to determine the management structures which best suited their own individual schools....

.... The division of duty and labour along a governance and management dimension clearly restricted the development of this shared culture.

It is the researcher's view that the concept of establishing a partnership between the key stakeholders that is inherent in the *Tomorrow's Schools* model relies on both boards of trustees and principals working towards interdependence and dualism, not independence and separatism.

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This study was undertaken as the researcher felt that there was a need to clarify the distinctions between governance and management and a need to find ways of dealing effectively with conflict between boards of trustees and principals when it arises. This need has assumed great significance since the inception of *Tomorrow's Schools*.

These issues have certainly been prominent in the public mind and they have generated media headlines, the most notable example to date being *Hobday vs Timaru Girls' High School Board of Trustees (1994)*. A judgement of \$243,167 was awarded to the principal (as reparation) in the Employment Court largely due to the inadequate understanding of the governance and management roles on the part of the board of trustees.

Legislation briefly defines the roles and functions of boards of trustees and principals. Boards are delegated the responsibility of governing the school under section 75 of the *Education Act 1989*. Under section 76, principals have the responsibility of managing the school. As an employee of the board, a principal must obey the employer's reasonable direction, and the board for its part must act as a good employer as defined by the *State Sector Act 1988*. The 1989 Act states that the board has ultimate authority and responsibility for all school decisions but under this arrangement, the roles of the board and principal are not mutually exclusive. Therefore, conflicts of interest between boards of trustees and principals are likely to arise.

The researcher's interest in this area became apparent after she was appointed to a senior management position in a rural, decile four, coeducational state secondary school in October 1996. The role of a senior manager in *Tomorrow's Schools* demanded that she acquire a thorough understanding of educational administration roles, responsibilities, practices and procedures. She was interested in the unique governance-management interface that *Tomorrow's Schools* had created.

### ***What the Thesis Did***

While legislation provides the framework for the operation of the governance/management interface, it is up to the board of trustees and principal to determine their respective roles of

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governance and management. The researcher wanted to determine how the governance/management interface was determined by boards of trustees and principals in state secondary schools in a large provincial area of New Zealand.

From the literature that the researcher had read and from her understanding of the governance/management interface, it was believed that the majority of secondary schools in New Zealand had adopted a modified hierarchical governance/management structure, where the board governs by defining organisational philosophy, ends and outputs and providing the resources to do so.

However, the present trustee model created by *Tomorrow's Schools* provides schools with the flexibility to have in operation their own unique governance-management interface. *Tomorrow's Schools* in action signifies a collaborative governance/management structure, where the chief executive officer (the principal) is a full board member, the board is the employer and the government has defined most of the ends and outputs to be achieved.

Figure 1.1 (page 4) illustrates both the hierarchical and collaborative models.

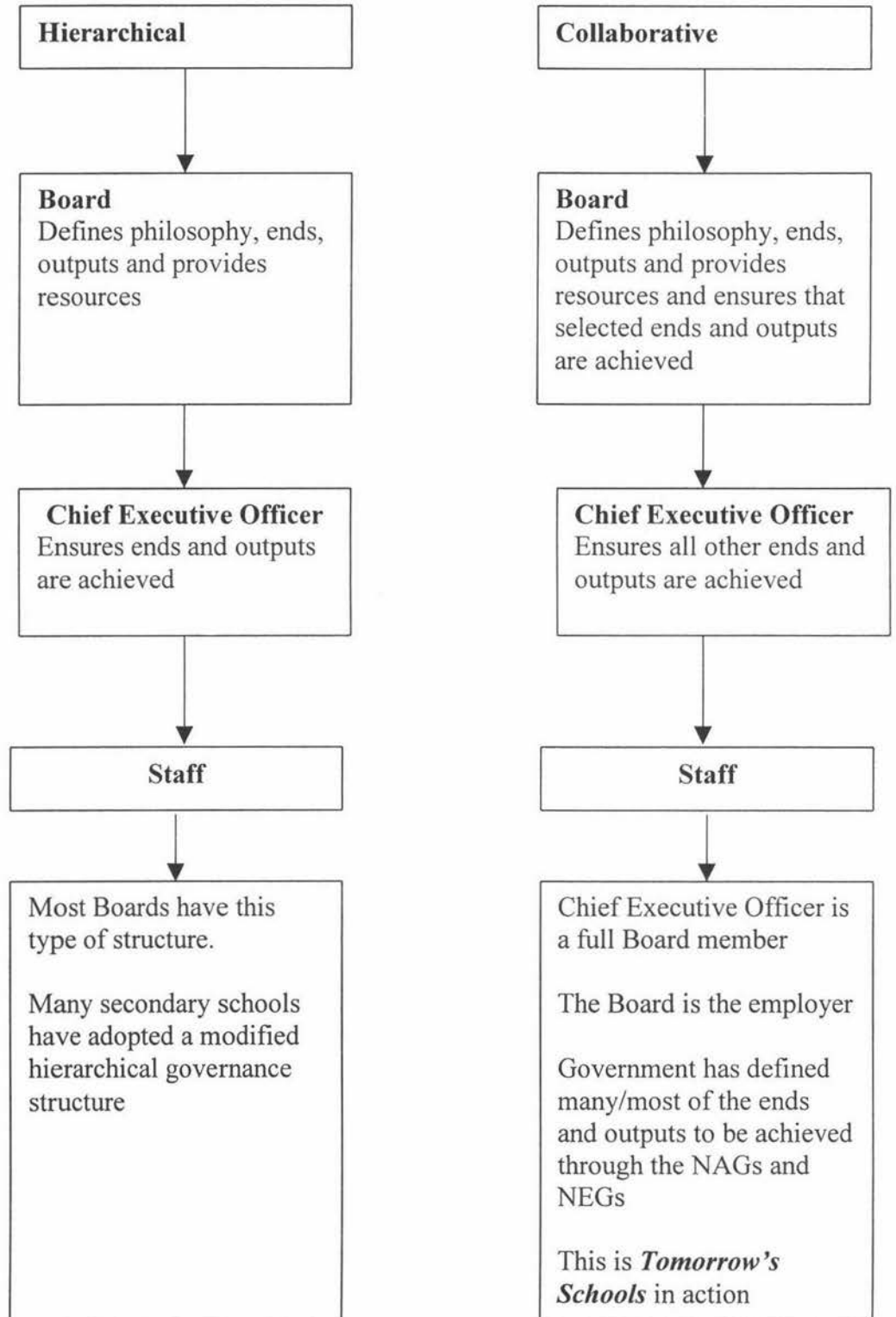
John Carver advocates that the researcher as the theoretical base in this study use this collaborative governance-management structure and his philosophy. Carver espouses that the principles of governance and management are closely related but that governance is *more than management*.

Carver claims that a modern approach to governance and management enables the board to cut quickly to the heart of the organisation and not be seduced into action or paralysed into inaction. He states that the secret to a successful governance/management interface is in "policy governance", which is "policy making of a finely crafted sort." (Carver, 1997:22).

Carver advocates that all policies that live within the organisation must be consistent with broader policies enunciated by governing leadership. This means the board can govern without meddling in management.

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# Governance Structures



**Figure 1.1** Governance structures that can be in place in schools  
Source – A M Taylor, 2000

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Carver's philosophy is matched against the governance/management interface data that the researcher obtained from her participants, to determine what governance/management interface had been put in operation by boards of trustees and principals in state secondary schools in a large provincial area of New Zealand.

Mark Farnsworth of Farnsworth Bishop Associates provides boards of trustees and principals training in governance and management. His firm advocates that under the trustee model, the governance/management interface is not a set function - rather it is a negotiated function. The researcher will be using a governance/management perception exercise (the intellectual property of Farnsworth Bishop Associates) in Phase II of the study and the results will be analysed in Chapter Five.

The researcher also explored the unique stance that a principal has because of *Tomorrow's Schools*. Can a principal be seen as standing somewhere apart from the board of which he/she is a member? The unique governance/management interface created by *Tomorrow's Schools* sees the principal as a full member of the board and as the professional and instructional leader and manager of the school. This creates a paradoxical relationship because in being a member of the board, the principal is in the position of being at the same time both employer and employee.

This dual role can create difficulties and the researcher believes that role clarity is imperative to a harmonious working relationship between the board of trustees and the principal. This research determines how many secondary schools in a large provincial area of New Zealand clearly define the roles and responsibilities of the both the board of trustees and the principal.

Finally, this study investigates the area of conflict between the board of trustees and principal over governance and management issues. If conflicts arise, how are they solved?

### ***The Nature of the Study***

Three key research questions formed the focus of the study. These were:

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- (i) To investigate how boards of trustees and principals determine and perceive their respective roles of governance and management. Is there clear demarcation of roles or is there a spectrum or continuum of shared power?
  - (ii) To determine whether principals can be seen as standing somewhere apart from the board of which they are members. What is the principal's role and relationship with the board?
  - (iii) If conflicts of governance and management arise, how are these solved?

The research sought to identify how many state secondary schools clearly demarcate their governance and management roles between the board of trustees and the principal. The paradoxical role of the principal being both an employer and an employee was studied in-depth. If the board of trustees and principal had conflict(s) over governance and management issues, the solutions used to solve these were examined.

#### **A Brief Outline of the Methods and Techniques Used**

The researcher held discussions about the research proposal with Associate Professor Wayne L Edwards in 1999 as part of the preliminary work in preparation for this study. She also discussed the proposal with her principal, who was appointed prior to *Tomorrow's Schools*, an educationalist who has a wealth of knowledge and experience pre and post *Picot*. Strong support and assistance was provided with the identification of a suitable sample size within the provincial area of study. This enabled appropriate participants to be identified.

In order to obtain data for analysis, this study involved obtaining information from state secondary schools in a large provincial area of New Zealand. Within this provincial area, there are forty schools. However, the researcher's own school is in this region and, hence, the maximum sample size was thirty-nine.

#### ***Limitations Identified in the Study***

A number of limitations were identified in the study.

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- The research was confined to a large provincial area of New Zealand. This area was where the researcher had knowledge of school situations and where her personal networks could assist with the study. However, due to this focus upon one area of New Zealand, the study did not present a complete picture of the governance/management interface for all secondary schools in New Zealand.
- The research was confined to state secondary schools. Integrated and private schools were not included in the study.
- The gender imbalance between male and female participants was a limitation. In Phase I, twenty-eight participants were male, eight were female. In Phase II, twelve participants were male, four were female.
- The maximum sample size available in Phase I was thirty-nine schools. Of those thirty-nine, thirteen schools had both the board of trustees chairperson and principal participate. Four schools had the principal participate and six schools had the board of trustees chairperson participate. A larger sample size would have enhanced the validity of the study.
- The maximum sample size available in Phase II was thirteen schools. Of those thirteen, only eight schools chose to participate in Phase II, which was the maximum number the researcher had hoped for. However, while these eight schools provided ‘maximum variation’ to a certain degree, the researcher believed that if lower decile schools had agreed to participate, the validity of her study would have been enhanced.

### ***Organisation of the Thesis***

The discourse of *Tomorrow's Schools* created new concepts, organisational structures, systems and jargon. A glossary of terms used throughout this document is included prior to this chapter.

There are two sources of quotations used throughout this text. References made in the body of text to other writings and writers, and to their words and data, are acknowledged by the use of quotation marks and indented and referenced as prescribed by academic protocols.

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The other quotations are from the board of trustees chairpersons' and principals', the participants in this study. These are indented and appear in italics.

The thesis is set out as follows:

Chapter One provides an introduction to the research. It outlines the nature and structure of the thesis, the location used and the researcher's reasons for selecting the topic. The key research questions upon which the study was based are defined.

Chapter Two provides a detailed review of the literature from an international perspective and a New Zealand perspective. It verifies the point that many westernized countries decentralised the provision of education to local communities as part of the 'New Right Ideology.'

Chapter Three provides a description of the quantitative and qualitative approaches used to gather data for the study and a discussion of the methodology used is also presented.

Quantitative data from the postal questionnaire (phase I of the study) is presented in Chapter Four. The readers will be able to draw their own conclusions from the statistical data represented. Within this Chapter, data is presented as one homogenous group and then it is broken down into two parts – principals' responses versus board chairpersons' responses and low decile schools' responses versus high decile schools' responses.

Detailed narrative data obtained from interviews (phase II of the study) with participants is presented as objectively as possible in Chapter Five. The researcher believes that this will allow readers to draw their own conclusions about the governance-management interface. Within this Chapter, data from Phase I and Phase II is sometimes reported separately. This permits the reader a closer examination of the participants' perceptions of the governance/management interface. A variety of themes is used to define research findings.

Chapter Six examines each of the three research questions and draws on the literature presented in Chapter Two as the basis of a broader discussion.

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Chapter Seven discusses the results of the research in relation to the three key research questions posited by the researcher. The data suggests that the governance-management interface that is in operation within each school is different due to the interpretations of the relevant legislation and the relationship that exists between the principal and board of trustees. The data verifies that Carver's (1997) Policy Governance model is being used in part by some of the seven schools interviewed in Phase II of data collection.

The conclusions obtained from the research are identified in Chapter Eight. This chapter discusses that while the split between governance and management is less pure than first envisaged by the initiators of the reforms, schools are operating a governance-management interface that is meeting the majority of their school's needs. The chapter concludes with some recommendations for future action, problems associated with the research and suggestions of topics that require further investigation.

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## CHAPTER TWO

### REVIEW OF THE LITERATURE

#### *Introduction*

This chapter, which is divided into two sections, examines the governance and management of secondary schools from both an international and a New Zealand perspective.

Part One considers the international educational context of governance and management of state schools. It is imperative for the researcher to consider the international context, as there has been a global trend in westernised countries to decentralise the provision of education and the influence of what occurred in other countries on what eventuated in New Zealand in the late 1980s. In this chapter there is an examination of the historical provision of education in each country, followed by the reasons educational reforms were undertaken, what impact on governance and management these reforms had, and an analysis of the governance and management structures in place today.

Common themes of governance and management in the educational arena will be identified.

The second part of this chapter considers the New Zealand educational context to establish the scene for the data presented in Chapter Four. It will focus on the historical background of the provision of education, followed by the analysis of the educational reforms and concerns about the governance/management interface that have arisen since 1989. Two key educational law cases will be presented as evidence that the governance/management interface, as espoused by *Tomorrow's Schools* and the *Education Act 1989*, is not "crystal clear" and that conflicts between principals and boards of trustees can arise and often do. These two cases highlight the necessity of key stakeholders to be fully conversant with their respective roles and responsibilities.

Information which sparked this investigation such as research evidence and statistics is also discussed.

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<b>PART ONE: INTERNATIONAL RESEARCH</b>
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*Australia***Historical Background of the Provision of Education**

Prior to the early 1970s, public secondary education in Australia had been administered in each state through the centralised state government departments of education.

These government departments had hierarchical infrastructures and bureaucratic officials kept a tight control on school decision-making. The department determined inspectors and statewide external examinations at the conclusion of students' secondary schooling controlled the curriculum.

Finance came from state sources and there was only a small proportion for discretionary use, apart from fund-raising and voluntary contributions from parents and the local community.

In 1973, the *Australian Schools Commission* (now the *Commonwealth Schools Commission*) heralded the involvement of the federal government in the governance of secondary schools. Grants were administered to achieve equity among schools and equal opportunities for students.

Education departments were decentralised in several states and regional units were formed. South Australia and the Australian Capital Territory took the lead in the decentralisation process by providing schools with greater autonomy and on-site school councils or boards were formed. They had an advisory role with limited decision-making powers.

The state of Victoria continued with the decentralisation of school governance between the 1970s and 1980s. In 1975,

The state government of Victoria required all government schools to establish school-site councils of teachers, parents and other members of the school community. A variety of models were offered as a guide, with most providing powers of advice only to principals and staff. (Caldwell & Spinks, 1988:13).

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The Liberal government undertook this decentralisation of schools. However, 1983 saw the Australian Labour Party elected and new government commitment to further decentralisation.

### **Educational Reforms and the Impact on Governance and Management**

During the mid to late 1980s, “every state and territory system of education in Australia went through management reviews and reconstruction.” (Beare in Evers & Chapman, 1995:144). Private enterprise and governmental officials, advocating changes to education ministries, produced many documents. The 1980s were a period of great political, economic and social change for many westernised countries. These very issues influenced the researcher’s interest in this study. Having a first degree in business enables her to analyse the application of business management models to the provision of a public good, namely education.

The administration of education was targeted for structural reform because the tight control on schools within the existing centralised bureaucratic system was no longer viable. Business models from the private sector were being applied to the provision of public goods and services. The aim was to make these government departments more efficient and practise sound business principles.

The state of Victoria led the way towards self-managing schools. Ministerial papers were prepared and presented and the first paper advocated

.... Five guiding principles: genuine devolution of authority and responsibility to the school community; collaborative decision-making processes; a responsive bureaucracy, the main function of which is to serve and assist schools; effectiveness of educational outcomes; and the active redress of disadvantage and discrimination. (Caldwell & Spinks, 1988:14).

These papers heralded the Victorian state government’s intention to ensure that school councils, which were made up of parents and representatives from the local community, would have a major role in deciding policies and practices for schools.

School-based management was emerging. The Victorian state government instigated two further strategies:

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(i) *School Improvement Plan*

The purpose of this was “.... to encourage and support collaborative practices between parents, students and teachers in schools and to encourage and support a cyclical process of school evaluation, planning, implementation and re-evaluation.” (Caldwell & Spinks, 1988:14).

(ii) *Programme Budgeting*

In 1984, a five-year plan for the introduction of programme budgeting in 2,200 public schools was introduced. A pilot project began and by the end of 1986 over 1,100 schools had attended seminars to ensure the principals, teachers, parents and students knew what was required.

In 1986, the *ERO Structures Project Team* made recommendations to the Victorian state government and the team advocated government schools should become “self-governing schools.” “The recommendation is similar to that of the provision on the *Conservative Manifesto* in Britain in 1987 for schools to ‘opt out’ of an LEA.” (Caldwell & Spinks, 1988:15). Government schools would receive funding from the state and be expected to implement policies and practices in-line with government educational goals. The councils would govern the schools and be accountable to the state.

### **Governance and Management Structures in Place Today**

As early as 1872, parental involvement in education in Australia was encouraged. The *Education Act 1872* (sections 14 & 16) stated that each school was to have a board of advice, which included parents and citizen representation.

In 1973, the Karmel Report, *Schools in Australia*, was published and it was “.... a seminal influence in developing the broader participation of parents and community within local schools.” (Knight in Evers & Chapman, 1995:255). Prior to the publication of this report, La Trobe University’s Schools of Education in 1971 provided

.... a school-based and curriculum-oriented course of teacher education of two years duration, in an inner-urban girls’ secondary school (Claydon, 1975). Part of the brief of this task force was to ‘involve parents in its decision-making processes and at the same time, to involve itself in the community, to break out of the fortress and

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meet people where they lived and worked.' (Gill, 1975:163). (Knight in Evers & Chapman, 1995:255)

This is highly relevant in the context of this study, as parental/community involvement plays a huge role in the provision of education in New Zealand and determines the governance/management interface that operates in each school.

In 1973, the Director-General of the Victorian Department of Education advocated that school councils should be larger, have wider powers and be divided into two areas;

- (i) *The School Council*, made up of fifteen-seventeen members who were elected or nominated, representing parents and the community. Their responsibilities included maintenance, community use of facilities, administering grants and Education Department funds and providing advice to the principal on education policies.
- (ii) *The School Education Committee*, representing staff, parents, the community, school council and students. Their responsibilities included advising the principal and *School Council* on issues pertaining to the school's education programme.

This report became legislation. It was the first time since 1872 that parents and communities were to be involved in influencing policy in schools. Many educationalists supported the move but many teachers reacted cynically. The aim of the legislation was to provide improved educational opportunities.

In the 1980s, "... there was a movement from parental duties (parental involvement) to parent participation in school decision-making." (Knight in Evers & Chapman, 1995:257). A partnership between parents and schools was to evolve, whereby parents and educational professionals would decide the goals of education and the policies and systems that needed to be implemented to achieve the goals. It was a movement towards collaborative decision-making. School councils were to be empowered further. Democracy was in operation.

The governance of the school lies with the school council who are stewards of the school and have responsibility for its overall welfare and quality. At the simplest, practical level, the school council must undertake the following:

- (i) To set goals for the school.
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- (ii) To appoint the school's principal.
  - (iii) To oversee the plans of managers for the acquisition and organisation of financial and human resources towards the attainment of the school's goals.
  - (iv) To review at reasonable intervals the school's progress towards attaining the goals.
- Council members are not expected to be involved in the day-to-day management of the school. They are expected to establish objectives and policies and supervise their implementation.

At the most complex level, the school council had to be able to assist and support the principal to define the future, to decide upon a vision for the school, to set curriculum and co-curriculum in accordance with the vision, and to provide the resourcing to enable staff to achieve the educational goals under the professional and educational leadership of the principal. A trusted synergy between the school council and the principal would ensure that progress was made towards achieving the educational goals of the school.

These very issues influenced the researcher to undertake this study because, as advocated by John Carver in his publications entitled *Boards that Make a Difference* (1997) and *Reinventing Your Board* (1997), boards (boards of trustees) should govern using a policy-focused framework and managers (principals) should manage. Carver's theory will be applied to the results obtained by the researcher in Chapter Four.

### ***Canada***

#### **Historical Background of the Provision of Education**

From the mid nineteenth century until the 1960's, school administration and supervision was divided between provincial authorities and local school boards. Curriculum, resources, examinations, teacher training, certification and supervision were the responsibility of the provincial authorities. Local school boards were responsible for "... supporting the provision of schooling, such as buildings and personnel policies." (Allison in Leithwood & Musella, 1991:223).

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In 1905, nine of the ten provinces in Canada had central educational authorities. Newfoundland, the tenth province, joined in 1949. There was centralised control and the provincial Departments of Education were hierarchical and bureaucratic. Chief provincial superintendents were appointed and they were accountable to Cabinet. “While Canadian systems of public schooling were centrally designed and regulated, the systems themselves were created school by school, in and by local communities.” (Allison in Leithwood & Musella, 1991:227). Provincial legislation regulated how school boards were to carry out their assigned responsibilities.

### **Educational Reforms and the Impact on Governance and Management**

The Edmonton Public School District in Alberta led the way in educational reform in Canada. This district moved to school-site decision-making in the late 1970s. Decisions relating to allocating resources were decentralised to school boards. School-based budgeting began as a pilot scheme, but by the early 1980s over 200 schools in this district had become involved.

The educational reforms were instigated because the Education Department was viewed as inefficient and ineffective. Decentralisation was seen as the appropriate vehicle to provide school boards with greater autonomy and allow them to respond better to local communities’ needs.

Systems have been implemented over the years to include a “framework of district priorities and accountability mechanisms, with a key role for assessment against standards and opinion surveys.” (Caldwell & Spinks, 1998:9). Self-management for school boards was the intention of the educational reforms in Canada from the outset.

### **Governance and Management Structures in Place Today**

In Saskatchewan, school boards derive their governance authority from provincial government. The school board is a corporation, an entity composed of members, who are elected by and accountable to their electors as well as to the Crown.

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The *Education Act 1985* provides the mandate for school board operations. School boards have discretion in administering the mandate; they decide what to delegate to staff and what to focus on themselves.

The school board establishes the policies and principles for the school. They formulate goal and mission statements, policy statements, and organisational strategy and allocate resources. The chief executive officer, the principal, and his/her staff, implement the school board's policies and principles.

The principal is a member and employee of the school. The principal is involved in shaping policy with the board and providing the educational and professional leadership to the staff, necessary to achieve organisational goals. The relationship between the principal and the school board is paradoxical because for many important decisions, the school board has final authority. Yet, it must rely on the principal for policy administration and implementation. This study tries to examine closely this paradoxical relationship because the principal is the chief executive officer of the board and is it possible for him/her to stand somewhere apart from the board?

The Saskatchewan School Trustees Association advocates that in order to avoid conflict between the principal and the board, better communication and a collaborative partnership will ensure a harmonious working relationship. This of course enables the principal and staff to achieve the educational goals and objectives of the school board. This point was made in a number of academic readings on the governance/management interface and it encouraged the researcher to investigate more closely the relationship between two of the key stakeholders in the provision of education.

### ***England and Wales***

#### **Historical Background of the Provision of Education**

By the conclusion of the nineteenth century, there was a need for a national system of education in England. The establishment of a single, central department and a single type of local authority would ensure co-ordination and efficiency.

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Thus, the *1902 Education Act* was passed and its main aspects were:

- (i) School boards, school attendance committees and technical instruction committees were replaced by 300 *Local Education Authorities (LEAs)*, which covered the whole country.
- (ii) Funding was provided to voluntary schools to cover their costs. The administration of voluntary schools was the responsibility of *Local Education Authorities*.
- (iii) An expansion of secondary and further education.

With the *1944 Education Act* there was increased importance and effectiveness of local educational administration. County and County Borough Councils were given the sole responsibility for education. In 1972, the *Local Government Act* restructured the administration of education by:

- (i) Reducing the number of English and Welsh local education authorities from 143 to 83 outside greater London.
- (ii) In West Midlands, greater Manchester, Merseyside, West Yorkshire, South Yorkshire and Tyneside, a two-tier system of six metropolitan areas divided into thirty-six metropolitan districts was introduced. The metropolitan districts had responsibility for education.
- (iii) The remainder of the country had a two-tier system of forty-seven counties divided into 300 districts.

The *1980 Education Act* gave new rights of parental choices of schools and the *1981 Education Act* introduced consultation with parents about the education of children with special needs. The *1986 Education Act* increased parental and other local involvement in school governance.

The next reforms came about in 1987, when the *Conservative Manifesto* proposed four major reforms that signified a movement from centralisation to decentralisation. The *1988 Education Reform Act* was passed and it was a further cornerstone in the structural reform of educational administration in England and Wales. It indicated the move towards individual consumer choice and a market-driven, new right ideology.

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### **Educational reforms and the Impact on Governance and Management**

The *1988 Education Reform Act* heralded reforms to educational administration that a 'Thatcherite' government had espoused as necessary to ensure that schools kept pace with the business world. Comparison of schools, competition and choice were seen as vital ingredients in making schools more efficient and ultimately more effective.

The *1988 Education Reform Act* saw the following measures being implemented:

- (i) The establishment of a national curriculum.
- (ii) Testing of pupils and the publishing of results in *League Tables*.
- (iii) Popular schools were required to fill-up.
- (iv) Budget delegation.
- (v) Schools could 'opt-out' of local education authority management and be financed by central government. Schools would then become *Locally Managed Schools (LMS)* and be governed by a board of governors.

As shown in part two of this chapter, the researcher examines how the New Zealand educational reforms were modeled to a certain degree on the reforms undertaken by England and Wales and how legislation provided the appropriate vehicle for the government to achieve their objectives and goals for education.

In 1992, further education colleges were removed from local education authority control and they were made into independent corporate bodies. An *Office for Standards in Education (OFSTED)* was established to ensure accountability. *OFSTED* carry out systematic reviews of schools and reports are made available for stakeholders. The New Zealand equivalent is the *Education Review Office (ERO)*.

### **Governance and Management Structures in Place Today**

As a result of the *1988 Education Reform Act*, "... Deem (1990) observes, 'Governors now have the power, in theory, to run schools.' (p.169)." (Grace, 1995:76). Governing bodies preside over decisions relating to curriculum and pedagogy, organisation of schools, financing, resources, staffing, community relations and the appointment and salaries of principals and teachers.

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Prior to the *1988 Education Reform Act*, head-teachers (principals) had enjoyed autonomous school leadership dating from the early twentieth century:

Both the power relations and the cultural symbolism of this form manifest school leadership were legitimated and sanctified by the legacy of the public school 'headmaster traditions' and by later social democratic notions of professional expertise and authority. (Grace, 1995:76).

*Local Management of Schools* heralded the empowerment of the local community. Boards of governors were to 'govern' the school, the head-teacher to 'manage' the school. Grace (1995) reports that an inquiry into the relationship between governors and head-teachers after the enactment of the *1988 Education Reform Act*, head-teachers reported that their working relationships with the board of governors had not dramatically changed, however there was more preparation for the governors' meetings. Many head-teachers reported positive working relationships and being in " .... fortunate possession of 'good' governors." (Grace, 1995:77). 'Good governors' were governors who gave the head-teacher no trouble and " .... were not inclined to challenge the manifest school leadership of the teacher." (Grace, 1995:78).

The very issue of a positive working relationship between the principal and board of trustees influenced the researcher to analyse further the relationship that operates within the secondary schools in the provincial area under study.

Inquires from 1990-1994 revealed that head-teachers had noticed a change in the culture of governors as a result of " .... more assertion or activism with a potential for 'interference'." (Grace, 1995:81). The empowerment of the governors who were not educational professionals became a concern for some head-teachers. The power of governing bodies had become a cause for concern in some schools in England and Wales because there was an overlap of governance and management roles and responsibilities caused by the educational reforms.

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## ***South Africa***

### **Historical Background of the Provision of Education**

For over fifty years, apartheid had severely damaged the provision of education in South Africa. Unfortunately, apartheid had created an education system that was often interrupted by resistance to authoritarianism.

The central government had control over funding and curriculum. Schools were run strictly according to the code set by government. There were inequalities between schools and between regions. There was a passive acceptance by educational professionals and students of the pedagogy that was practised in schools.

### **Educational Reforms and the Impact on Governance and Management**

Apartheid created a compliance that meant citizens could accept whatever schooling was available, depending on their race. "Education was at the forefront of resistance to apartheid but initially this took the form of a complete rejection of apartheid education captured in the slogan, 'liberation now, education later.' " (Harber, 1998:17)

From the mid 1980s onwards, issues that affected the reform of the nature of education became more prominent. In 1992, the first major white paper on education promoted the aim of education for democracy, which would ensure "... an education that promoted equality, based on human rights, co-operation, mutual respect and the skills of peaceful conflict management." (Harber, 1998:19).

1996 saw the legislation of the *South African Schools Act* being passed. It banned corporal punishment and all public schools in South Africa had to have governing bodies composed of parents, teachers, students and non-teaching staff. If necessary, other members of the community could be co-opted by the governing body.

### **Governance and Management Structures in Place Today**

"The Act stipulates, however, that there must be one more parent on the governing body than the combined total of all other members – parents must be in the majority." (Harber, 1998:20). All secondary schools have an elected *Representative Council of Learners* who

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will serve on the school's governing body. The exact numbers on each governing body is decided at provincial level. For example, in Gauteng, a secondary school with more than 630 students will have seven parents, two teachers, two students, one non-teaching staff member and the principal, a total of thirteen.

The powers of the governing body include:

- (i) The adoption of a code of conduct for the school.
- (ii) Deciding on school times.
- (iii) Control and maintenance of school property, buildings and grounds.
- (iv) Recommending and offering advice on the employment of educators and non-education staff paid for by the state.

(Harber, 1998:20).

The main reason for changing the structure was:

A school governance structure should involve all stakeholder groups, in active and responsible roles, encourage tolerance, rational discussion and collective decision-making. (Department of Education, 1996:16 in Harber, 1998:20-1).

It was also hoped that a re-vamped, more politically conscious and responsive education system would alleviate racial tensions. This study highlights repeatedly that education is not apolitical; it is very political.

Gauteng led the way in educational reform in South Africa. Many other provinces are seeking help and advice from Gauteng educational officials. In a country constantly in a state of political unrest, it is hoped that by implementing the educational reforms in all provinces, the government has taken a step in the right direction to achieve education for democracy.

### *United States of America*

#### **Historical Background to the Provision of Education**

In the United States, as early as 1721, trustee boards were elected to manage the financial affairs, hire a teacher and supervise the teaching of schools.

Some states and colonies experimented with central or regional administrative boards – and in some cases – county or township superintendents – but these were

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generally ad hoc, part-time appointments, and the duties and powers of incumbents were often unclear. (Allison in Leithwood & Musella, 1991:211).

State superintendencies were established in New York in 1812 and Maryland in 1826, although they were later discontinued and re-established in 1854 and 1864. As the nineteenth century progressed, there was pressure from prominent citizens to build a more comprehensive approach to public schooling

.... which would provide opportunities for all children to be educated in high quality common schools financed out of the public purse and operated according to more uniform standards. (Allison in Leithwood & Musella, 1991:212).

So what was created was a public education system where each state is responsible for the provision of education. Within each state, there was centralised, bureaucratic control of schools. State law created and empowered “.... locally-elected school boards having responsibility for schools in a district, subject to state laws and regulations.” (Caldwell & Spinks, 1988:15).

Finance to operate public schools came from local property taxes. However, finance in the 1980s came from the state government. “The federal government has played a small, significant but now diminishing role through a series of categorical grants generally designed to promote equality of opportunity.” (Caldwell & Spinks, 1988:15).

### **Educational Reforms and the Impact on Governance and Management**

School reforms began after the 1983 publication of *The National Commission on Excellence in Education Report, A Nation at Risk*. This report triggered one of the longest periods of school reform in United States history.

The reasoning behind the reforms was that a variety of individuals and organisations, including federal, state and local governments and private foundations, felt it necessary to improve the efficiency and ultimately the equity of schools.

*School-Based Management (SBM)* was first heralded in 1973 in New York. Schools were decentralised to the sub-district level. It was intended to decentralise decision-making and

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schools were to decide on curriculum, personnel and finance. The Florida and California districts followed New York. Parent advisory councils were also formed at this time.

From 1970-1990, *School-Based Management* was “adopted and implemented by school systems in literally every corner of the nation: from Washington to Florida and from California to Massachusetts (Ogawa, 1992:1).” (Murphy *et.al*, 1995:3). Authority for operating the school was devolved to local communities. Autonomy and participatory decision-making was at the heart of *School-Based Management* in the United States. In decentralising school control and lessening the power of the bureaucrats, superintendents, teachers, students and parents were empowered.

### **Governance and Management Structures in Place Today**

*School-Based Management* according to the *American Association of School Administrators (AASA)*, the *National Association of Elementary School Principals (NAESP)*, and the *National Association of Secondary School Principals (NASSP)* is successful because:

- (i) It allows competent individuals in schools to participate in decision-making that will improve learning.
- (ii) Gives the entire school community a voice in key decisions.
- (iii) It focuses on accountability for decisions.
- (iv) It enhances creativity.
- (v) Resources are directed to support the goals developed.
- (vi) Budgeting is more realistic as stakeholders are aware of the school’s financial status, spending and costs.
- (vii) It improves the morale of teachers and it fosters leadership.

Under *School-Based Management*, the school board establishes a clear vision and sets broad principles for the district and the schools. The superintendent and his/her district office staff facilitate the decisions made at the school level and provide assistance where needed in order to achieve the school’s vision.

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Most school districts create school management councils that include the principal, parents, teachers, support staff and students. The council's responsibilities include needs analysis and developing appropriate plans of action that establish statements of goals and objectives that are consistent with school board policies.

In some districts, the management council makes most school-level decisions. In other districts, the council involves the principal, who then makes the decisions. In either case, the principal has a large role in the decision-making process, either as part of a team or as the final decision-maker. The issue of the principal standing apart from the council (or board of trustees in the New Zealand context) of which he/she is a member, will be examined in depth by the researcher in Chapter Four.

For *School-Based Management* to work properly, the school board and superintendent must be supportive of the concept. They must trust the principal and councils to determine how to implement the district's goals at the school. A written agreement between the school board, superintendent and district office, principal and *School-Based Management Council* is recommended to specify the roles and responsibilities of each stakeholder group. This is to avoid any confusion as to roles, responsibilities and ultimately, accountability.

School governance in the United States has come under scrutiny. Local school "..... boards the traditional lynchpin of American educational governance (Twentieth Century Fund, 1992)" (Eric Digest, May 1993:Nbr 84), have been criticised by a variety of individuals owing to the frustration being experienced with school boards in several 'hot spots' across the United States. There have been a number of changes to the governance structure of some schools. For example, in Chicago, elected local councils have the majority of decision-making authority. In Kentucky, the

*Kentucky Education Reform Act 1990* grants far-reaching powers to the state and local councils. (Pipho, 1992). In 1991, Massachusetts devolved the nation's first elected school board in Boston and replaced it with one appointed by the Mayor." (Eric Digest, May 1993:Nbr 84).

The problem is in large cities, where schools struggle to meet the needs of the population, and school board-superintendent relationships are often strained. And with the reforms that

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created school-based management in some schools, school boards are managing and not governing.

Some schools have contracted out school management, as in Chelsea, Massachusetts, where Boston University runs the school system. Other states are creating charter schools, which is a school set up by a qualified group of institutions. Funding comes from the public and the school receives a charter from the state. It is not constrained by school districts and it must accept all students who apply.

There has also been an increase in Proprietary Schools in the United States of America. These are private schools that are owned and operated by private enterprise. They are run as businesses and for profit. Examples of such institutions are Mosaica Academy Charter School, run by Mosaica Education Inc; New York Edison Schools, run by Edison Schools Inc. For-profit schools teach “some 100,000 students at about 200 schools out of America’s fifty-three million children in kindergarten through twelfth grade. But they’re growing faster than a hungry two-year old.” (*BusinessWeek*, February 7, 2000, cover story). The marketplace for education is getting more and more competitive as time goes by.

### ***Common ‘International’ Themes on Governance and Management***

Prior to the educational reforms, Australia, Canada, England and Wales, South Africa and the United States of America all had centralised public systems of education. The common motive behind the reforms was to increase the efficiency and effectiveness of the provision of education, which would ultimately enhance student-learning outcomes.

In each country, responsibility for schools has been decentralised and they now have a significant amount of autonomy. They have the “.... authority and responsibility to make decisions related to the allocation of resources within a centrally determined framework of goals, policies, standards and accountabilities.” (Caldwell & Spinks, 1998:4-5). The schools will address

.... the goals, policies, standards and accountabilities that have been centrally determined for all schools in the system, as well, of course, in addressing these

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same matters as they may be unique in the local setting. (Caldwell & Spinks, 1998:5).

Because schools are in local community control and are a local community responsibility, people at the 'chalkface' are more responsive to delivering an education that achieves the goals that are centrally determined by the government currently in office.

As shown throughout Part One of this chapter, 'democracy', 'new-right market ideology' and 'parental involvement' are three of the key threads to the ideological change that occurred in the provision of education. While each country has had educational reforms to varying degrees, the end result has been the decentralisation of the provision of education, allowing key stakeholders to participate in their students' learning.

The centrally determined framework in each country enables schools to be self-managing. The schools are not autonomous or self-governing, as they are not wholly independent of the central framework. Governance of the schools in each country tends to be undertaken by school boards. Representation on these boards includes parents, teachers, students and in some countries, non-teaching staff. The school board is given the responsibility of governing, while the head-teacher (the principal) is given the responsibility of managing.

Perhaps it was inevitable that in creating self-managing schools, and the subsequent governance and management structures that were put in place, there would be a potential for conflict. The researcher decided that a closer analysis of the situation that exists in the New Zealand educational context was necessary so that an accurate picture could be obtained.

## **PART TWO: THE NEW ZEALAND PERSPECTIVE**

### **Historical Background of the Provision of Education**

Prior to the *1877 Education Act*, the administration of education in New Zealand was decentralised. After this legislation was enacted, the system moved towards complete centralisation. The Department of Education had control over the provision of education.

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The education system comprised the Department of Education, which was accountable to the Minister of Education and thirteen (later reduced to ten) regional education boards. There were local school committees for primary schools and boards of governors for secondary schools.

The Department of Education distributed grants to the education boards and secondary school boards on a capitation basis; it controlled the inspectorate; and it managed the staffing of schools and matters relating to curricula and examinations. (Mitchell *et.al*, 1993:5).

The education boards were accountable to the Department of Education.

The boards were required to 'establish, maintain, and control' the schools in their districts; to appoint teachers; to arrange transport for children to and from schools; and to disburse grants from the Department of Education. (Mitchell *et.al*, 1993:5).

The education system was hierarchical in structure and bureaucratic.

During the twentieth century, there were various attempts to restructure the education administration system. These include, the *Atmore Report* (the Department of Education 1930), the *Nordmeyer Report* on the Organisation and Administration (Education Department Conference 1974), the *McCombs Report* on Secondary Education (Department of Education 1976) and the *Report of the Curriculum Review* (Department of Education 1987). All of these included one or more of the following recommendations:

- (i) Reduce the dominant central control of the Education Department by giving more decision-making to schools.
- (ii) Give schools bulk grants to allocate freely.
- (iii) Enable primary school committees to participate in the appointment of principals and teachers.
- (iv) Make governing bodies more representative of their communities, particularly with regard to women, Maori and Pacific Island members.
- (v) Make alternative forms of schooling available within in the state system to meet the needs of students not being adequately catered for.

(Barrington, 1990 in Mitchell *et.al*, 1993:7).

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Between 1984-1987, restructuring in many government departments was foreshadowed due to the emergence of the 'New Right'. There does not seem to be a generic term that encompasses all the characteristics of the 'New Right Ideology.' However, the general view is ".... that state intervention to promote egalitarian social goals has caused the growing economic problems of western democracies. State intervention stifles individual initiative and invades individual rights." (Mitchell *et.al*, 1993:22). State departments needed to become more efficient and effective; thus many were privatised and market mechanisms would ensure that they became more competitive.

With the re-election of the Labour government in 1987, the Prime Minister, the Right Hon. David Lange took up the post of Minister of Education.

The Treasury produced two briefs for the incoming government. The first covered New Zealand's social system generally, while the second was devoted entirely to Education. (The Treasury, 1987). (Mitchell *et.al*, 1993:7)

Treasury posited that in order to improve equity, participation and achievement the state should move away from the provision of education to providing parents with information so that they could choose which schools to send their children to.

From 1987 to 1989, three reviews of education were carried out;

- (i) *Administering for Excellence: Effective Administration in Education*. This publication was the result of the taskforce engaged to review the primary and secondary sectors of education. It was the publication of Picot, Ramsay, Rosemergy, Wereta and Wise (1988), commonly referred to as the *Picot Report*. This document is pivotal in the educational administration reforms that the New Zealand education system underwent. An in-depth analysis of this document will occur in the next section.
- (ii) *Education to be More*. This review focused on early childhood education and is commonly referred to as the *Meade Report* (Early Childhood Care and Education Working Group, 1988).
- (iii) *Report on the Working Party on Post Compulsory Education and Training*. This review focused on the tertiary sector and is commonly referred to as the *Hawke Report* (Hawke, 1988).

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What followed these three reviews were three white papers “ .... which paralleled but were not identified to what had been written in the reviews.” (Mitchell *et.al*, 1993:8). Three policy documents were produced as a result of the reviews and white papers:

- (i) *Tomorrow's Schools*, catering for primary and secondary schools.
- (ii) *Before Five*, catering for early childhood education.
- (iii) *Learning for Life*, catering for tertiary education.

### **Educational Reforms and the Impact on Governance and Management**

On October 1 1989, the Department of Education was disestablished and *Tomorrow's Schools* was implemented. Education Boards and Regional Offices were abolished and the responsibility for the educational administration of primary and secondary schools was devolved to boards of trustees. The *Ministry of Education*, the *Education Review Office* (previously the Review and Audit Agency), the *Early Childhood Development Unit*, the *Special Education Service*, (SES), the *Teacher Registration Board* (TRB), and the *Parent Advocacy Council* were formed. The *Ministry of Education*, through its Chief Executive Officer, was accountable to the Minister of Education.

*Tomorrow's Schools* was implemented because:

- (i) The existing structures were too complex.
- (ii) There were variations in the administration according to:
  - The type of education provided;
  - The time period in which the institution was created, and;
  - The combination of classes and age groups being catered for.
- (iii) The education system needed improving:
  - Improving the learning opportunities for **ALL** children;
  - Making systems responsive to local needs, and;
  - Making better use of educational dollars.

“These improvements will result from greater parent involvement with schools, greater decision-making authority at the school level and local control of expenditure decisions.” (Ballard & Duncan, 1989:1).

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The then Minister of Education, the Right Hon. David Lange, reiterated the need for educational improvements as the main reason for change. In a pamphlet to parents and schools he stated:

We all want the best possible education for our children. Our schools must reach the highest standards. Our future depends upon the quality of education we provide now. For years people have been talking about what's wrong with the way our schools are run. Good people have struggled to do their best in a cumbersome old system.

We need schools, which will bring out the best in everyone – pupils, parents and teachers. Parents and teachers together will make decisions, which are at present made in offices in Wellington.

Our schools will be quicker to adapt to the needs of the modern world.  
(AST/B18.00/1.13)

*Tomorrow's Schools* brought about three basic changes at the school level:

- (i) The establishment of the board of trustees.
- (ii) The establishment of the charter.
- (iii) A clearer focus on the role of the principal.

The aim was to form a partnership that “seeks to achieve the aspirations of a national system of education and the local community as expressed in the school charter.” (Ballard & Duncan, 1989:1).

Boards of trustees were made up of five-elected parent representatives elected every three years, as well as a lesser number of co-opted members, a staff representative and a student representative. The board was delegated the responsibility of governing the school under section 75 of the *Education Act 1989*:

*S 75 Boards to control the management of schools* - Except to the extent that any enactment or the general law of New Zealand provides otherwise, a school board has the complete discretion to control the management of the school as it thinks fit. (Rishworth & Walsh, 1999:17-8).

Boards receive advice and guidance from the principal, *Ministry of Education* and its associated agencies, and the *New Zealand School Trustees' Association*.

The board of trustees' role was to be one of governance, with responsibility to:

- (i) Control the management of the school within current legislation and national educational guidelines.

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- (ii) Define the purpose for the school.
  - (iii) Set policies and goals for significant areas.
  - (iv) Appoint the principal and assess his/her performance in meeting the school's goals.
  - (v) Support the principal in managing the school.
  - (vi) Ensure the school is communicating effectively with the community.

Significantly, it was not expected that the board of trustees would be involved in the day to day running of the school. Kilmister (1989, 14-5) writes:

Governance describes a concern for the basic purpose of the organisation, or 'large picture', rather than the details of its parts.

This is the role of governance that is highly relevant in the context of this study, which the researcher hopes to investigate more closely in Chapter Four and Five.

The principal has the responsibility for managing the school under section 76 of the *Education Act 1989*;

Section 76 *Principals* – A school's principal is the board's chief executive in relation to the school's control and management. Except to the extent that any enactment or the general law of New Zealand provides otherwise; the principal

- (a) Shall comply with the board's general policy directions.
- (b) Subject to paragraph (a) of this subsection has complete discretion to manage as the principal thinks fit the school's day-to-day administration.

(Rishworth & Walsh, 1999:18).

The principal's role includes:

- (i) Being a lawful member of the board.
- (ii) Providing information and guidance to the board.
- (iii) Acting as the educational leader of the school.
- (iv) Managing the school within the law and in line with board policies and goals.
- (v) Overseeing the running of the school.
- (vi) Making recommendations to the board on the appointment of staff.
- (vii) Overseeing teacher appraisal and staff development programmes.

Kilmister (1989, 14-5) writes, "management is concerned for the organisation's end and is responsible for the ways or means by which these are achieved."

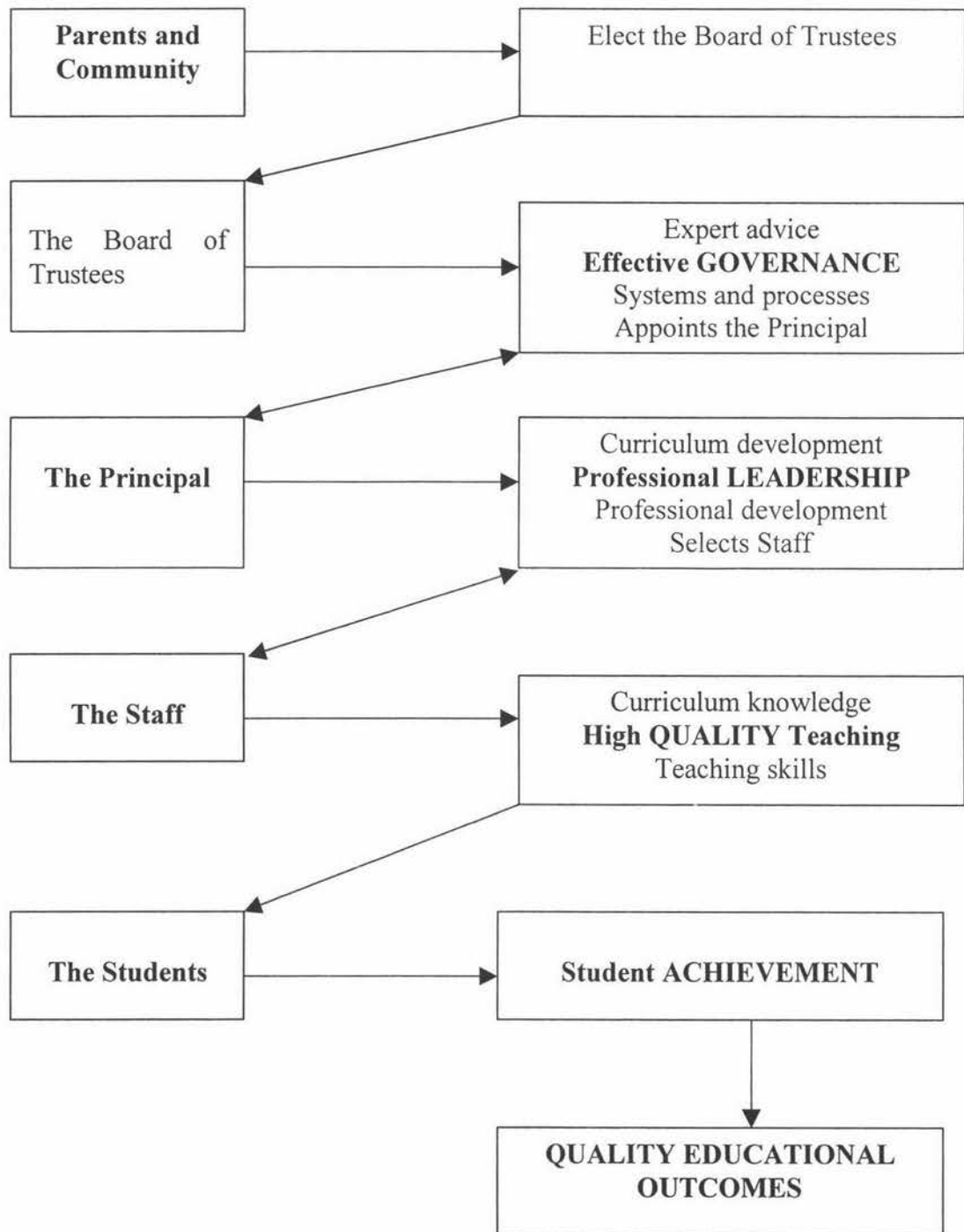
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Management should be hands-on operation, governance hands-off. Figure 2.1 (page 34) illustrates *Tomorrow's Schools* in action. The structure depicted is highly relevant to the context of this study, which the researcher hopes to investigate more closely in Chapter Five.

Given these definitions of governance and management and the wording of sections 75 and 76 of the *Education Act 1989*, there should be a clear understanding of the respective roles, expectations and responsibilities of boards and principals. However, there still exists some confusion about the boundaries between governance and management and this confusion was one of the issues that influenced the researcher to examine the governance/management interface more closely.

# Tomorrow's Schools and Governance



**Figure 2.1** The Governance Structure Created by *Tomorrow's Schools*  
Source – A M Taylor, 2000

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### **The Governance/Management Interface That Has Arisen in Schools Since 1989**

The *Education Act 1989* and its subsequent amendments have created a uniform model of governance where the power to operate the school system is devolved to local school communities through boards of trustees. Legislation provides boards with the complete discretion to control the management of the school as it thinks fit.

On the other hand, the principal must comply with the board's general policy directions while having complete discretion to manage the day-to-day administration as he/she thinks fit. While this may be seen as a clear demarcation of roles, the distinction between governance and management for some boards of trustees is not totally clear.

Governance is not the same as management and to use the two words interchangeably is incorrect. Kilmister (1989: *ibid*) explains the fundamental differences. He states:

The school board is not a business board in a commercial environment and as such is not a board of management. It is rather a governance board of a non-profit or public service environment. The role of the board members therefore is not management, it is governance, and there is a fundamental difference between the two.

Because of their involvement in the movement towards school self-management, Brian Caldwell and Jim Spinks were brought to New Zealand in 1989, to facilitate a range of in-service programmes on implementing school self-management in New Zealand. Brian Caldwell, at the time, was Head of Teacher Education at the University of Tasmania. Jim Spinks was a principal of a secondary school in Tasmania.

Both men were involved in aiding New Zealand to move towards school self-management under the umbrella of *Tomorrow's Schools*. Spinks worked with approximately 10,000 parents, principals and teachers throughout the country, in an extended consultancy, imparting his knowledge on school self-management. Caldwell initiated a study of the emergent patterns in the management of education for *OECD* and completed several consultancies at both the system and school levels in Australia and New Zealand.

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In 1989, Alcorn wrote an article entitled "*Pig in the Middle: The role of Principals in Tomorrow's Schools.*" She writes:

The role of the principal has always been an ambiguous one since the Principal stands at the interface between school and the wider community. With implementation of *Tomorrow's Schools*, these tensions will be exacerbated. (1989:13).

She went on to say, that the " .... managerial and professional roles will conflict." (1989:13). It was evident that some educationalists were having doubts about the relationship between governance and management in the early years of *Tomorrow's Schools*.

As early as six months after the inception of *Tomorrow's Schools*, the *Lough Report (Today's Schools)* reviewed the implementation of the educational reforms. The report identified an "uncertainty over the appropriate roles for boards of trustees and principals." (1990:14)

When National won the election in 1990, the *ERO* briefed caucus about the concerns over governance procedures in some schools. Concern was expressed over the

.... misunderstanding of their respective roles and responsibilities on the part of many school boards of trustees and principals. (*ERO*, 1990).

In 1992, *Monitoring Today's Schools, Report No.16, Governance and Management* reported on *Tomorrow's Schools* in the Waikato and the boundaries between governance and management. The responses received and reported indicated that the majority of schools had a clear view of the difference. However, in some schools it was

.... felt that there sometimes might be a merging of the two in some areas or a need for boards of trustees to work through and establish demarcation lines from time to time. (Ballard *et.al*, 1992:10).

In 1993 Wylie prepared the first of what would be four reviews on *Tomorrow's Schools*. It was entitled *School Autonomy in a National Education System: Three Years of Tomorrow's Schools*. Her research reported:

It would seem that the scope of activities of New Zealand school boards of trustees is wider, and less pure, than the very clear split between 'governance' and

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‘management’ envisaged by the Director-General of Education .... (Wylie, 1993:31).

She went on to state that relationships between the partners of *Tomorrow's Schools* have “.... generally been positive.” (Wylie, 1993:32).

In 1993, *Hear Our Voices*, the *Final Report of Monitoring Today's Schools* was published. The purpose of the project was “to monitor the implementation and impact of the reforms in educational administration which resulted from the *Picot Report* ....” (Mitchell *et.al*, 1993:35). Fifteen schools, thirteen of which were located in the Waikato region and two in Wellington, were studied. In relation to questions about the governance/management interface, their responses included:

- (i) A majority of secondary trustees felt they had a clear view of the distinction between governance and management. A small number felt “.... that there sometimes might be a merging of the two notions of governance and management in some areas and that there was a need for boards to work through and establish demarcation lines from time to time.” (Mitchell *et.al*, 1993:48)
- (ii) A majority of the principals felt that they had a clear idea of the distinction between governance and management. A small number of principals “.... saw governance and management as sometimes overlapping or not always mutually exclusive.” (Mitchell *et.al*, 1993:48).
- (iii) A majority of secondary school trustees felt that their boards were operating well in terms of the distinction between governance and management.
- (iv) Principals felt that their boards operated well in terms of the governance and management distinction.

“In practice, it seems that the roles of trustees and principals in the sample schools were not being rigidly adhered to along governance and management lines.” (Mitchell *et.al*, 1993:49). In a nutshell, the fifteen schools in this project appeared to have come to grips with the governance/management interface. However, there are over 2,500 other schools in New Zealand. And further evidence was coming to light that some schools were still struggling with the distinction and paradoxical relationship between the board and principal.

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In 1993/1994, audits undertaken by the Education Review Office (*ERO*) of 245 primary and secondary schools identified three quarters of boards of trustees had established sound governance and management procedures. *ERO* produced a list of factors that were characterised as being associated with schools that had sound governance procedures and these appear in Appendix XV. This publication was used to construct Part B of the questionnaire that the researcher used to collect data from participants. Analysis of this document will appear in Chapter Four.

In 1993 Peter Ramsay, a member of the *Picot Taskforce*, wrote an article entitled *Tomorrow's Schools Four Years On*. This article clearly illustrates the trials and tribulations that the members of the taskforce had to endure while they were undertaking the review and after their report was tabled to the Department of Education and other government departments, such as Treasury and the States Services Commission who had a keen interest in the educational reforms.

Ramsay states that there have been gains and losses in the reform process. The gains have been increased flexibility and responsiveness, financial independence and transparency, community and parental involvement, more emphasis on addressing equity issues and the Treaty of Waitangi, sharpening charter goals and staff and school undergoing development.

On the other hand, he states that the losses include the demise of support agencies, excessive workloads and the role of the principal needing to be refined. Ramsay stated that the taskforce argued for a strict division between policy determination and the implementation of those policies. The researcher interprets this to mean that the board determines policy and the principal implements that policy. This is the approach to governance and management that Carver espouses. The researcher will delve further into these issues in Chapter Five.

In 1994 Patrick Walsh, an educational law expert, wrote that “over the last five years there had been an exponential growth in the number of disputes between principals and boards of trustees.” He goes on to say that “a major cause of this conflict is a misunderstanding of

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the role of principals and boards of trustees as set out in the Education Act 1989.” (Walsh in *Eduvac*, February, 1994 sighted in Walsh 1997:100-101). It was becoming more evident that some schools were still confused about the boundaries between governance and management.

During 1994, Robinson, Timperley, McNaughton and Parr published the results of a four-year project, which surveyed thirty-eight Auckland primary and secondary schools. The thrust of the project had been to discover “*What is involved in achieving School Responsiveness?*” Phase I of this research project highlighted that “... the new governance arrangements had not changed the traditional roles of parents and professional in school-decision making.” (p.11). This research had indicated that one of the reasons in moving towards decentralisation was to see an increase in parental involvement in schools. However, in this study, decision-making processes had not changed.

In 1994, Gordon, Boyask and Pearce published the findings of their research project whose aim was to discover the processes by which boards of trustees govern. It involved four schools, two primary, two secondary. Two were rich, two were poor.

Their research concluded that the

.... style of governance developed by boards in individual schools is closely linked to a variety of factors, including both *internal* (the principal, size of schools, type of school and so on) and *external* (funding, school rolls, relationship with the community) factors. (Gordon *et.al* 1994:29).

The research went on to report that governance is a relative concept. The following quotation from the conclusion of the research was one that stimulated the researcher’s interest in the governance/management interface even further:

The distinction between governance and management was first developed under the *Tomorrow’s Schools* policy of partnership. It was meant to map out the boundaries of that partnership, to define who contributed what. As the board/school role has been altered over time, the boundaries of the relationship have become increasingly problematic. Schools have responded by developing their own boundaries, often in conflict with national requirements. The gap needs to be addressed.” (Gordon *et.al* 1994:72).

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Wylie published *Self-Managing Schools in New Zealand: The Fifth Year* in 1994. This report stated that the surveys showed a “.... consistent level of reported problems in the relationships between trustees, principals and staff of around 10-12% overall in relations with school boards.” (p.74). The principals had reported that one or more of the following factors contributed to the problems they were experiencing with the board:

- Trustees straying into principal’s responsibilities.
- Personal or ideological agendas.
- Lack of understanding or respect for teaching.
- Poor communication.
- Failure to maintain confidentiality.

In contrast, boards of trustees had reported that one or more of the following factors contributed to the problems they were experiencing with the principal:

- Uncertainty about boundaries of governance and management.
- Principal workload and principal’s lack of leadership.
- Principal not working with board.
- Personality clashes.
- Community criticism of principal.

Five years on, there was still an uncertainty in some schools about the governance/management interface.

In 1995, a survey conducted by the Principals’ Federation on 1,245 schools revealed an increase in tensions between the principal and boards in large urban and small rural schools. The biggest conflict reported was the dispute between boards of trustees and principals over who ran the school on a day-to-day basis. It appeared that some boards were interfering with management decisions, processes and issues. Sixty percent of principals surveyed wanted the *Education Act 1989* amended to make the distinction between governance and management clearer.

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In *Self-Managing Schools Seven Years On. What have we Learnt?*, Wylie reported that “.... from time to time there is a call for the lines between ‘governance’ and ‘management’ to be drawn more distinctly, but in practice most schools have found their own version of the original model.” (1997:115). Wylie went on to say that “where problems about respective roles have arisen (as some must), they were usually resolvable within the school itself.” (p.115).

There had been a slight improvement in the 10-12% figure reported in 1993 about relationship difficulties between principals and boards of trustees. Reasons sighted in 1993 for difficulties were similar, although “.... instead of ‘role definitions’ as in 1993, they centred on the principal’s role as the pivotal person in the school.” (p.118). In this study, data is collected from two pivotal stakeholders in the *Tomorrow’s Schools* partnership, the principal and the board of trustees chairperson.

In *Ten Years On: How Schools view Educational Reform*, Wylie reported that good working relationships between trustees and staff are the norm rather than the exception. “Previous NZCER surveys showed a consistent level of reported relations between boards of trustees and school staff or principal of around 12% at any one time.” (1999:93). In comparing the same schools over time, these problems did not keep occurring at the same time.

Trustees reported that day-to-day management was an issue they spent the second-greatest amount of their time on, yet Wylie reported:

Principals would like trustees to be less involved in day-to-day matters. The line between governance and management is sometimes unclear: principals would like more practical help from trustees, but they also prefer to remain in charge.” (p.95).

Here exists another paradox: trustees are supposed to govern and the principal manage. Within this study, the paradoxes will be investigated further and will be examined in the context of the governance/management interfaces that operate in a sample of schools in a large provincial area of New Zealand.

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As in the first report published in 1993, there was still a constant 12-15% proportion of reported difficulties in the relationship between the principal and board of trustees. However, there was a “slight shift toward describing the relationship as satisfactory rather than problematic.” (Wylie, 1999:96).

Much was written in the late 1990’s about the need to clarify more explicitly the powers and responsibilities of each partner in the *Tomorrow’s Schools* partnership (Fancy 1998, Kelly 1998, Monks 1998, O’Sullivan 1998). Prior to National being ousted from government in late 1999, a document called *Legislation for Learning* was released by the Minister of Education, Dr Nick Smith. This document advocated the need to make the *Education Act 1989* work better. At the School Trustees Association tenth anniversary celebration of *Tomorrow’s Schools*, Dr Smith said:

Some schools were ‘flying’ under self-management, but others were tied down in red tape. We need to move from a one-size-fits-all model to a system that allows more flexibility in school governance structures. (Eduvac, 11 October, 1999).

Since the Labour coalition’s election, the Minister of Education Trevor Mallard has cancelled this review. He has stated that the Labour government “will be adopting a more targeted approach to legislative reform in the schools’ sector.” (*Education Gazette*, 21 February: 2000) What will arise from Labour’s new policies can only remain to be seen.

A niche has been created for firms like Farnsworth Bishop and Associates, who provide governance and management workshops to boards of trustees and principals who want to improve their working relationship and their understanding of the trustee model. Mark Farnsworth is an ex-president of *New Zealand Schools Trustees Association*, and his view is that few boards of trustees address governance and management in a meaningful and structured manner. He holds the view that a large number of boards, especially primary school boards, have failed to record board delegations – delegations are vitally important as they define the boundaries within which a principal must operate.

Farnsworth also advocates that little has been done to help boards of trustees facilitate the recognition of their own unique governance/management interface. Under the trustee model, the governance/management interface is not a set function; rather it is a negotiated

function. This model has strong links to John Carver's policy governance model, and the researcher will be applying this approach to the results obtained from her data collection instruments in Chapter Five.

### ***Two key Educational Case Law Cases***

The researcher had been interested for some time in the unique governance/management interface that *Tomorrow's Schools* had created. She was concerned about the increasing number of litigation cases which schools were finding themselves part of, and the fact that, by 1994, five years after the implementation of *Tomorrow's Schools*, fifteen Commissioners had been appointed by the *ERO* owing to disputes between boards of trustees and/or principals and staff. A Commissioner comes from the school's community and he/she takes the place of the trustees until elections are held to establish a new board.

At the conclusion of 1998, a Commissioner had been appointed at her own school (which is not involved in any aspect of her research), as an irrevocable break-down between the board, principal and staff had occurred over the bulk-funding of teachers' salaries. (See *North and South* pp 80-86, March 1999).

Many disputes are settled out of court, so the exact number of cases is indeterminable. The two key educational case law cases that principals and trustees should be familiar with are:

(i) ***Hobday vs Timaru Girls' High School Board of Trustees***

Employment Court, Christchurch E16/94

"The main issue in this case was the behaviour and attitude of the Board and Mrs Hobday and how this impacted upon their working relationship." (Walsh, 1999:9). The board had dismissed Mrs Hobday after there had been a complete breakdown in the relationship between her and the board. After a forty-one day hearing, Justice Palmer awarded Mrs Hobday \$243,167 (as reparation) and ordered that she be reinstated as Principal by the Board of Timaru Girls' High School. The Board "considered the boundaries between governance and management as largely academic and of little importance because of the Board's ultimate responsibility for the school." (Justice Palmer, 1994:70)

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(ii) ***Thompson vs The Grey Lynn School Board of Trustees***

[Unreported] CP74/98 High Court, Auckland

This case is in complete contrast to the Hobday case, as the court upheld the decision of the Board of Trustees to suspend the Principal after there had been five ERO reviews since he was appointed in 1990. There were serious concerns about the management of the school and the role of the Board and the Principal. The Principal maintained that the Board of Trustees was biased “and this meant the decisions made by the Board in respect of the Principal were invalid. The court reiterated that it is not possible for a Board to properly control the management of a school unless Board members are fully informed on all important matters relevant to the management of the school.” (*Principals Today*, August 1999).

The researcher has included these two cases as she is of the opinion that they offer important lessons for both principals and trustees, not to place themselves into positions whereby procedures are likely to be taken to question. There are ten other educational case law cases that involve some element of dispute over governance and management. (A full list appears in Appendix I.)

***Summary***

The literature examined in Part One and Part Two of this chapter would lead a reader to suspect the following to have occurred as a result of a global trend towards educational administration reforms:

- The move towards the ‘New Right’ ideology was the impetus for countries in the western world to consider decentralising the provision of education.
  - The reforms all took different pathways, but the net result was a strong movement towards school-based/site-based management.
  - Schools gained more autonomy, and decisions which take into account local community needs became the norm.
  - The governance of schools tends to be undertaken by school boards or boards of trustees.
  - The management of schools tends to be undertaken by the head teacher or principal.
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- Conflicts between governance and management can arise and often do so.

### **Conclusion**

It is vital that the governance/management interface is fully explored. *Tomorrow's Schools* is now over a decade old, and as there has been an increase in the number of court proceedings involving schools, it appears timely to research this much-neglected area further. In the words of Smith (1958:52)

While every other management function has been exhaustively studied and analysed, the responsibilities of the board and the distinction between board and management have been sorely neglected. Management literature on the subject is pitifully brief and strikingly devoid of any real depth or new ideas. (in Carver, 1997:8).

This study seeks to provide data about how boards of trustees and principals in a large provincial area of New Zealand determine their respective roles of governance and management.

Before the literature presented in this chapter can be compared to the research data and the results obtained, the methodology used in this study must be examined. This is outlined in the next chapter.

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## CHAPTER THREE

### PROCEDURES and RESEARCH METHODOLOGY

This chapter outlines the context of the research, the type of investigation undertaken, the role and personal bias of the researcher, information about the samples involved and the methods used to collect and analyse the data.

#### *Background Information*

This study was undertaken to clarify the distinctions between governance and management by collecting data from key stakeholders in state secondary schools in a large provincial area of New Zealand. The researcher set out to obtain a clear definition of the governance/management interface and to determine if there is a clear demarcation of roles and responsibilities that pertain to governance and management.

Data was collected using two instruments:

- (i) Quantitative data collection instrument: postal questionnaire.
- (ii) Qualitative data collection instrument: on-site interviews.

#### *Research Questions*

After extensive reading of media reports, surveys and academic writings on self-management/site-based management of schools, the researcher came to the conclusion that the governance/management interface is a sorely neglected area of research. She felt that, if the conundrum of governance/management could be better understood by all the partners of *Tomorrow's Schools* - trustees, principals, staff, parents and students - then there will be more effective school governance and management practices. Three key research questions formed the focus (Anderson, 1990), of the study:

- To investigate how boards of trustees and principals determine and perceive their respective roles of governance and management. Is there clear demarcation of roles or is there a spectrum or continuum of shared power?
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- To determine whether principals can be seen as standing somewhere apart from the board to which they belong. What is the principal's role and relationship with the board?
  - If conflicts of governance and management arise, how are these solved?

It is hoped that the research will have practical significance in the following ways:

- (i) Information will be gathered that will assist boards of trustees, principals, communities and other educational agencies to understand further the intricate relationship between governance and management.
- (ii) It will be a useful resource for boards of trustees and principals to assist them in the decision-making process when dealing with governance and management overlaps.
- (iii) It will report on the necessity for schools to ensure that the working relationship between boards of trustees and principals is harmonious. Harmonious relationships are important for the school to achieve its educational aims and objectives.
- (iv) Given that *Tomorrow's Schools* initiated reforms are now in their tenth year, this research will add to the literature that exists already on the demarcation of governance and management.

## ***Ethics***

### **Ethical Considerations**

All research must adhere to ethical standards and researchers must take the necessary time to familiarise themselves with the protocols and practices that are set out by the organisation in which they are undertaking the study.

Prior to the researcher beginning her study, an application to the Massey University Human Ethics Committee had to be undertaken. The Committee publishes a Code that outlines the protocols and practices that researchers must adhere to when they are undertaking research under the auspices of Massey University. It is imperative that the study meets their stringent but very necessary protocols as no research should harm participants or the institution.

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The application took considerable time to prepare. It was delivered to the Committee Secretary in late April, to be heard at the May meeting. In June 2000, the researcher received notification that some aspects of her study had been approved. However, the researcher had to submit answers to statements that the Committee wanted clarification on. The researcher duly replied after consultation with her research supervisor and in late June, was informed that Phase I (quantitative data collection) of her study could commence.

The researcher was asked to resubmit another application for Phase II (qualitative data collection) of her study. The Committee had indicated that her first application had insufficient information for them to consider the ethical issues involved. The researcher spent considerable time refining and restructuring her original application and it was delivered to the Committee Secretary in late June, to be heard at the July meeting. In late July, the researcher received notification that Phase II of her study had been approved. However, the researcher had to submit answers to two statements that the Committee wanted clarification on. The researcher duly replied.

Protecting the rights of research participants and conducting research in an ethical manner are, to a large extent, matters of common sense. The researcher must protect the dignity and welfare of the participants. The individual's freedom to decline participation must be respected, and the confidentiality of research data maintained. The researcher must guard against violation or invasion of privacy. The responsibility for maintaining ethical standards remains with the individual researcher.... (Wiersma, 1995:434-5).

At all times throughout this study, the researcher was aware of the importance of maintaining ethical standards.

In Phase I, confidentiality of names was assured by the use of codes on the postal questionnaire and in Phase II by the allocation of pseudonyms.

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### **Researcher Bias**

The researcher had worked for the past eleven years in state co-educational secondary schools in Taupo, Lower Hutt, Cambridge and Waipukurau. She began as an Assistant Teacher of Commerce and, after three years, was promoted to Head of Commerce before taking up her present position that began as Assistant Principal and then she was promoted to Deputy Principal in 1999. Her involvement in Assistant/Deputy Principal regional and national meetings and conferences meant she was known both personally and professionally by many teachers in the provincial area in which her research was being conducted.

The researcher was obligated to ensure that all participants were informed of her background, personal bias and reasons for undertaking the research, prior to consenting to be involved. In the words of Bouma (1996:194):

Before research is undertaken the free consent of the subject should be obtained. To this end the investigator is responsible for providing the subject at his or her level of comprehension with sufficient information about the purpose, methods, demands, risks, inconveniences and discomforts of the study ....

The researcher held a number of opinions about the governance/management interface in secondary schools before she commenced her research. These were shared with the participants prior to data collection. They included:

- There is an overlap of governance and management roles for boards of trustees and principals, despite the definitions used in sections 75 and 76 of the *Education Act 1989*.
  - In many secondary schools, the governance structure is hierarchical.
  - The principal cannot be seen as standing apart from the board to which he/she belongs.
  - Many secondary schools have not established their own unique governance/management interfaces, despite the fact that the current legislation provides them with the flexibility to do so.
  - The training provided for boards of trustees on the governance/management interface tends to treat boards as if they were all the same.
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In declaring these opinions, participants would be encouraged to share their opinions and experiences more freely. However, the researcher is aware that in disclosing her beliefs she may encounter contrary views, which she must acknowledge and appreciate.

### **Rapport with the Participants**

Building rapport with participants in the research environment is vitally important for the researcher and to the success of the study. In Phase I of the study, the researcher used a quantitative data collection technique, a questionnaire, to obtain data to provide a springboard of information before she undertook Phase II. In Phase II of the study, the researcher used a qualitative data collection technique, interviews, to seek an understanding of the participants' environment and situation through their eyes. The participants must feel comfortable with the researcher if they are going to share details of their views, attitudes, values and beliefs. An honest, trustworthy and open relationship must be established.

From the outset, all participants were informed about the researcher's reasons for selecting the topic and her background as an educationalist. Throughout Phase II of the research, which involved interviews, the researcher endeavoured to be an objective but sensitive listener.

### ***Research Methodology***

#### **Quantitative Data Collection**

In Phase I of the research, a quantitative research approach was used. This allowed the researcher to obtain numerical results from postal questionnaire responses, which were reported in tables and graphs, to identify any trends apparent in governance and management practices. In the words of Bell (1993:5)

Quantitative researchers collect facts and study the relationship of one set of facts to another. They measure, using scientific techniques that are likely to produce quantified and, if possible, generalisable conclusions.

Quantitative data analysis involves using statistical and/or scientific tests, many of which can be applied to a range of data, regardless of what academic field the researcher is

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involved in. To analyse the responses from the postal questionnaires answered in Phase I, a Massey University data analysis programme *SPSS (Statistical Product Service Solutions)* was used. This provided quantitative data that was used to identify trends and emergent themes and provided the researcher with a better understanding of the issues that surrounded the research questions before she embarked on Phase II of her research.

### **Qualitative Data Collection**

In Phase II of the research, the qualitative research approach was used. This allowed the researcher to further explore the trends and emergent themes in Phase II and better understand the participants' individual views, attitudes, values and beliefs in relation to the research questions. In the words of Bouma (1996:171):

In addition to providing impressions and feelings about a particular situation, qualitative research often seeks to answer the question, "What is going on here?"

Qualitative data collection involves using multiple methods within the context of the real world to understand and bring meaning to the phenomena being studied. In using multiple methods, which may include case study, grounded theory, ethnography, phenomenology, biographicals to name but a few, the researcher is able to " .... describe routine and problematic moments and meanings in individuals' lives." (Denzin and Lincoln, 1994:2 in Anderson, 1998:120).

Qualitative research enables the researcher, who is the main data collection agent, to describe and interpret what individuals say about their own environment or situation. It is concerned about context as results that can be reported taking into account and understanding

The research environment and all its political, social, psychological, economic and cultural dynamics .... to producing, rich, useful, valid findings. (Anderson, 1998:134).

The readers of the research will be able to compare their opinions and conclusions with those posited by the researcher. Using qualitative research is advantageous because it uses multiple methods to collect data, which can enhance the reliability and validity of the research findings.

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### **Grounded Theory**

The basic thrust of grounded theory is to allow a theory of the phenomenon being studied, to emerge from the data that is collected.

The grounded theory approach is a qualitative research method that uses a systematic set of procedures to develop an inductively derived grounded theory about a phenomenon. (Strauss and Corbin, 1990:24)

In using multiple data collection instruments, the researcher set out to obtain emergent categories or themes from the data. The researcher's intent was to develop these major categories and their relationships, to provide more than a descriptive account of the phenomenon. In this case, the researcher was looking to obtain major themes associated with the governance/management interface and to provide a detailed account of how schools in her sample are operating their governance/management roles and responsibilities.

In order to develop the emerging themes, there are procedures to guide the researcher through the process of grounded theory and developing a theory of her own. Becker (1993) states that the research questions should be general rather than specific hypotheses, and the emergent theory should account for a phenomenon that is relevant and problematic for those involved. In order for analysis to take place, there were three data processes involved in the theory development:

- (i) Open coding- where data is broken open to identify relevant categories. After the questionnaires were processed and the interviews transcribed, each result was studied to identify categories associated with governance and management.
  - (ii) Axial coding- where categories are refined, developed and related. The categories identified during open coding were tested against further evidence to determine those, which were strong, and those, which were weak. The strong categories were 'saturated' early in the process.
  - (iii) Selective coding- where the 'core category' is identified and related to the other categories. The 'core category' was tested against further evidence to "determine the strength of similarities and differences of the theoretical constructs ...." (Anderson, 1998:122). This was done so that the researcher could " .... Increase the
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‘density’ and ‘saturation’ of recurring categories, as well as for following up unexpected findings.” (Chamberlain, 2000)

Figure 3.1 (Page 70) illustrates the data analysis process that the researcher used to develop her own theory of governance and management within this study. Appendix XIV provides an example of how the data was coded for analysis.

Once the main categories in the data had been developed, the basis for the researcher’s theory was developed. The researcher hoped that the theory grounded in data based upon the questionnaire responses and on-site visits supported by the research literature would be of value to boards of trustees and principals. For the participants in this study, being able to consider the data alongside their personal knowledge would provide relevance and meaning to their own experiences.

In using grounded theory, data collection is guided by purposive sampling. In Phase I of the study, open sampling of the schools in the provincial area by way of a quantitative data collection instrument allowed the researcher to discover and identify data that was relevant to the three research questions. In Phase II of the study, variational sampling of the schools in the provincial area by way of a qualitative data collection instrument, allowed the researcher to identify data that confirms and validates categories that emerged in Phase I. The researcher confirmed and verified the core category and the theory as a whole, as well as saturating any poorly developed categories.

The researcher endeavoured to ensure that her theory had the four criteria that Strauss and Corbin (1990) espouse as being inherent in ‘good’ grounded theory:

(i) *It should fit the phenomenon.*

Does the grounded theory that emerged from the data align itself to the governance/management interface? Does the grounded theory fit with ‘reality?’

(ii) *It should provide understanding.*

Is the grounded theory comprehensible to the participants and other schools in New Zealand?

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- (iii) *It should provide generality.*

Is the grounded theory applicable to a wide variety of contexts in the governance/management interface?

- (iv) *It should provide control.*

Does the grounded theory state the conditions under which the theory is being applied to and does it provide a basis for action?

It is of importance that the researcher's theory on governance and management stands up to the criteria, so that the study itself can be considered a worthwhile document.

### ***Phase I of Data Collection***

#### **Selecting the Sample**

The researcher's study was confined to a large provincial area of New Zealand. There are sixty-three secondary schools in these four regions that fall within the boundary of the provincial area, which includes state, integrated and private schools.

Before choosing the sample, the researcher considered the following:

- (i) The time frame and monetary resources available for the completion of the study.
- (ii) Choosing a sample " .... which is as far as possible representative of the population as a whole." (Bell, 1993:83).
- (iii) In the words of Bouma (1996:128): "The first basic rule about sample size states that about thirty individuals are required in order to provide a pool large enough for even simple kinds of analyses."
- (iv) Trying to obtain 'maximum variation' (Anderson, 1998) within the sample.

Thus, the researcher chose to include the thirty-nine state schools within the provincial region in her study.

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**Table 3.1**      **Geographical regions of schools involved in Phase I sample**

<b>Region</b>	<b>Total</b>	<b>Co-Educational</b>	<b>Single Sex</b>
Hawke's Bay*	12	7	4
Manawatu	12	10	2
Taranaki	11	9	3
Wanganui	5	4	1
<b>Total</b>	<b>40</b>	<b>30</b>	<b>9</b>

\* The researcher's own school is in this region. It is not part of the researcher's study.

In choosing these thirty-nine schools, the researcher would have a sample size that is representative of the majority of secondary schools in New Zealand. Although each school will have in operation their own unique governance/management interface, the framework for operations is provided by the *Education Act 1989*. If fifteen or more schools choose to participate, the researcher would be over the number of thirty (as the principal and board chair of each school is providing data), which is considered to be the minimum number of participants to ensure that the study is generalisable and worthwhile.

These thirty-nine schools would also provide 'maximum variation'. Within these thirty-nine schools, the researcher would encounter the following:

- (i) Boards of trustees who have a mixture of professionals and non-professionals.
- (ii) Male and female principals. However, the female principals are more than likely to be encountered in the single sex girls' schools due to statistics indicating that nineteen percent of women are principals in co-educational secondary schools.
- (iii) A range of roll sizes and decile ratings.
- (iv) A range of city and rural schools.
- (v) *Internal* and *external* factors as posited by Gordon *et al.* (1994:29) that affect the governance/management interface.
- (vi) Varying ages and experiences of principals.
- (vii) Male and female board of trustees chairpersons.

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### Obtaining Participation

To obtain contact details for the thirty-nine schools, the researcher used a publication entitled *Secondary Schools Directory 2000*, which is provided to all secondary schools on a yearly basis by Kawerau College.

To obtain the name of the board chairperson, the researcher telephoned the school. She explained who she was and the purpose of the telephone call.

To obtain participants, the researcher sent a separate letter to the principal and board chair of all thirty-nine schools. (Appendix III) This letter explained who the researcher was, the nature and purpose of the study and it asked if they were interested in receiving more information about the study, to complete the tear-off slip and return it in the self-addressed stamped envelope provided.

By the due date, the researcher had received the following replies:

- (i) In fourteen schools, both the principal and board chair had returned the tear-off slip indicating they wished to receive more information.
- (ii) In six schools, the principal had returned the tear-off slip and the board chair had not.
- (iii) In three schools, the principal had returned the tear-off slip indicating he/she did not wish to receive more information. The board chair of these two schools had indicated he/she wished to receive more information.

After consultation with her research supervisor, the researcher sent out the following:

- (i) To all those who had indicated a wish to receive more information;
    - A covering letter. (Appendix III)
    - An information sheet outlining data collection and analysis, time frames and participants' rights during the study. (Appendix IV)
    - The questionnaire. (Appendix V)
    - A consent form. (Appendix VI)
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- (ii) To those six board chairs that had not returned their tear-off slips;
- A letter asking them to reconsider their involvement.

In sending out another letter to the six board chairs, the researcher hoped to gain an interest from at least one or more, so that her sample size reached thirty individuals or more.

Of the six board chairs that were sent another letter, three replied. This meant that the researcher had seventeen schools (thirty-four participants) involved in Phase I of her study, if all thirty-four completed the questionnaire.

### **The Questionnaire**

The motivation for choosing a questionnaire was the need to collect data from a large number of participants who are located in a wide geographical region. The questionnaire “if well constructed, will permit the collection of reliable and reasonably valid data, in a simple, cheap and timely manner.” (Anderson, 1990:170).

Prior to designing the questionnaire, the researcher undertook preliminary work on “.... planning, consulting and deciding exactly what you need to find out.” (Bell, 1993:75). The researcher identified the important areas for investigation and repeatedly revisited her three research objectives so as to determine what questions she should ask.

### **Questionnaire Design**

Possible questions were prepared and written onto card so that they could be organised into a proper sequence at a later date. The researcher took several attempts to get the wording correct. She needed to remove ambiguity, imprecision and assumption and ensure that questions were not presuming, leading, hypothetical, and sensitive or had double meanings. (Bell, 1993).

A questionnaire was developed using the design and layout procedures as suggested by Anderson (1990). It is imperative that a questionnaire has an attractive appearance with

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clear instructions. Impact is important as the researcher wants respondents to read each question carefully so that honest responses are obtained.

The questions required the respondents to use Likert scales to respond to statements about the governance/management interface. The questionnaire was broken into three parts. Part A asked respondents to indicate their agreement or disagreement with thirteen statements on governance and management and the governance/management interface. Part B asked respondents to indicate their view with twelve statements on their own school's governance procedures and practices. Part C asked respondents whether they were willing to be interviewed in relation to this study (Phase II) and if they wished to receive a summary of the questionnaire findings.

The researcher chose to use a Likert scale as it is "a device to measure variation in an attitude." (Bouma, 1996:70). Each response will allow the researcher to determine the respondent's attitude to each statement on governance and management and the governance/management interface.

A pilot study consisted of her Principal, her co-Deputy Principal and her Guidance Counsellor, none of whom are involved in this study. This was to

.... Get the bugs out of the instrument so that subjects in your main study will experience no difficulties in completing it and so that you can carry out a preliminary analysis to see whether the wording and format of questions will present any difficulties when the main data are analysed. (Bell, 1993:84).

Recommendations from the members of the pilot study involved a number of minor structural changes.

### **Administering the Questionnaire**

Respondents were requested to complete the questionnaire that would take approximately fifteen to twenty minutes and return it together with the signed consent form to the researcher in the enclosed stamped, self-addressed envelope by the time frame stated in the covering letter.

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To protect respondents' anonymity, each questionnaire was coded in the bottom right hand corner with a number. Numbers were allocated as follows:

- |       |                     |              |             |
|-------|---------------------|--------------|-------------|
| (i)   | Hawke's Bay schools | Principals   | 0101-0111   |
|       |                     | Board Chairs | 0101A-0111K |
| (ii)  | Manawatu schools    | Principals   | 0201-0212   |
|       |                     | Board Chairs | 0201A-0212L |
| (iii) | Taranaki schools    | Principals   | 0301-0311   |
|       |                     | Board Chairs | 0301A-0311K |
| (iv)  | Wanganui schools    | Principals   | 0401-0405   |
|       |                     | Board Chairs | 0401A-0405E |

By the due date, the researcher had received the following responses:

**Table 3.2 Positive responses for involvement in Phase I**

Region	Principal and Board Chair	Principal only	Board Chair only
Hawke's Bay	2	1	2
Manawatu	5	1	1
Taranaki	4	1	3
Wanganui	2	1	0
<b>Total</b>	<b>13</b>	<b>4</b>	<b>6</b>

This meant that the researcher would have thirty-six participants in phase I of the study.

### **Processing Questionnaire Responses**

Before the researcher began processing the questionnaire responses, she made multiple copies. One copy was securely locked away for safety reasons and the researcher in the data analysis process used the other copy.

To process the questionnaire response, the researcher used a Massey University data analysis programme entitled *SPSS (Statistical Product Service Solutions)*. Computer

Services at Massey University processed the questionnaire responses for the researcher. The researcher discussed her requirements with the data entry personnel prior to the responses being processed.

The researcher numbered (from 1-36) and coded the questionnaires to enable Computing Services staff to enter the values before the programme was run to analyse the data. The coding of the questionnaires was:

A	=	Principal
B	=	Board of Trustees Chairperson
3-4 digits	=	Roll size as at 1 March 2000
1-10	=	Decile rating

The researcher asked Computing Services at Massey University to process the data into three sets of results. They were as follows:

- (i) Overall responses to Part A and Part B.
- (ii) Overall response by position held – Principal or Board Chairperson.
- (iii) Overall response by decile rating – low (1-5) and high (6-10).

The results were emailed to the researcher and upon downloading, she was able to analyse and interpret the results and put them into a suitable format.

### **Identifying and Analysing Data Patterns**

The results from the *SPSS* programme were tabulated by the researcher to show the means and standard deviations for the responses to Part A and Part B of the postal questionnaire.

The responses were tabulated by:

- (i) Overall responses. This was open coding to identify the relevant categories.
- (ii) By job. This was axial coding to refine, develop and relate relevant categories.
- (iii) By decile rating. This was selective coding, whereby the core categories were identified and related to other categories.

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The researcher allocated a Likert scale response to each statement's mean. For example, in Table 4.2, illustrating results to Part A;

“Section 75 of the *Education Act 1989* clearly outlines the role of the board of trustees”, had a mean of 3.43. The researcher allocated the Likert scale response as somewhere between not sure and agree. This indicated a difference.

And illustrating results to Part B in Table 4.3;

“The board of trustees attends efficiently to all matters”, had a mean of 3.33. The researcher allocated the Likert scale response as somewhere between yes and partially addressed. This indicated a difference.

The researcher proceeded to do the same for Tables 4.4 – 4.7.

The results of the differences for Part A are recorded in Table 4.8. These differences aided the researcher to identify strong themes that emerged from phase I. These were:

- (i) That section 75 of the *Education Act 1989* may not clearly state the role of the board of trustees.
- (ii) That section 76 of the *Education Act 1989* may not clearly state the role of the principal.
- (iii) There is not a clear delineation between the roles of governance and management.

Less strong themes were:

- (i) A principal can be seen as standing somewhere apart from the board of trustees of which he/she is a member.
- (ii) Dividing the roles of governance and management goes against the spirit of *Tomorrow's Schools* and the *Education Act 1989*.

The results of the differences for Part B are recorded in Table 4.9. These differences aided the researcher to identify the key theme that emerged from phase I. This was:

- (i) That boards of trustees may have only partially addressed their strategic planning needs.
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Less strong themes were:

- (i) That boards of trustees may not always provide a clear vision.
- (ii) That boards of trustees may not always carry out their responsibility
- (iii) That boards of trustees may not always take timely action over all issues.
- (iv) That boards of trustees may not always attend efficiently to all matters.
- (v) That boards of trustees may not always assess their training needs and seek opportunities for development.
- (vi) That boards of trustees may not always plan for succession.
- (vii) That boards of trustees may not always be responsive to wishes of stakeholders and consult on all important issues.
- (viii) That boards of trustees may have only partially addressed self-review policies and procedures.
- (ix) That boards of trustees may not always maintain and develop the quality of all aspects of their operations.

These fifteen themes are followed up in Phase II of the study. The researcher will be looking for more evidence to support the results from Phase I.

### ***Phase II of Data Collection***

#### **Selecting the Sample**

All respondents were asked to indicate in Part C of the postal questionnaire, if they were willing to be involved in Phase II of the study.

Phase II involves the researcher conducting on-site visits to eight schools to interview the principal and board chairperson about their unique governance/management interface.

Eight schools were chosen because of the amount of time that the researcher had available to conduct the on-site visits. At the beginning of the study, the researcher had decided that she would use purposive sampling to choose the eight schools. The schools would be selected because “of their characteristics relative to the phenomenon under study ....” (Wiersma, 1995:214).

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The logic behind using purposive sampling in Phase II of the study is that the information-rich cases are studied in depth. “There is no assumption that all the members of the population are equivalent data sources, but those selected are believed to be information-rich cases.” (Wiersma, 1995:298).

The researcher chose the eight schools using ‘maximum variation sampling’ which means she selected schools that provided the greatest differences in certain characteristics. Maximum variation sampling is a form of purposive sampling that will generate two types of information:

- (i) Detailed descriptions of the cases that highlight their differences and
- (ii) Illustrates commonalities across the cases in spite of their variations.

(Wiersma, 1995)

Thus the on-site visits will create eight individual case studies and the researcher “will observe, probe and understand an individual unit.” (Harker, 1999: 6-3).

**Table 3.3      Geographical regions of schools involved in Phase II sample**

<b>Region</b>	<b>Total State Schools</b>	<b>Phase I#</b>	<b>Potential participants Phase II</b>	<b>Chosen Phase II</b>
Hawke’s Bay*	12	5 (41%)	2	2
Manawatu	12	7 (58%)	5	2
Taranaki	11	8 (73%)	4	2
Wanganui	5	3 (60%)	2	2
<b>Total</b>	<b>40</b>	<b>23</b>	<b>13</b>	<b>8</b>

\* The researcher’s own school is in this region. It is not part of the researcher’s study.

# These were individual responses. For some schools, both the board chairperson and the principal were involved.

In the Manawatu and Taranaki regions, there were only two schools where both the board chairperson and the principal agreed to be interviewed. In the remaining schools, the board chairperson had indicated a wish not to be involved in phase II, the most common reason being a lack of time.

Each of the eight schools was sent the following:

- (i) A covering letter. (Appendix VII)
- (ii) An information sheet outlining the steps in research process, participants' rights and confidentiality. (Appendix VIII)
- (iii) A copy of the questions that the researcher would like to ask each participant. (Appendix IX)
- (iv) A copy of scenarios created by the researcher for each participant to study prior to the on-site visit. (Appendix X).
- (v) A copy of a governance and management perception exercise created by Farnsworth Bishop Associates that the researcher would like each participant to complete. (Appendix XI)
- (vi) A consent form. (Appendix XII).
- (vii) A sheet asking participants to indicate the most suitable dates and times for the researcher to undertake the on-site visits.

### **The Case Study Approach**

Using the case study approach in research allowed the researcher to study a problem/issue/phenomenon in its natural setting (Anderson, 1990). During Phase II of the data collection process, the researcher looked to

.... locate the 'story' of a certain aspect of social behaviour in a particular setting and the factors influencing the situation, In this way themes, topics and key variables may be isolated. (Hitchcock & Hughes, 1989:317).

The researcher followed up on emergent categories and themes from Phase I data and described how eight individual cases differentiated between governance and management and what model of governance and management they have in operation. The greatest strength of using case study methodology is that it

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Allows the researcher to concentrate on a specific instance or situation and to identify, or attempt to identify, the various interactive processes at work. These processes may remain hidden in a large-scale survey but may be crucial to the success or failure of systems or organisations. (Bell, 1993:8).

On-site interviews with the principal and board chairperson provided the prime source of case study data for the researcher. (Anderson, 1990).

### **The Interviews**

The research interview has been defined as

A two-person conversation initiated by the interviewer for the specific purpose of obtaining research-relevant information, focused by him on content specified by research objectives of systematic description, prediction, or explanation. (Cannell & Kahn 1968 in Cohen & Manion, 1980:241).

The gathering of data is done through direct verbal interaction between the interviewer (researcher) and the interviewees.

The researcher decided upon using a semi-structured interview to gather data. In these types of interviews, emphasis is on interviewee talk rather than following the questions rigidly. This provided the interviewees with the “ .... freedom to introduce materials not anticipated by the interviewer.” (Whyte, 1982:27 in Palmer, 1997:45).

Open-ended questions designed to obtain valid responses formed the basis of the interviews that were conducted in October 2000. Before each interview commenced, the researcher outlined her educational career, her reasons for undertaking the study, her biases and the interview process. From the outset, the researcher aimed to build an honest relationship with participants to ensure that the data collected during the interviews was authentic and told through the ‘eyes’ of the interviewees.

Optimal interview results are best achieved when the relationship between the interviewer and the interviewees is open and non-hierarchical. Using interviews in Phase II of the study provided the researcher with a number of advantages. They enabled the researcher to:

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- (i) Gain “rich material and can often put flesh on the bones of questionnaire responses.” (Bell, 1983:91).
  - (ii) Further enhance her understanding of the emergent categories and themes from Phase I.
  - (iii) Test her propositions in relation to the three research questions.
  - (iv) Use a more personal data collection instrument, enabling the researcher to obtain both verbal and non-verbal (body language) cues from interviewees.

Using interviews presented the interviewer with a number of disadvantages. These included:

- (i) The validity of statements was a concern (Cohen & Manion, 1994).
- (ii) They can be very time-consuming.
- (iii) Analysing responses can present problems (Bell, 1983).
- (iv) A danger of bias creeping in (Bell, 1983).

### **Identifying and Analysing Data Patterns**

The results from the on-site visits (eight individual case studies) were processed by:

- (i) Transcribing the audiotape of each interview. These were then checked against the tape recordings, after which a copy was sent to each participant for verification. Once amendments were made, the researcher identified discourse in each transcription relating to the research questions and the themes identified in Phase I. Key words and phrases were highlighted for ease of reference.

Upon receipt of the confirmed interview transcripts, the researcher sorted the responses into two piles – pile A was the principals’ responses and pile B was the board chairpersons’ responses. The response to each question was cut up and glued to a large piece of poster paper. The researcher then began open, axial and selective coding to identify the categories that had linkages to Phase I data and the literature. (See Appendix XIII).

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- (ii) Preparing a summary of each participant's response to the Farnsworth Bishop Associates governance/management perception exercise.

For each school, the researcher took the responses from the Farnsworth Bishop and Associates governance-management perception exercise and matched the principal's response against the board chairperson's response. A  $\checkmark$  was used to identify the current governing position and an x was used to identify the desired governance position. P indicated principal response, while C indicated board chairperson response. The results of this exercise appear in Appendix XIV.

- (iii) Transcribing the solutions provided to the five scenarios created by the researcher on governance and management conflicts.

The response to each scenario was cut up and glued to a large piece of poster paper. The researcher then began open, axial and selective coding to identify the categories that had linkages to Phase I data and the literature.

### ***Triangulation***

Triangulation is essentially cross-validation. (Wiersma, 1995). It uses multiple data sources and data collection instruments and theories to validate research findings. As Denzin (1978:308) writes

Triangulation can take many forms, but its basic feature will be the combination of two or more different research strategies in the study of the same empirical units. (In Wiersma, 1995:264-4).

In collecting information using both the quantitative (postal questionnaire) and the qualitative (case studies) paradigms, the researcher had further opportunity to validate her results. In checking information that was collected from different sources and/or methods for consistency of evidence against documentation and literature, the researcher was able to move backwards and forwards between her sources of data to ensure that the results of her study were valid and reliable.

Triangulation is imperative in research as in comparing information, the researcher is trying to determine whether or not there is coordination. (Wiersma, 1995).

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## ***Reliability and Validity***

### **Reliability**

Reliability in research refers to the “consistency of the research and the extent to which studies can be replicated.” (Wiersma, 1995:9).

Reliability in research involved two related concepts.

- (i) *Internal Reliability.* This is the extent to which the researcher’s data collection, analysis and interpretations, are consistent given the same conditions.
- (ii) *External Reliability.* This deals with the issue of whether or not other researchers can replicate the researcher’s study in the same or similar settings.

### **Validity**

The results of a research study are only useful to the extent that they can be accurately and confidently interpreted. The issue of accurate and confident interpretation of results is at the center of any discussion of validity. (Bieger & Gerlach, 1996:77).

Validity in research involves two related concepts.

- (i) *Internal Validity.* This is the extent to which the researcher’s results “are a function of the variables that were systematically manipulated, measured, and/or observed in the study.” (Bieger & Gerlach, 1996:77-8). A researcher must be aware of ‘possible conditions’ that may constitute a potential threat the internal validity of the study.
- (ii) *External Validity.* This is the extent to which the researcher’s results can be generalised to populations, situations, and conditions. In order for the researcher’s results to be generalised, she must have reason(s) to believe that the participants in the study are similar to those that exist in the larger population.

At all times during the study, the researcher aimed to

Obtain as representative a range of responses as possible to enable her to fulfill the objectives of her study and to provide answers to key questions. (Bell, 1993:66).

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**Reliability and Validity**

“Reliability is a necessary characteristic for validity; that is, a study cannot be valid and lack reliability.” (Wiersma, 1995:9). In essence, reliability and validity will establish the credibility of the research. “Reliability focuses on replicability and validity focuses on the accuracy and generalisability of the findings.” (Wiersma, 1995:9).

The research was restricted to a large provincial area of the North Island, which meant that the conclusions might have limited generalisability. However, this research may be relevant to boards of trustees and principals in other regions of New Zealand.

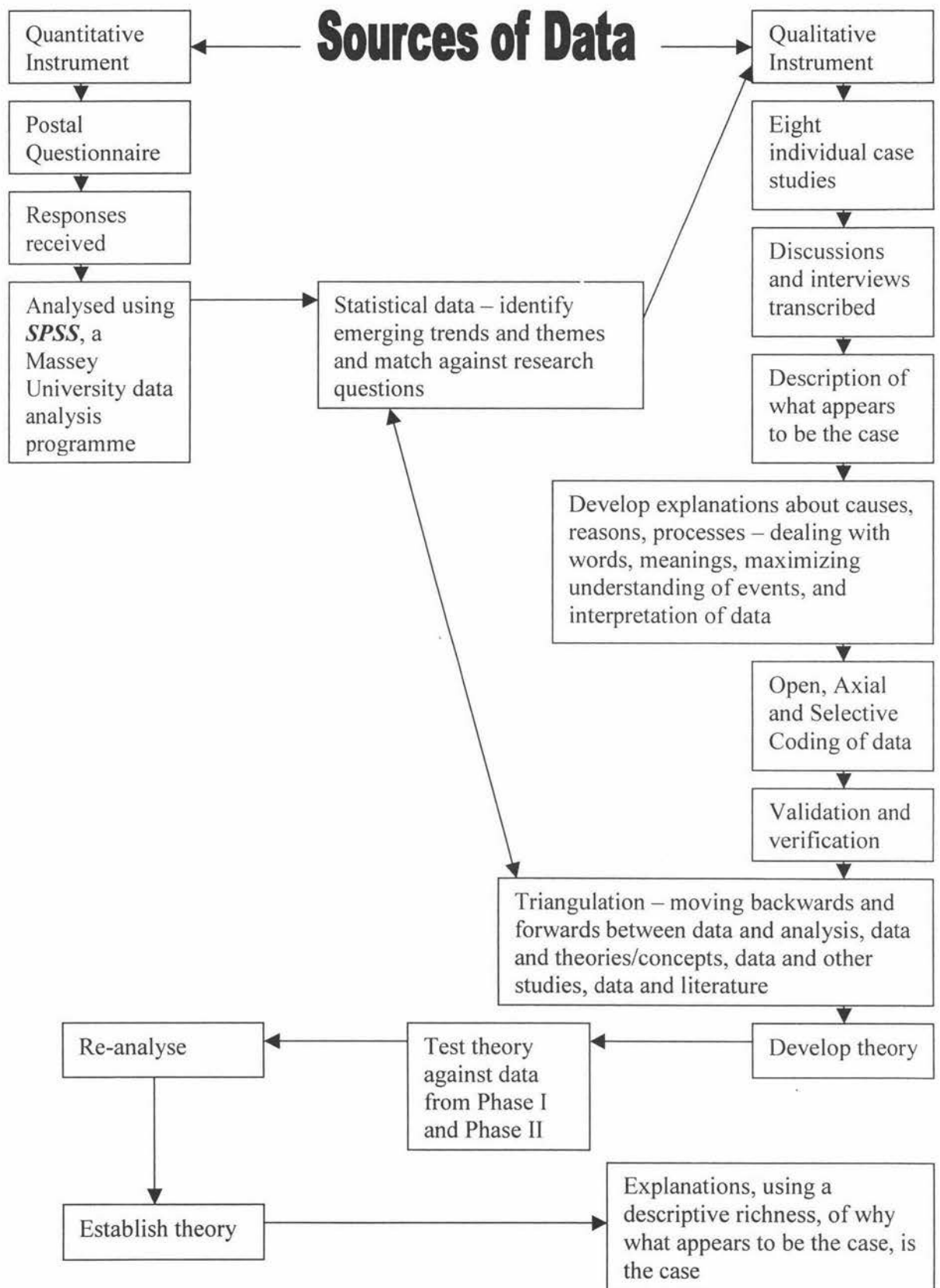
In using multiple data collection methods, bias was reduced. The validity and reliability of the data was enhanced by triangulation. The researcher ensured that her study was reliable and valid by:

- (i) Being consistent in all aspects of data collection and analysis.
- (ii) Documenting methodology so that other researchers can duplicate the study in the same or similar conditions
- (iii) Standardising research conditions.
- (iv) Choosing an appropriate research design.

***Timeline of the Study***

Figure 3.2 (Page 71) outlines the time frames that the researcher worked within to complete this study.

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**Figure 3.1** An Overview of the Data Analysis Process  
Source – A M Taylor, 2000

# Timeline of the Study

## July 1999-December 1999

Preliminary preparation as necessary for the compulsory paper, *Educational Research Methods* in the Masters of Educational Administration degree.



## January 2000-July 2000

Literature review – New Zealand. Literature review – Internationally.

Prepare the necessary documentation for application to the *Massey University* Human Ethics Committee for research protocols to be discussed and approved.

Once approval was granted, conduct Phase I of the research process and receive responses from the postal questionnaire and record, analyse and interpret the results. Send a summary of the questionnaire findings to those participants who indicated that they would like to receive the results.

Prepare the necessary documentation for application to the *Massey University* Human Ethics Committee for research protocols for Phase II to be discussed and approved.

Once approval was granted, prepare the necessary documentation to begin conducting Phase II of the research process, on-site interviews at eight schools.



## August 2000-October 2000

Identify schools for on-site visits. Send out an information sheet, consent form and a copy of the questions that will be asked in the interviews.

Upon receipt of the consent forms and details of suitable dates and times for the on-site visits to take place, contact the participants and schedule the on-site visits.

Conduct the on-site visits and record the interviews in audiotape if permission to do so is granted. Conduct observations and collect relevant documentation.

Send the transcribed interviews to the participants for verification. If clarification was required, a telephone call was made. Record, analyse and interpret results.

Collation of draft individual reports into an overview of the issues that surround the governance and management interface. This report will be matched against the data collected in Phase I of the research process, to further test propositions and emergent theories that were identified by the researcher in the methodological phase of her research process.



## November 2000-August 2001

Preparation of the final research report and submission to *Massey University* for marking.

Circulate a letter of thanks to all participants.

Throughout 2000, monthly visits were undertaken with the research supervisor at *Massey University*. The researcher and the research supervisor maintained regular contact via email, telephone and facsimile outside of these monthly visits. At each visit, appropriate stages of the research process and methodology were discussed.

**Figure 3.2** Timeline of the Study

***Summary***

This chapter examined the procedures and research methodology used in this study. It outlined the researcher's role and the ways in which the participants were selected. Data collection processes and analysis of data were discussed. Difficulties experienced during the methodology were described and the ethical considerations that a researcher has to acknowledge and be aware of at all times were recorded.

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## CHAPTER FOUR

### PHASE I RESULTS

#### *Introduction*

This chapter presents the integrated data obtained through the postal questionnaires.

It is set around the themes identified by the researcher and is presented in two forms:

- (i) Tables
- (ii) Figures

This data will be used at the basis for discussion in Chapter Seven and the conclusions drawn in Chapter Eight.

At the beginning of this chapter, background details provide information about the participants. The three key research questions, posited in chapter two, form the focus of the study.

<b>POSTAL QUESTIONNAIRE</b>
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#### *Background*

Participants involved in phase I totalled thirty-six. The details of each participant are illustrated in Table 4.1.

**Table 4.1**      **Details of participants in phase I**

School	Decile Rating	Roll Grade (1.03.00)	Principal	BOT Chair
0106	3	U6	Male	Male
0110	9	U6	Male	Male
0201	7	U7	Male	Female
0205	2	U5	Male	Female
0206	4	U5	Male	Male
0207	8	U8	Male	Male
0208	9	U8	Female	Male
0302	7	U5	Male	Female
0305	5	U4	Female	Male
0306	5	U4	Male	Female
0308	5	U6	Male	Female
0401	4	U4	Male	Male
0402	4	U4	Male	Male
0105	8	U7	Male	Male*
0202	5	U6	Male	Male*
0309	2	U5	Male	Female*
0403	2	U6	Male	Female*
0102	1	U5	Male*	Female
0108	6	U6	Female*	Male
0209	4	U5	Female*	Male
0303	8	U8	Male*	Male
0304	8	U8	Female*	Female
0311	2	U5	Male*	Male

NB      \*      = *Did not return questionnaire*

*Student numbers that determine Roll Grades are:*

U3	101-150	U4	151-300	U5	301-500
U6	501-850	U7	851-1200	U8	1201-1600
U9	over 1600				

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Of the thirty-six participants, twenty-eight were male, eight were female. The schools ranged in decile ratings from one to nine. The roll sizes ranged from U4 to U8. There were fifteen male principals, and two female principals. There were thirteen male board chairpersons and six female board chairpersons.

### ***Overall Responses to the Questionnaire***

#### **Part A**

Part A of the postal questionnaire required participants to indicate their agreement or disagreement on each statement (on a scale from strongly disagree to strongly agree), in relation to governance and management and the governance/management interface. Results are presented in Table 4.2 below.

**Table 4.2** Means and standard deviations for responses to Part A

<b>Statement</b>	<b>M</b>	<b>SD</b>
Governance is primarily the responsibility of the board of trustees	4.54	.70
Management is primarily the responsibility of the principal	4.56	.65
Section 75 of the Education Act 1989 clearly states the role of the board of trustees	3.43	1.14
Section 76 of the Education Act 1989 clearly states the role of the principal	3.57	1.20
A principal can be seen as standing somewhere apart from the board of trustees of which he/she is a member	2.75	1.32
New boards of trustees should receive training in governance and management	4.53	.77
There is a clear delineation between the roles of governance and management	3.31	1.28
Dividing the roles of governance and management goes against the spirit of Tomorrow's Schools and the Education Act 1989	2.26	1.09
The relationship between boards of trustees and principals must be a consultative and co-operative process; - involves a spectrum of shared power	4.64	.49
Boards of trustees should clearly define and document the scope of their powers, role and responsibilities	3.83	1.08
Boards of trustees should clearly define and document the scope of the principal's powers, role and responsibilities	4.03	.86
A board of trustees should operate using "hands-off" management	4.08	.94
If boards of trustees clearly understand the governance/ management interface, then this will contribute to the effective management of the school and delivery of high quality educational outcomes	4.56	.65

NB: All values to two significant figures

The values assigned to the Likert scale for Part A were as follows:  
Strongly disagree(1) Disagree(2) Not sure(3) Agree(4) Strongly Agree (5)

Table 4.2 provides the responses. There is a trend for participants to agree with the 'clear cut' statements on governance and management and the governance/management interface.

In example:

- (i) Governance is primarily the responsibility of the board of trustees. (Mean result of 4.54).
- (ii) Management is primarily the responsibility of the principal. (Mean result of 4.56).
- (iii) New boards of trustees should receive training in governance and management. (Mean result of 4.53).
- (iv) The relationship between boards of trustees and principals must be a consultative and co-operative process; - involves a spectrum of shared power. (Mean result of 4.64).

However, participants' responses to the statements that form the focus of this study indicate the following:

- (i) They are 'not sure' whether or not section 75 of the *Education Act 1989* clearly states the role of the board of trustees. (Mean result of 3.43).
- (ii) They are 'not sure' whether or not a principal can be seen as standing apart from the board of which they are a member. (Mean result of 2.75).
- (iii) They are 'not sure' whether or not there is a clear delineation between the roles of governance and management. (Mean result of 3.31).
- (iv) They 'disagree' that dividing the roles of governance and management goes against the spirit of *Tomorrow's Schools* and the *Education Act 1989*. (Mean result of 2.26).

## Part B

Part B of the postal questionnaire required participants to indicate their response to each statement (on a scale from yes to not sure), in relation to their own school's governance procedures and practices. These twelve statements are prescribed by *ERO* (June 1994, June 1999) as 'good governance' practices. 'Good Governance' as prescribed by *ERO*, was determined by textual analysis of the accountability review reports for schools who were being "successfully governed." The analysis facilitated the selection of a set of abstract

generic factors that account for all the significant aspects of governance referred to directly or indirectly in the reports.” (ERO, 1994:16). The main factors that were determined are vision, planning and implementing, relationships and communication and accountability.

Results are presented in Table 4.3 below.

**Table 4.3 Means and standard deviations for responses to Part B**

<b>Statement</b>	<b>M</b>	<b>SD</b>
The board of trustees provides a clear vision	3.61	.60
The board of trustees plans strategically	3.56	.65
The board of trustees knows its responsibility	3.74	.44
The board of trustees carries out this responsibility	3.67	.59
The board of trustees takes timely action over all issues	3.58	.65
The board of trustees attends efficiently to all matters	3.33	.68
The board of trustees assesses its training needs and seeks opportunities for development	3.06	.55
The board of trustees plans for succession	3.26	.67
The board of trustees promotes positive relationships and establishes clear systems of communication	3.67	.59
The board of trustees is responsive to wishes of stakeholders and consults on all important issues	3.54	.56
The board of trustees undertakes self-review	3.42	.65
The board of trustees maintains and develops the quality of all aspects of its operations	3.66	.48

*NB All values to two significant figures*

The values assigned to the Likert scale for Part B were as follows:  
 Yes(4) Partially addressed(3) Not addressed(2) Not sure(1)

Table 4.3 provides the responses. There is a trend for participants to indicate that boards of trustees are exhibiting a majority of 'good governance' practices. In example:

- (i) The board of trustees provides a clear vision. (Mean result of 3.61).
- (ii) The board of trustees knows their responsibility. (Mean result of 3.74).
- (iii) The board of trustees carries out this responsibility. (Mean result of 3.67).
- (iv) The board of trustees promotes positive relationships and establishes clear systems of communication. (Mean result of 3.67).
- (v) The board of trustees maintains and develops the quality of all aspects of its operations. (Mean result of 3.66).

The statements where the response indicated that boards of trustees had 'partially addressed' an aspect of governance practices were:

- (i) The board of trustees attends efficiently to all matters. (Mean result of 3.33).
- (ii) The board of trustees assesses its training needs and seeks opportunities for development. (Mean result of 3.06)
- (iii) The board of trustees plans for succession. (Mean result of 3.26).
- (iv) The board of trustees undertakes self-review. (Mean result of 3.42).

### ***Responses by Position held***

#### **Part A**

The researcher wanted to investigate if there was any difference in participants' responses if the results were analysed by 'position held.' Results are presented in Table 4.4 below.

**Table 4.4** Means and standard deviations for responses to Part A by Position

Statement	Principal		Board Chair	
	M	SD	M	SD
Governance is primarily the responsibility of the board of trustees	4.56	.63	4.53	.77
Management is primarily the responsibility of the principal	4.63	.50	4.50	.76
Section 75 of the Education Act 1989 clearly states the role of the board of trustees	3.00	.50	3.79	.71
Section 76 of the Education Act 1989 clearly states the role of the principal	3.19	1.47	3.89	.81
A principal can be seen as standing somewhere apart from the board of trustees of which he/she is a member	2.63	1.36	2.85	1.31
New boards of trustees should receive training in governance and management	4.56	.81	4.50	.76
There is a clear delineation between the roles of governance and management	2.88	1.36	3.65	1.14
Dividing the roles of governance and management goes against the spirit of Tomorrow's Schools and the Education Act 1989	2.00	.97	2.47	1.17
The relationship between boards of trustees and principals must be a consultative and co-operative process; - involves a spectrum of shared power	4.69	.48	4.60	.50
Boards of trustees should clearly define and document the scope of their powers, role and responsibilities	3.88	.96	3.80	1.20
Boards of trustees should clearly define and document the scope of the principal's powers, role and responsibilities	3.75	.93	4.26	.73
A board of trustees should operate using "hands-off" management	4.38	.89	3.85	.93
If boards of trustees clearly understand the governance/management interface, then this will contribute to the effective management of the school and delivery of high quality educational outcomes	4.81	.40	4.35	.75

NB All values to two significant figures

Table 4.4 provides the responses by 'position held' to Part A. There is a trend for principals and board chairpersons to agree with the majority of statements on governance and management and the governance and management interface.

In calculating a *Correlation Coefficient*<sup>1</sup>, to determine if there is a linkage between the data obtained from the principals and board chairpersons, the result is presented below:

$$\text{Correlation Coefficient} \quad 0.897$$

A *Correlation Coefficient* of +1 indicates a perfect positive linear relationship, whereas a *Correlation Coefficient* of zero indicates no linear relationship at all. "As the *Correlation Coefficient* increases from zero to +1 (or decreases from zero to -1) the linear relationship between the sample values of x and y becomes more pronounced." (Hayslett *et.al* 1971:133). The result of 0.897 indicates that there is a strong relationship between the principals' and board chairpersons' responses.

The statements where there is a difference in response by 'position held' are:

- (i) Section 75 of the *Education Act 1989* clearly states the role of the board of trustees.  
Principals have a mean result of 3.00 – 'not sure'.  
Board chairpersons have a mean result of 3.79 – 'agree'.
- (ii) Section 76 of the *Education Act 1989* clearly states the role of the principal.  
Principals have a mean result of 3.19 – 'not sure'.  
Board chairpersons have a mean result of 3.89 – 'agree'.
- (iii) There is a clear delineation between the roles of governance and management.  
Principals have a mean result of 2.88 – 'not sure'.  
Board chairpersons have a mean result of 3.65 – 'agree'.

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<sup>1</sup> To calculate the *Correlation Coefficient*, the researcher used a statistical calculator. She entered the data from the tables and used the functions on the calculator to determine the results.

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**Part B**

Results of the participants' responses by 'position held' to Part B are presented in Table 4.5 below.

**Table 4.5 Means and standard deviations for responses to Part B by Position**

Statement	Principal		Board Chair	
	M	SD	M	SD
The board of trustees provides a clear vision	3.50	.63	3.70	.57
The board of trustees plans strategically	3.44	1.56	3.65	.59
The board of trustees knows its responsibility	3.60	.51	3.85	.37
The board of trustees carries out this responsibility	3.44	.73	3.85	.36
The board of trustees takes timely action over all issues	3.38	.81	3.75	.44
The board of trustees attends efficiently to all matters	3.19	.83	3.45	.51
The board of trustees assesses its training needs and seeks opportunities for development	3.00	.55	3.10	.55
The board of trustees plans for succession	3.27	.70	3.27	.65
The board of trustees promotes positive relationships and establishes clear systems of communication	3.62	.62	3.30	.57
The board of trustees is responsive to wishes of stakeholders and consults on all important issues	3.44	.63	3.63	.50
The board of trustees undertakes self-review	3.50	.63	3.35	1.65
The board of trustees maintains and develops the quality of all aspects of its operations	3.67	.49	3.65	.49

*NB All values to two significant figures*

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In calculating a *Correlation Coefficient* to determine if there is a linkage between the data obtained from the principals and board chairpersons, the result is presented below:

$$\text{Correlation Coefficient} \quad 0.543$$

This result indicates that there is a relationship between the principals and board chairpersons' responses. However, the relationship is not very strong because a *Correlation Coefficient* of 0.543 does not indicate a pronounced linear relationship.

Of the twelve statements in Part B, six show there is a difference in response by the principal and board chairperson. They are:

- (i) The board of trustees plans strategically.  
Principals have a mean result of 3.44 – 'partially addressed'.  
Board chairpersons have a mean result of 3.65 – 'yes'.
  - (ii) The board of trustees carries out this responsibility.  
Principals have a mean result of 3.44 – 'partially addressed'.  
Board chairpersons have a mean result of 3.85 – 'yes'.
  - (iii) The board of trustees takes timely action over all issues.  
Principals have a mean result of 3.38 – 'partially addressed'.  
Board chairpersons have a mean result of 3.75 – 'yes'.
  - (iv) The board of trustees promotes positive relationships and establishes clear systems of communication.  
Principals have a mean result of 3.62 – 'yes'.  
Board chairpersons have a mean result of 3.30 – 'partially addressed'.
  - (v) The board of trustees is responsive to wishes of stakeholders and consults on all important issues.  
Principals have a mean result of 3.44 – 'partially addressed'.  
Board chairpersons have a mean result of 3.63 – 'yes'.
  - (vi) The Board of trustees undertakes self-review.  
Principals have a mean result of 3.50 – 'yes'.  
Board chairpersons have a mean result of 3.35 – 'partially addressed'.
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## *Responses by Decile Rating*

### **Part A**

The researcher wanted to investigate if there was any difference in participants' responses if results were analysed by 'decile rating.' Two groups were created:

- (i) Low decile group – schools with decile ratings from one to five.
- (ii) High decile group – schools with decile ratings from six to ten.

The results are presented in table 4.6 on page 85.

In calculating a *Correlation Coefficient* to determine if there is a linkage between the data obtained from low decile and high decile schools, the result is presented below:

$$\text{Correlation Coefficient} \quad 0.918$$

This result indicates that there is a strong relationship between the low decile and high decile responses. The relationship is proportional; a favourable response from a high decile school indicates a favourable response from a low decile school and vice versa.

The results indicate that there is a difference in response between low decile and high decile schools for three statements. These are:

- (i) Section 75 of the *Education Act 1989* clearly states the role of the board of trustees.  
 Low decile schools have a mean result of 3.33 – 'not sure'.  
 High decile schools have a mean result of 3.57 – 'agree'.
  - (ii) Section 76 of the *Education Act 1989* clearly states the role of the principal.  
 Low decile schools have a mean result of 3.43 – 'not sure'.  
 High decile schools have a mean result of 3.79 – agree'.
  - (iii) There is a clear delineation between the roles of governance and management.  
 Low decile schools have a mean result of 3.09 – 'not sure'.  
 High decile schools have a mean result of 3.64 – 'agree'.
-

**Table 4.6** Means and standard deviations for responses to Part A by Decile

Statement	Low Decile		High Decile	
	M	SD	M	SD
Governance is primarily the responsibility of the board of trustees	4.57	.60	4.50	.85
Management is primarily the responsibility of the principal	4.60	.73	4.50	.52
Section 75 of the Education Act 1989 clearly states the role of the board of trustees	3.33	1.28	3.57	.94
Section 76 of the Education Act 1989 clearly states the role of the principal	3.43	1.25	3.79	1.12
A principal can be seen as standing somewhere apart from the board of trustees of which he/she is a member	2.86	1.28	2.57	1.40
New boards of trustees should receive training in governance and management	4.55	.91	4.50	.52
There is a clear delineation between the roles of governance and management	3.09	1.27	3.64	1.28
Dividing the roles of governance and management goes against the spirit of Tomorrow's Schools and the Education Act 1989	2.29	1.15	2.21	1.05
The relationship between boards of trustees and principals must be a consultative and co-operative process; - involves a spectrum of shared power	4.64	.49	4.64	.50
Boards of trustees should clearly define and document the scope of their powers, role and responsibilities	4.04	.90	3.50	1.29
Boards of trustees should clearly define and document the scope of the principal's powers, role and responsibilities	4.14	.79	3.86	.95
A board of trustees should operate using "hands-off" management	3.95	1.13	4.29	.47
If boards of trustees clearly understand the governance/management interface, then this will contribute to the effective management of the school and delivery of high quality educational outcomes	4.68	.48	4.36	.84

NB: All values to two significant figures

## Part B

The participants' responses by 'decile rating' to Part B are presented in Table 4.7 below.

**Table 4.7 Means and standard deviations for responses to Part B by Decile**

Statement	Low Decile		High Decile	
	M	SD	M	SD
The board of trustees provides a clear vision	3.46	.67	3.86	.36
The board of trustees plans strategically	3.36	.73	3.86	.36
The board of trustees knows its responsibility	3.59	.73	3.79	.43
The board of trustees carries out this responsibility	3.64	.58	3.71	.61
The board of trustees takes timely action over all issues	3.50	1.50	3.71	.61
The board of trustees attends efficiently to all matters	3.23	.69	3.50	.65
The board of trustees assesses its training needs and seeks opportunities for development	2.91	.75	3.00	.68
The board of trustees plans for succession	3.19	.75	3.21	.80
The board of trustees promotes positive relationships and establishes clear systems of communication	3.64	.58	3.71	.61
The board of trustees is responsive to wishes of stakeholders and consults on all important issues	3.50	.60	3.62	.51
The board of trustees undertakes self-review	3.36	.58	3.50	.76
The board of trustees maintains and develops the quality of all aspects of its operations	3.41	.73	3.86	.36

*NB All values to two significant figures*

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Table 4.7 provides the responses for low decile and high decile schools to Part B.

In calculating a *Correlation Coefficient* to determine if there is any linkage between the data obtained from low decile and high decile schools, the result is presented below:

$$\text{Correlation Coefficient} \quad 0.805$$

This result indicates that there is a strong relationship between the low decile and high decile responses. The relationship is proportional; a favourable response from a high decile school indicates a favourable response from a low decile school and vice versa.

The differences between low decile responses and high decile responses are identified for five statements. They are:

- (i) The board of trustees provides a clear vision.  
Low decile schools have a mean result of 3.46 – ‘partially addressed’.  
High decile schools have a mean result of 3.86 – ‘yes’.
  - (ii) The board of trustees plans strategically.  
Low decile schools have a mean result of 3.36 – ‘partially addressed’.  
High decile schools have a mean result of 3.86 – ‘yes’.
  - (iii) The board of trustees attends efficiently to all matters.  
Low decile schools have a mean result of 3.23 – ‘partially addressed’.  
High decile schools have a mean result of 3.50 – ‘yes’.
  - (iv) The board of trustees undertakes self-review.  
Low decile schools have a mean result of 3.36 – ‘partially addressed’.  
High decile schools have a mean result of 3.50 – ‘yes’.
  - (v) The board of trustees maintains and develops the quality of all aspects of its operations.  
Low decile schools have a mean result of 3.41 – ‘partially addressed’.  
High decile schools have a mean result of 3.86 – ‘yes’.
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### *What is Indicated by the Results from Phase I?*

#### **Overall Responses**

##### **Part A**

The 'overall' responses to Part A of the questionnaire enabled the researcher to identify four statements where there was a range of opinion.

In two statements, the responses were closer to 'not sure' rather than 'agree'. These were:

*Statement i) Section 75 of the Education Act 1989 clearly states the role of the board of trustees. (Mean result of 3.43).*

The participants were 'not sure' that this section clearly states the role of the board of trustees. *Section 75* is ambiguous and each board of trustees will have interpreted the wording differently and adapted its role from its interpretation. This issue will be investigated further in Phase II of data collection.

*Statement ii) There is a clear delineation between the roles of governance and management. (Mean result of 3.31).*

The researcher felt the response to this statement was to be expected as there is an overlap of governance and management. The two roles are not clearly delineated by *Tomorrow's Schools* or by legislation and it would seem that there is an intricate meshing of the two roles.

In one of the two remaining statements, the response was closer to 'not sure' rather than 'disagree.' It was:

*Statement iii) A principal can be seen as standing somewhere apart from the board of trustees of which he/she is a member. (Mean result of 2.75).*

The researcher was surprised at the response to this statement. She began her study with the opinion that a principal could not be seen as standing somewhere apart from the board of which he/she is a member because of the collaborative governance and management structure created by *Tomorrow's Schools*. (See Figure 1.1). The principal is a full member of the board and has a paradoxical relationship - he/she is both the employer and employee.

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This issue will be the focus of further discussion in Phase II of the data collection process and in Chapter Seven.

In the remaining statement, the response was closer to 'disagree' rather than 'not sure'. It was:

*Statement iv) Dividing the roles of governance and management goes against the spirit of Tomorrow's Schools and the Education Act 1989. (Mean result of 2.26)*

The researcher felt the response to this statement was to be expected, given the overlap of governance and management roles and responsibilities. This response could aid in the current Labour coalition government's decision-making processes, whether or not to plan for legislative reform in the near future.

## **Part B**

The 'overall' responses to Part B of the questionnaire enabled the researcher to identify four statements where the mean result indicated that boards of trustees have only 'partially addressed' some governance practices.

They were:

*Statement i) The board of trustees attends efficiently to all matters. (Mean result of 3.33).*

This response could be due to the fact that some boards of trustees have only partially developed systems to ensure that routine tasks are efficiently attended to. This response could also be due to the fact that boards of trustees usually meet once a month (although it is common for sub-committees to meet before the monthly board meeting) and have careers and families to manage as well as their trustee commitments.

*Statement ii) The board of trustees assesses its training needs and seeks opportunities for development. (Mean result of 3.06)*

This response indicates that training for boards of trustees may create something of a dilemma. The researcher is of the opinion that the majority of professional development programmes tend to treat boards as though they are generic. While *Tomorrow's Schools*

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created a generic situation for the educational administration of each school, the potential for each school to seek training and professional development to develop its own unique governance/management interface is unlimited. Training for boards is an issue that the researcher will delve into further in Phase II of data collection and in Chapter Seven.

*Statement iii) The board of trustees plans for succession.* (Mean result of 3.26).

While each board's term is three years, not all board members serve a full term for a variety of reasons. It is vital that boards prepare for membership change and this response indicates that this issue is only partially addressed by the schools that participated in Phase I. Structures must be developed which will ensure that any changes to membership, proceed accurately and smoothly.

*Statement iv) The board of trustees undertakes self-review.* (Mean result of 3.42).

This response would indicate that the majority of schools which participated in Phase I have only partially addressed the issue of self-review. Self-review at the board of trustees level must be regular. It could involve the review of policies, performance management systems, implementation of strategic planning and the setting of school-wide goals and objectives. Self-review ensures the quality of the service provided and it is vital that boards of trustees have a focused self-review cycle in place.

### ***Responses by Position***

#### **Part A**

Upon analysing the responses by 'position held' to Part A, the researcher identified three statements where the mean result indicated a 'difference' of opinion between the principal and board chairperson.

These statements were:

*Statement i) Section 75 of the Education Act 1989 clearly states the role of the board of trustees.* Principals (Mean result of 3.00 - 'not sure'). Board Chairpersons (Mean result of 3.79 - 'agree').

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The principals' response is identical to the 'overall' response of 'not sure.' However, board chairs 'agree' that section 75 is clear on the role of the board of trustees in relation to governance. Section 75 is a key theme in this study and further analysis on this section of the *Education Act 1989* will occur in Chapter Five and in Chapter Seven.

*Statement ii) Section 76 of the Education Act 1989 clearly states the role of the principal.* Principals (Mean result of 3.19 - 'not sure'). Board Chairpersons (Mean result of 3.89 – 'agree').

This statement did not feature as a 'difference' in the 'overall' responses. However, the responses by position held indicate a difference between principals and board chairs in relation to section 76. Board chairs feel that section 76 is clear on the role of the principal. Section 76 is a key theme in this study and further analysis on this section of the *Education Act 1989* will occur in Chapter Five and in Chapter Seven.

*Statement iii) There is a clear delineation between the roles of governance and management.* Principals (Mean result of 2.88 – 'not sure'). Board Chairpersons (Mean result of 3.65 – 'agree').

The 'overall' response to this statement had a mean of 3.31, which indicated a 'not sure' response. In contrast, the responses by 'position held' indicate 'not sure' from principals yet 'agree' from board chairs. The researcher is of the opinion that there is not a clear delineation and this issue will be further investigated in Phase II of data collection and in Chapter Seven.

## **Part B**

Upon analysing the responses by 'position held' to Part B, the researcher identified five statements where the mean result indicated a 'difference' of opinion between the principals and board chairs.

These statements were:

*Statement i) The board of trustees plans strategically.* Principals (Mean result of 3.44 – 'partially addressed'). Board Chairpersons (Mean result of 3.65 – 'yes').

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This statement did not feature in 'overall' responses. However, the responses by position indicate a difference of opinion between principals and board chairs. Strategic planning must be planned for to enable the school to meet and continue to meet its mission statement, charter goals and all other obligations. Strategic planning is not an easy task. It requires a commitment from all stakeholders and it is an on-going process.

*Statement ii) The board of trustees carries out this responsibility.* Principals (Mean result of 3.44 – 'partially addressed'). Board Chairpersons (Mean result of 3.85 – 'yes').

This statement did not feature in 'overall' responses. However, these means indicate that principals believe that their board may not always efficiently utilise the resources it has at its disposal to carry out its governance responsibilities. This result could be due to some board of trustees not having a clear and concise understanding of the role of governance.

*Statement iii) The board of trustees takes timely action over all issues.* Principals (Mean result of 3.38 – 'partially addressed'). Board Chairpersons (Mean result of 3.75 – 'yes').

This statement did not feature in 'overall' responses. However, the response by position indicates that principals believe their boards may not take timely action over all issues.

*Statement iv) The board of trustees is responsive to wishes of stakeholders and consults on all important issues.* Principals (Mean result of 3.44 – 'partially addressed'). Board Chairpersons (Mean result of 3.63 – 'yes').

This statement did not feature in 'overall' responses. However, the response by position indicates that principals believe that their board may not always be fully responsive to the wishes of the community and that consultation on some important policy issues may be lacking.

*Statement v) The board of trustees undertakes self-review.* Principals (Mean result of 3.50 – 'yes'). Board Chairpersons (Mean result of 3.35 – 'partially addressed').

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This statement featured in the 'overall' responses. Self-review is a requirement of all boards of trustees and this result is interesting. It indicates that boards of trustees may still be developing their own self-review plan and cycle.

### ***Responses by Decile Rating***

#### **Part A**

Upon analysing the responses by 'decile rating' to Part A, the researcher identified three statements where the mean result indicated a 'difference' of opinion between schools with decile ratings between one and five (low decile group) and schools with decile ratings between six and ten (high decile group).

These statements were:

*Statement i) Section 75 of the Education Act 1989 clearly states the role of the board of trustees.* Low decile group (Mean result of 3.33 – 'not sure'). High decile group (Mean result of 3.57 – 'agree').

The response from the low decile group is identical to the 'overall' response and principal's response of 'not sure.' The high decile group agrees with board chairs, that section 75 does clearly state the role of the board of trustees.

*Statement ii) Section 76 of the Education Act 1989 clearly states the role of the Principal.* Low decile group (Mean result of 3.43 – 'not sure'). High decile group (Mean result of 3.79 – 'agree'.)

The response from the low decile group is identical to that of the principals' response, while the high decile group response is similar to that of the board chairs.

*Statement iii) There is a clear delineation between the roles of governance and management.* Low decile group (Mean result of 3.09 – 'not sure'). High decile group (Mean result of 3.64 – 'agree').

The response from the low decile group is identical to the 'overall' response and to the response by principals. The high decile group response is identical to the response by

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board chairs, which agree that there is a clear delineation between the roles of governance and management.

## **Part B**

Upon analysing the responses by decile ratings to Part B, the researcher identified four statements where the mean results between schools with low decile ratings and schools with high decile ratings were different.

These were:

*Statement i) The board of trustees provides a clear vision.* Low decile group (Mean result of 3.46 – ‘partially addressed’). High decile group (Mean result of 3.86 – ‘yes’).

This response did not feature in the ‘overall’ response or the response by ‘position held.’ Providing a clear vision, one that has been prepared and developed after consultation with stakeholders, is crucial in order for the board of trustees to govern successfully.

*Statement ii) The board of trustees plans strategically.* Low decile group (Mean result of 3.36 – ‘partially addressed’). High decile group (Mean result of 3.86 – ‘yes’).

This statement featured as a ‘difference’ in responses by ‘position held’, whereby the principals’ response was identical to the low decile group and the board chairs’ response was identical to the high decile group.

*Statement iii) The board of trustees undertake self-review.* Low decile group (Mean result of 3.36 – ‘partially addressed’). High decile group (Mean result of 3.50 – ‘yes’).

This statement featured in the ‘overall’ responses as being ‘partially addressed.’ In the responses by ‘position held’, principals indicated that it was addressed, yet board chairs indicated that it was ‘partially addressed.’ Self-review is an important facet of a board’s governance practices and it is evident from the results that boards of trustees need to be

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fully conversant with the practice of self-review and ensure that an appropriate and rigorous cycle is developed, implemented and maintained.

*Statement iv) The board of trustees maintains and develops the quality of all aspects of its operations.* Low decile group (Mean result of 3.41 – ‘partially addressed’).  
High decile group (Mean result of 3.86 – ‘yes.’).

This response did not feature in the ‘overall’ response or response by ‘position held.’ Boards must be aware of their responsibilities and not make assumptions about the limits of their responsibilities.

### ***Common Themes in the Results from Phase I***

#### **Part A**

In order to identify common themes in the data collected, the researcher analysed the responses from Tables 4.2, 4.4 and 4.6. The researcher studied the responses to the statements that formed the focus of this study from the overall responses (Table 4.2) and determined the responses to these statements from principals and board chairpersons (Table 4.4) and low decile and high decile schools (Table 4.6).

The results of this analysis are presented in Table 4.8 below.

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**Table 4.8**      **Statements where differences of opinion were identified in Part A**

Statement	Table 4.2 Overall	Table 4.4 By job	Table 4.6 By decile
Section 75 of the Education Act 1989 clearly states the role of the board of trustees	*	*	*
Section 76 of the Education Act clearly states the role of the principal		*	*
A principal can be seen as standing as somewhere apart from the board of trustees of which he/she is a member	*		
There is a clear delineation between the roles of governance and management	*	*	*
Dividing the roles of governance and management goes against the spirit of Tomorrow's Schools and the Education Act 1989	*		

Table 4.8 provides evidence that participants believe that:

- i) Section 75 of the *Education Act 1989* does not clearly state the role of the board of trustees.
- ii) Section 76 of the *Education Act 1989* does not clearly state the role of the principal.
- iii) That there is not a clear delineation between the roles of governance and management.

This evidence can be related back to one of the researcher's opinions before she began this study, that there is an overlap of governance and management roles for principals and boards of trustees, despite the definitions used in section 75 and 76 of the *Education Act 1989*. These three themes will be studied further in Chapter Seven.

## Part B

In order to determine common themes in the data collected, the researcher analysed the responses from Tables 4.3, 4.5 and 4.7. The researcher studied the responses to the ‘good governance’ practices as espoused by *ERO* from the overall responses (Table 4.3) and determined the responses to these statements from principals and board chairpersons (Table 4.5) and low decile and high decile schools (Table 4.7).

The results of this analysis are presented in Table 4.9 below.

**Table 4.9**      **Statements where difference of opinions were identified in Part B**

Statement	Table 4.3 Overall	Table 4.5 By job	Table 4.7 By decile
The board of trustees provides a clear vision			*
The board of trustees plans strategically		*	*
The board of trustees carries out this responsibility		*	
The board of trustees takes timely action over all issues		*	
The board of trustees attends efficiently to all matters	*		*
The board of trustees assesses its training needs and seeks opportunities for development	*		
The board of trustees plans for succession	*		
The board of trustees promotes positive relationships and establishes clear systems of communication		*	
The board of trustees is responsive to wishes of stakeholders and consults on all important issues		*	
The board of trustees undertakes self-review	*	*	*
The board of trustees maintains and develops the quality of all aspects of its operations			*

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Table 4.9 provides evidence that participants believe that:

- (i) Board of trustees may have partially addressed their strategic plan needs.
- (ii) Boards of trustees may not always attend efficiently to all matters.
- (iii) Boards of trustees have partially undertaken self-review.

These trends provide evidence that principals and board chairs from schools involved in Phase I may need to address some of the governance practices as espoused by *ERO*.

### *Summary*

Chapter Four presents the results of the postal questionnaire. The research sought to determine the viewpoints of principals and board chairpersons on governance and management and the governance-management interface. It also sought to determine if schools were practicing 'good governance' as espoused by *ERO*.

A number of common factors were identified from participants' responses:

- Governance is primarily the responsibility of the board of trustees.
- Management is primarily the responsibility of the principal.
- New boards of trustees should receive training in governance and management.
- The relationship between boards of trustees and principals must be a consultative and co-operative process; - involves a spectrum of shared power.
- Boards of trustees should clearly define and document the scope of its power, role and responsibilities.
- A Board of trustees should operate using 'hands off' management.
- If Boards of trustees clearly understand the governance-management interface, then this will contribute to the effective management of the school and delivery of high quality educational outcomes.

A number of common themes were identified from participants' responses to statements that form the focus of this study:

- *Section 75 of the Education Act 1989* does not clearly state the role of the board of trustees.
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- *Section 76 of the Education Act 1989* does not clearly state the role of the principal.
  - A principal cannot be seen as standing apart from the board of trustees of which he/she is a member.
  - There is not a clear delineation between the roles of governance and management.
  - Dividing the roles of governance and management does not go against the spirit of *Tomorrow's Schools* and the *Education Act 1989*.

These five themes will be investigated further in Chapter Five, which presents the integrated data obtained from Phase II of data collection, on-site interviews.

The majority of participants indicated that their schools were exhibiting *ERO's* 'good governance' practices. However, there were three 'good governance' practices that schools indicated that they may need to develop further and they were:

- Addressing the school's strategic plan needs.
  - Ensuring that the board attended efficiently to all matters.
  - Undertaking self-review in a structured and regular matter.
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## CHAPTER FIVE

### PHASE II RESULTS

#### *Introduction*

This chapter presents the integrated data obtained through the on-site interviews with seven<sup>1</sup> principals and board chairpersons.

It is set around the themes identified by the researcher and is presented in two forms:

- (i) Tables
- (ii) Narrative

Readers of this study will be able to hear the participants' own 'voices', to allow them to draw their own conclusions about the data obtained through the interviews. This data will be used, along with the data in Chapter Four, as the basis for discussion in Chapter Seven and the conclusions drawn in Chapter Eight.

The data will be presented in five parts within the chapter:

- (i) On-site interviews with principals. Responses to questions 1-4, 6, 8-10
- (ii) On-site interviews with board chairs. Responses to questions 1-4, 6, 8-10
- (iii) Farnsworth Bishop and Associates Perception Exercise. Responses to question 5.  
The results from all seven schools will be presented on a school-by-school basis.
- (iv) Policy Governance<sup>2</sup>. Responses to question 7.
- (v) Responses to scenarios on conflict over governance and management issues.

At the beginning of this chapter, background details provide information about the participants, to allow readers to determine the unique characteristics of each school and the experience of each principal and board chairperson. The three key research questions posited in Chapter Two form the focus of the study.

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1 There were originally eight schools identified for participation in Phase II. Due to a lack of time on the behalf of the Board Chairperson, School 0106 withdrew from Phase II

2 John Carver advocates policy Governance.

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PART ONE: ON-SITE INTERVIEWS WITH PRINCIPALS

*Background*

Participants involved in Phase II totalled fourteen. Seven schools participated and the details are presented in Table 5.1 below.

**Table 5.1      Details of Participants in Phase II**

School	Decile Rating	Roll Size (1.03.00)	Principal	BOT Chair
0110	9	U6	Male	Male
0201	7	U7	Male	Female
0208	9	U8	Female	Male
0305	5	U4	Female	Male
0306	5	U4	Male	Female
0401	4	U4	Male	Male
0402	4	U4	Male	Male

Of the fourteen participants, ten were male, four were female. The schools ranged in decile ratings from four to nine. The roll sizes ranged from U4 to U8. There were five male principals and two female principals. There were five male Board Chairpersons and two female board chairpersons.

Before the interview began, the researcher asked the principal of each school a series of questions on the composition of the board of trustees. The details are presented in Table 5.2 below.

**Table 5.2 Background information on the Board of Trustees involved in Phase II**

<b>School</b>	<b>Gender of Parent Reps</b>	<b>% of School that identifies as Maori</b>	<b>Ethnicity of Parent Reps</b>	<b>Member of NZSTA</b>	<b>Profession of Parent Reps</b>
0110	2 Male 2 Female	10	0 Maori 4 Non-Maori	No	Architect, Business person, Primary School Secretary, Teacher (RTLb)
0201	2 Male 4 Female	15	1 Maori 5 Non-Maori	Yes	Businesswoman, Secondary Teacher, University Lecturer, Librarian, Businesswoman, Real Estate Agent
0207	3 Male 3 Female	9.6	1 Maori 5 Non-Maori	Yes	Contracts Manager, Accountant, Financial Advisor, University Student, Lawyer, University Lecturer
0305	3 Male 2 Female	23	2 Maori 3 Non-Maori	Yes	Marketer, Farmer, Primary School Teacher, Farmer, Marketer
0306	2 Male 3 Female	34	1 Maori 4 Non-Maori	Yes	Personnel Manager, Farmer, Farmer, Farmer, Primary School Teacher
0401	2 Male 2 Female	50	3 Maori 1 Non-Maori	Yes	Business Manager, House-husband, Clerical Assistant, Housewife
0402	4 Male 1 Female	48	1 Maori 4 Non-Maori	Yes	Farmer, Contractor, Business Person, Primary School Teacher, Policeman

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All but one board had relatively even numbers of male and female parent representatives. The percentage of each school that identified as Maori ranged from 10 percent to 50 percent. All but one board had at least one Maori parent representative. The school that did not has a Whanau Committee who reports to the board on a monthly basis.

All but one school was a member of *New Zealand Schools Trustees Association*. This school stated that if financial circumstances permit, the school will become a member in 2001.

The professions of the parent representatives were varied. There was a mixture of professional and non-professional parent representatives on each board of trustees. Five of the seven schools had at least one educational professional (from another educational institution) on the board.

#### *The Interviews with the Principals*

The researcher began each on-site visit by interviewing the principal first.

**Question 1    How long have you been Principal of this school?**

**What was your previous position?**

**Question 2    Have you been a Board of Trustees member prior to becoming Principal of this school?**

The results are presented in Table 5.3 below.

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**Table 5.3      Background information on Principals involved in phase II**

School	Number of years as Principal	Previous position held	Number of years in previous Position	Member of BOT prior to this Principalship
0110	15	Deputy Principal	1	No*
0201	4	Deputy Principal	6	Yes
0207	6	Principal	6.5	Yes
0305	2 terms	Principal	3	Yes
0306	3 terms	Deputy Principal	3	No
0401	6	Senior Master	4	No
0402	2	Principal	7.5	Yes

*NB\*      Was a member of the Board of Governors prior to implementation of Tomorrow's Schools in 1989.*

The length of service for the principals ranged from two terms to fifteen years. All of the principals had been in senior management positions prior to their current principalship. Three of the seven principals had been principals prior to their current appointment.

Involvement in boards of trustees prior to their principalship varied. One principal had been a member of the board of governors prior to the implementation of *Tomorrow's Schools* in 1989. One principal had been co-opted annually by the board of trustees in his role as deputy principal as he was often required to stand in for his principal. Three principals had been principals prior to this appointment; hence they had experience of *Tomorrow's Schools*. The two remaining principals had had no direct involvement with

boards of trustees, although one principal had been an advisor for the *Ministry of Education* for three years, training boards of trustees on charter review.

**Question 3    What are your thoughts on the educational reforms brought about by Tomorrow's Schools?**

The responses to this question were analysed by the researcher into five subsections.

**(i)    *Advantages of Tomorrow's Schools***

The principals felt that *Tomorrow's Schools* had provided schools with '*flexibility*', '*empowerment*', '*community involvement*' and '*autonomy*.'

Generally, the principals were supportive of the *Tomorrow's Schools* concept and were supportive of the '*self-management*' model.

**(ii)    *Disadvantages of Tomorrow's Schools***

The principals stated the following as the disadvantages of *Tomorrow's Schools*:

- *The downside is the 'haves' and the 'have nots'. Schools should all be privileged. Some schools are difficult to staff and even with extra resources they are not on an even playing field. (Principal 0208 interview transcript p.1)*
- *Isolating due to the competitive model that has evolved due to government policies and the laissez-faire approach that has become the culture of central government agencies and a response to the 'new right' government and devolutionary trends .... The loss/demise of central agencies and other specialist services, such as 'Lopdell House' and the 'Curriculum Development Unit' is a huge concern. (Principal 0402 interview transcript p.1)*
- *A flawed system due to the lack of definition of the responsibilities on governance and management. The governance issue has never been clearly defined .... This means that board members may 'meddle' in management. (Principal 0401 interview transcript p.1)*
- *Massive workload has eventuated .... Educators were sold short in the sense of workload. (Principal 0305 interview transcript p.1)*

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- *Believe that many of the aims and goals set in place in 1988/1989 have not come through .... Society is impinging on schooling .... We have lost flexibility due to the way in which school systems are accountable to one organisation only – ERO. Only one way of compliance and that is ERO's way .... Principals and boards of trustees have a lot of responsibility, but very little power. (Principal 0110 interview transcript p.1)*
  - *Have a problem with the things that the government will not (or cannot) let go of. For example, with the abolition of the direct-resourcing scheme, this school received an amount of money to spend as the Board and I [Principal] see fit. Yet, I have to report back to the Ministry on how we are going to spend it. .... The new model has mean that schools have had to become more competitive and principals are spending a lot of time and money on attracting 'clients' and marketing. (Principal 0201 interview transcript p.1)*
  - *The lines that lie between the legislative responsibilities and board responsibilities are not clear. The Ministry of Education 'shifts' the lines at their convenience. The Ministry has a tendency to shuffle 'political hot potatoes' and have one foot in each camp. (Principal 0306 interview transcript p.1)*

Overall, the principals felt that the disadvantages of *Tomorrow's Schools* were centred on the *Ministry of Education* [lack of appropriate resourcing for all schools, 'new-right' ideology, workload issues, legislation] and *ERO* [the only form of accountability.] As mentioned above, the principals were generally supportive of a 'self-management' model. However, the concerns they have raised are valid.

### **(iii) Are schools businesses?**

The response to this question included:

- *Schools are enterprises that maximize production, utilizing scarce resources available to it. Firms do the same, but they aim to maximize profit. Schools maximize quality of service. (Principal 0402 interview transcript p.1)*
  - *Initial response to this concept was 'it is appalling.' But have to accept that this is the model that they [government] wish to have now and 'user pays' is part of*
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*everyday life, not just particular to schooling. (Principal 110 interview transcript p.1)*

- *Certainly excellent elements of the 'business model' that schools could utilize and use to their advantage .... This school has employed a 'business-manager' to do such tasks and let me [Principal] get on with being the professional and instructional leader of the school. (Principal 0201 interview transcript p.1)*
- *Certain aspects of schools can be run like a business, in particular property, finance and personnel. However, teaching and learning which is a school's core business, is not business orientated and we must not lose sight of that. (Principal 0306 interview transcript p.1)*

Generally, the principals view their schools as needing to utilize some business principles. However, they did not want schools to lose sight of their core business of teaching and learning.

**(iv) *Do you want to return to pre-Picot?***

There was a unanimous response of **NO** to this question.

All of the principals felt that the previous system [*Department of Education*] was far too controlling.

**(v) *What changes would you suggest to the current model?***

Principals responses to this question included:

- *One of the good things about the old system was the board of governors. This group had an educational expert on it. He/she was there as he/she had a benevolent interest in education – he/she wanted education to work and sat on the board out of duty to the community .... Boards of trustees could prosper even more if there was such a person required to be on each board. Need people on boards who 'have at heart, a fundamental interest in education.' (Principal 0208 interview transcript p.1)*
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- *Would like a governance structure set up within the school (similar to old board of governors), but given specific duties. (Principal 0401 interview transcript p.1)*
  - *.... Perhaps there could have been two principals appointed to each school, as they do in USA, to share the workload. (Principal 0306 interview transcript p.1)*
  - *.... Current system needs total review. (Principal 0110 interview transcript p.1)*
  - *Do not think that the 'full-trust' model is in operation. Understands the need to have audit and control processes, but in some issues boards have found out how powerless they actually are. I believe either have 'centralised control' or 'full devolution.' Ministry needs to sort out what they want to do. (Principal 0201 interview transcript p.1)*
  - *An educational professional on each board is a great idea. Must be clearly defined roles for MOE, ERO and NZQA in relation to the auditing of schools. Educational change is a certainty, however, we need some solid leadership and stability from the Ministry and government. (Principal 0306 interview transcript p.1)*

All of the principals indicated that changes to the current model could enhance the collaborative governance structure even further. The suggested changes centred on the *Ministry of Education* [their control of schools, role definitions for themselves, *ERO* and *NZQA*] and having an educational expert on each board.

**Question 4 Do you agree that Section 75 and 76 of the Education Act 1989 are:**

- i) Permissive rather than prescriptive?**
- ii) Empowering rather than restricting?**

The responses to this question include:

- Five principals stated that both these sections are *permissive* and *empowering*. (Principals 0110, 0305, 0306, 0401, 0402 interview transcripts p.2)
  - One principal stated that the model is *prescriptive* and *empowering*. (Principal 0201 interview transcript p.2)
  - One principal stated that *Section 75* is not clear, but *Section 76* is specific re the principal's role. *Since the Act was passed, they [the sections] have been interpreted and given meaning. Subsequent discussions and publications have aided schools to*
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*determine the roles of governance and management.* (Principal 0208 interview transcript p.2)

The themes that became apparent in data analysis re *Sections 75 and 76* included:

- *The bottom line is the relationship between the principal and the board chair and the other board members. It is a team of people striving to achieve a common goal.* (Principal 0110 interview transcript p.2)
- *Not sure that legislation can clearly state the roles of governance and management .... The relationship between the principal and board chair will dictate the prescription of the governance/management interface.* (Principal 0305 interview transcript p.2)
- *Section 75 does not define what the board has to achieve (i.e.; the specifics). It is open for interpretation and this can create issues. The Ministry makes it clear to the board, as does ERO, what the legislative requirements demand.* (Principal 0208 interview transcript p.2)
- *The interpretation of these sections depends entirely on the relationship between the principal and board of trustees.* (Principal 0201 interview transcript p.2)
- *These sections give 'spirit' to the Tomorrow's Schools relationship between the principal and the board. The working relationship between the principal and board chair is devolved from the roles of governance and management.* (Principal 0306 interview transcript p.2)

The majority of principals view *Sections 75 and 76* as permissive and empowering; - they give the principal and the board of trustees permission to create a unique governance-management interface that is empowering. The relationship between the principal and the board of trustees was seen as a pivotal tool in achieving a permissive and empowering governance-management interface.

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**Question 6    How do you and the Board of Trustees determine the roles of governance and management in your school?**

The responses to this question included:

- Four schools determine the roles of governance and management for the principal and board of trustees. (Schools 0201, 0208, 0306, 0401)
- Four of these four schools determined the roles at the beginning of the current board's term. The principal in three of these schools facilitated the 'training' re governance and management and the governance/management interface. (Schools 0110, 0201, 0208, 0402)
- In school 0306, the principal had only been in the position since the beginning of 2000. He has worked at developing a relationship between himself and the board that suits the style of governance and management .... *That works for the school. I will train the new Board after the elections in April 2001, using a mixture of educational professionals and myself.* (Principal 0306 interview transcript p.2)
- All seven principals indicated that a majority of board members had been involved in some form of governance and management training.

For the majority of schools, at the beginning of each board of trustees term, the principal would initiate and facilitate some form of governance-management training. Governance and management training was viewed as essential, to create a positive relationship between the principal and the board of trustees.

**Question 8    Do you see yourself as standing somewhere apart from the Board of Trustees of which you are a member?**

The responses to this question included:

- Four of the principals answered **NO**, they do not see themselves standing apart from the board. (Principals 0110, 0207, 0305, 0306 interview transcripts p.2)
  - Three of the principals answered **YES**, they do see themselves standing apart from the board. (Principals 0201, 0401, 0402 interview transcripts p.2)
-

Of the four principals that answered **NO**, the explanations included:

- .... *I am part and parcel of the board* (Principal 0110 interview transcript p.2)
- .... *Have different roles. I am an equal member of the board .... May not always be the perception of some of the board members though.* (Principal 0208 interview transcript p.2)
- .... *Staff may see me as standing apart.* (Principal 0306 interview transcript p.2)

Of the three principals that answered **YES**, the explanations included:

- *Yes, but it is not easy to do, because the board is my employer.* (Principal 0201 interview transcript p.2)
- .... *Thought of differently by the community; not as a board member but as a teacher. I expect to be somewhere in the middle.* (Principal 0401 interview transcript p.2)
- *Apart, but in a unique position. Principal has a composite position. Principal has to lead the board of trustees .... Often leads the board of trustees to get things going and then steps back and follows as the board of trustees finds direction .... Principal manages all facets of the school but he does not do it alone.* (Principal 0402 interview transcript p.2)

Over half of the principals indicated that they **do not** see themselves as being separate from the board of trustees. They have different roles as an employee and employer. The remaining principals indicated that they **do see** themselves as being separate from the board. They have a unique position.

#### **Question 9    How would you describe your relationship with the Board of Trustees?**

The responses to this question included:

- *'Open', 'transparent', 'trust', two-way communication channels', 'proactive', 'positive' and 'thorough.'*

The relationship between the principal and board of trustees in all seven schools was healthy and productive.

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**Question 10 If conflicts of governance and management arise, how are these issues solved?**

The responses to this question included:

- *'Talking it through'* and *'open discussion.'*
- All seven principals unanimously stated that mediation (from an independent person) would be sought if the issue(s) could not be resolved in the first instance by discussion.

All seven principals indicated that no major conflict over governance and management had arisen to date. However, they were all adamant that conflict [and unresolved conflict] had the potential to be divisive and in the first instance, they would address the issue(s) using procedures, policies and common sense.

<b>PART TWO: ON-SITE INTERVIEWS WITH BOARD CHAIRPERSONS</b>
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The researcher concluded each on-site visit by interviewing the board chairperson.

**Question 1 How long have you been Board Chairperson of this school?**

**How long have you been a Board member of this school?**

**Question 2 Have you been a Board of Trustees member prior to becoming a Board member of this school?**

The results are presented in Table 5.4 below.

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**Table 5.4** Background information on Board Chairpersons involved in phase II

School	Number of years as chair	Number of terms as a BOT member	Profession	Member of a another BOT before
0110	3	2	Architect	Yes
0201	5	3	Business Woman	No
0207	3	1	Contracts Manager	Yes
0305	2	2	Marketer	Yes
0306	3	2	Personnel Manager	No
0401	4	2	Business Manager	No
402	2	2	Farmer	No

*NB\* One term is three years in length*

The length of service for the board chairpersons ranged from two years to five years. All of the board chairpersons had been on the board for at least one term (three years), with the highest length of service being three terms (nine years).

The professions of the board chairpersons were varied. Six of the seven board chairpersons were in professional positions. The remaining board chairperson was a successful farmer.

Involvement in boards of trustees prior varied. Three board chairpersons had been on boards of trustees at the primary school level prior to their involvement with the secondary school board. Four board chairpersons had not had not had any direct involvement,

although indirectly had had some knowledge of how schools were governed and managed under *Tomorrow's Schools*.

**Question 3    What are your thoughts on the educational reforms brought about by Tomorrow's Schools?**

The responses to this question were analysed by the researcher into five subsections.

**(i)    *Advantages of Tomorrow's Schools***

The board chairpersons felt that *Tomorrow's Schools* had provided schools with '*flexibility*' and '*community involvement*.'

Generally the board chairpersons were supportive of the *Tomorrow's Schools* concept and were supportive of the '*self-management*' model.

**(ii)    *Disadvantages of Tomorrow's Schools***

The board chairpersons stated the following as disadvantages of *Tomorrow's Schools*:

- *The 'one glove fits all approach' is not working for all schools .... Changes are needed.* (Board Chairperson 0402B interview transcript p.1)
- *From the outset, Tomorrow's Schools was not set out in an efficient/practical way .... Schools were given guidelines but these are open to interpretation and that provides difficulties in itself .... Lack of training for boards in the beginning.* (Board Chairperson 0401A interview transcript p.1)
- *.... Reservation that the perception that schools would gain total control of own destiny has not eventuated .... Ministry of Education still has tight control over schools. My other reservation is that board members have careers and can only have a limited involvement in the role of schools.* (Board Chairperson 0208H interview transcript p.1)
- *.... Frustrating at times. Teacher entrenchment and political positions can cloud education .... Some communities may not take enough interest in education.* (Board Chairperson 0305E interview transcript p.1)
- *.... Feel government deceived parents by promising them that Tomorrow's Schools would give parents more say in decision-making re their child's education and more*

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choice .... This did not eventuate. (Board Chairperson 0201A interview transcript p.1)

- *Some Boards may struggle to obtain the 'right' candidates and/or candidates to stand for the board .... Board chairperson can be an onerous task .... Great if you have flexibility of time .... There is a 'lack of trust' in this model from the Ministry of Education .... Inability to collect school fees is a concern, especially in a high decile school. (Board Chairperson 0110J interview transcript p.1)*
- *Boards are expected to digest an awful amount of material from the Ministry of Education and with a change in government often come a change of policy and a change of direction .... This causes 'headaches' for boards of trustees and principals. (Board Chairperson 0306F interview transcript p.1)*

Overall, the board chairpersons felt that the disadvantages of *Tomorrow's Schools* were centred on the *Ministry of Education* [lack of training, control, workload and legislation]. As mentioned above, the board chairpersons (three of whom had experience of boards of trustees prior to their current board service) were generally supportive of a 'self-management' model. However, they do have valid concerns about the current model.

### **(iii) Are schools businesses?**

The responses to this question included:

- *See schools 'run' as a business, but here to provide an education to the students and we must not lose sight of that. (Board Chairperson 0402B interview transcript p.1)*
  - *View schools as businesses in the sense that the common goal is the 'best education for the students' and you need a business plan to do that. (Board Chairperson 0401A interview transcript p.1)*
  - *If a school has a structured business orientated management team to manage the organisation [like this school does] then the school can be seen as a business entity .... However we must not lose sight of the core function, which is to 'educate the young people.' (Board Chairperson interview transcript p.1)*
  - *View schools as businesses with the business roles being:*
    - *Board of Directors (Board of Trustees)*
-

- 
- *Chief Executive Officer (Principal)*
  - *Management Team (Principal, Deputy Principal, Assistant Principals, Finance Manager)* (Board Chairperson 0110J interview transcript p.1)

Generally, the board chairpersons view schools as being 'run' as a business. However, they did not want schools to overlook their core business of 'educating young people.'

**(iv) *Do you want to return to pre-Picot?***

There was a unanimous response of **NO** to this question.

All of the board chairpersons indicated that the previous system [although four of the seven had had no previous experience of boards of trustees before their present role] was far too controlling.

**(v) *What changes would you suggest to the current model?***

Board chairpersons responses to this question included:

- .... *Would like to see a blending of both centralisation and decentralisation of education.* (Board Chairperson 0401A)
- *Agree that the idea of an educationalist being on the board like there was in the board of governors days is a good idea. But would question where they would come from and could their focus be too narrow?* (Board Chairperson 0110J interview transcript p.1)
- .... *An educationalist on the board .... A good idea, but I would be wary of them trying to control the direction of the school.* (Board Chairperson 0306F interview transcript p.1)

One Board Chairperson would like to see a new system, that blends both 'autonomy' and 'government control', while two board chairpersons would question the mooted idea (by Principal 0208 and the researcher) of an educationalist on each board. The changes were less specific than those from the principals.

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**Question 4 Do you agree that Section 75 and 76 of the Education Act 1989 are:**

- i) Permissive rather than prescriptive?**
- ii) Empowering rather than restricting?**

The responses to this question included:

- Three board chairpersons stated that both these sections are permissive and empowering. (Board Chairpersons 0401A, 0402B, 0305E interview transcripts p.2)
- Two board chairpersons stated that both these sections are prescriptive and empowering. (Board Chairpersons 0110J, 0306F interview transcripts p.2)
- One board chairperson stated that both these sections are prescriptive, empowering and restricting. (Board Chairperson 0208H interview transcript p.2)
- One board chairperson stated that both these sections are restricting. (Board Chairperson 0201A interview transcript p.2)

The themes that became apparent in data analysis re *Sections 75 and 76* included:

- .... Comes back to the amount of time a board member can devote to the school given their career. And the more involved the board becomes, the more reservation I have about that involvement. (Board Chairperson 0208H interview transcript p.2)
  - Board can set policy and the principal must follow the general direction. Analogy – ‘rally driving’ – the principal is the driver and the board are the navigators. (Board Chairperson 0402B interview transcript p.2)
  - Relationship between principal and board chairperson is crucial. (Board Chairperson 0305E interview transcript p.2)
  - Schools are sometimes restricted due to this legislation, in the sense that the processes and plans that must be put in place in schools often add more workload to the board of trustees and principal. (Board Chairperson 0201A interview transcript p.2)
  - Go to the legislation if having problems – use as a backstop. (Board Chairperson 0306F interview transcript p.2)
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Less than half of the board chairpersons view *Sections 75 and 76* as permissive and empowering. The remaining board chairpersons view these sections as prescriptive and empowering and possibly restricting. However, all the board chairpersons did view the relationship between the principal and board of trustees as vital.

**Question 6    How do you and the Principal determine the roles of governance and management in your school?**

The responses to this question included:

- Five schools determine the roles of governance and management for the principal and board of trustees. (Schools 0201A, 0208H, 0305E, 0306F, 0401A)
- Two schools do not determine the roles of governance and management for the principal and board of trustees. (Schools 0110J, 0402B)
- All seven Board Chairpersons indicated that a majority of board members had been involved in some form of governance and management training.

Five board chairpersons indicated that the roles of governance and management for the principal and board of trustees were determined regularly – Principals 0305 and 0401 did not say they did; however, Principal 0305 had only been in her current role since Term II, 2000). Two board chairpersons indicated that the roles of governance and management are not determined, although the Principals of 0110 and 0402 indicated that role determination did occur at the beginning of the current board's term. All seven board chairpersons agreed that training in governance and management was vital for all board members.

**Question 8    Do you see the Principal as standing somewhere apart from the Board of Trustees of which he/she is a member?**

The responses to this question included:

- Four of the board chairpersons answered **NO**, they do not see the principal standing apart from the board. (Board Chairpersons 0110J, 0208H, 0306F, 0401A interview transcripts p.2)
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- Three of the board chairpersons answered **YES**, they do see the principal standing apart from the board. (Board Chairpersons 0201A, 0305E, 0402B interview transcripts p.2)

Of the four board chairpersons that answered **NO**, the explanations included:

- .... *He/she is a member of the board.* (Board Chairpersons 0110J, 0208H, 0306F, 0401A interview transcripts p.2)
- .... *He is the professional advisor to the board .... Influences the board in different ways .... He does have a 'different' role.* (Board Chairperson 0306F interview transcript p.2)
- *Principal's knowledge is a key component of board of trustees functions. Most discussion at board level will involve the principal.* (Board Chairperson 0401A interview transcript p.2)

Of the three Board Chairpersons that answered **YES**, the explanations included:

- *Principal is an employee of the board and he/she can stand apart from the board.* (Board Chairperson 0201A interview transcript p.2)

Over half of the board chairpersons indicated that they **do not** see the principal as being separate from the board; he/she has a different role from other board members. The remaining board chairpersons indicated that they **do see** the principal as being separate from the board.

### **Question 9    How would you describe your relationship with the Principal?**

The responses to this question included:

- *'Honest', 'open', 'transparent', 'proactive', 'relaxed', 'no conflict', and 'two-way communication channels'.*

All seven board chairpersons unanimously stated that the relationship between themselves and their principal was healthy and productive.

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**Question 10 If conflicts of governance and management arise, how are these issues solved?**

The responses to this question included:

- *'Talking it through' and 'open discussion.'*
- All seven board chairpersons unanimously stated that mediation (from an independent person) would be sought if the issue(s) could not be resolved in the first instance by discussion.

All seven board chairpersons indicated that no major conflict over governance and management had arisen to date. The board chairpersons, like the principals, stated that conflict [and unresolved conflict] had the potential to be divisive and in the first instance, they would address the issue(s) using procedures, policies and common sense.

**PART THREE: FARNSWORTH BISHOP and ASSOCIATES  
PERCEPTION EXERCISE**

***Background***

In Chapter One, the researcher presented both hierarchical and collaborative models of governance and management (See Figure 1.1).

The researcher asked the seven principals and seven board chairpersons the following question in relation to the hierarchical and collaborative models of governance and management:

***Question 5 Do you view governance as a simple linear (hierarchical) model?***

The responses to this question included:

- Six principals said **NO**, it is not hierarchical. Governance is a collaborative structure. (Principals 0110, 0201, 0208, 0305, 0306, 0402 interview transcripts p.2)
- One principal said it is a **MIXTURE** of hierarchical and collaborative structures. (Principal 0401 interview transcript p.2)

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- Seven board chairpersons said **NO**, it is not hierarchical. Governance is a collaborative structure. (Board Chairpersons 0110J, 0201A, 0208H, 0305E, 0306F, 0401A, 0402B interview transcripts p.2)

Answers to explain these responses included:

- *Governance is a sharing and a focus on being able to deliver the best education for the students.* (Principal 0110 interview transcript p.2)
- *Principal will manage the school through a collegial and supportive relationship with the board of trustees.* (Principal 0208 interview transcript p.2)
- *.... Highly interactive process. Significant intersections between governance and management. Both need each other to perform tasks. Not possible to set up/develop a policy regime without heavy commitment of stakeholders/those involved in implementation. Conversely, it is not possible to manage policies without an understanding of the spirit and intention behind them – close interaction between the principal and board of trustees. Intricate meshing of the two roles.* (Principal 0402 interview transcript p.2)
- *Governance is a navigational tool.* (Board Chairpersons 0110J, 0402B interview transcripts p.2)
- *Cannot have an us [board] and them [staff] mentality/relationship. Governance needs to be collaborative.* (Board Chairperson 0208H interview transcript p.2)

Leading on from question five, was the completion of the Farnsworth Bishop and Associates Governance Management Perception Exercise by the seven principals and seven board chairpersons.

### ***Farnsworth Bishop and Associates Governance Management Perception Exercise***

This firm provides training in governance and management for principals and boards of trustees. They have developed a range of workshops and one of the exercises that they ask participants to complete is a Governance Management Perception Exercise that provides principals and their boards the opportunity to ‘negotiate’ the governance/management interface that they would like to have in operation within their school.

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This exercise allows boards to:

- (i) Check on their governance approach.
- (ii) Implement professional development programmes to address identified needs.
- (iii) Review and agree on the general governance approach they intend to follow during the life of the board.

(Farnsworth Bishop and Associates, Board Training/Support Material, August 1998:5)

The exercise asks each board member to mark a box, with a tick, on each continuum, which best fits the way your board is governing and to mark a box with a cross, on each continuum, which best fits the way you would like the board to govern.

The researcher was given permission from this firm to use this exercise at the on-site interviews with the principal and board chairperson. The researcher asked each participant to complete the perception exercise. The results are presented in Appendix XIV.

During data analysis, the researcher matched the responses from the principal and board chair of each school, to determine if both participants were in agreeance about their school's own unique governance/management interface.

It can be seen from Tables 5.5-5.11 below, that the principals and board chairpersons have a different perception of the role of governance in their school. The differences could be attributable to:

- (i) An ideological/political difference.
  - (ii) An understanding/perception difference.
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School 0110 – Table 5.5

<b>Differences in perceptions between Principal and Board Chairperson</b>			
<b>National Administration Guideline</b>	<b>Current Position</b>	<b>Governing</b>	<b>Desired Position Governing</b>
2 Strategic Planning	P- Board is hands on BC – Board is in middle		
4 Property	P – Board is in middle BC - Board is hands on		
5 Safe Environment	P – Board is hands off BC – Board is in middle		
6 Administration	P – Board is hands on BC – Board is hands off		
Community Liaison	P – Board is hands on BC – Board is hands off		P – Board to be hands on BC – Board to be in middle

There are differences in perceptions of current governing positions in relation to four *NAGs* and community liaison. There is one difference in relation to desired governing position and that is in relation to community liaison. The principal would like the board to take a more 'hands on' approach to this – where board members are actually implementing policies and procedures both informal and formal. The board chair would like board members to be 'somewhere in the middle of hands on and hands off.' Hands off is where board members are policy regulatory only. Management implements policies and procedures both informal and formal.

Community liaison is important, as the stakeholders must be informed about the school and its operations. The principal and board chair would need to come to some agreement about the board's involvement in community liaison.

School 0201 – Table 5.6

Differences in perceptions between Principal and Board Chairperson		
National Administration Guideline	Current Governing Position	Desired Governing Position
1 Curriculum	P – Board is hands off BC – Board is in middle	
2 Strategic Planning		P - Board to be in middle BC – Board to be hands on
2 Reporting	P – Board is hands off BC – Board is hands on	P – Board to be in middle BC – Board to be hands on
4 Finance	P – Board is hands on BC – Board is in middle	
4 Property	P – Board is hands on BC – Board is in middle	
6 Administration	P – Board is hands on BC – Board is in middle	
Community Liaison	P – Board is hands on BC – Board is in middle	

There are differences in perceptions of current governing positions in relation to five *NAGs* and community liaison. There are differences in relation to the desired governing position and that is in relation to *NAG* two (strategic planning) and (reporting). The principal would like the board to be ‘somewhere in the middle of hands on and hands off’ and the board chairperson would like the board to be ‘hands on.’

Strategic planning is important as it determines the current direction of the school and the proposed future direction. Key stakeholders must have input into the development and implementation of the strategic plan and in doing so will take ownership of it. Reporting statutory obligations is a governance role. The board must ensure that the necessary reporting obligations are met and this would indicate that some involvement from the board is necessary.

School 0208 – Table 5.7

<b>Differences in perceptions between Principal and Board Chairperson</b>			
<b>National Administration Guideline</b>	<b>Current Governing Position</b>	<b>Desired Governing Position</b>	
2 Strategic Planning	P – Board is in middle BC – Board is in middle	P – Board is in middle BC – Board to be hands on	
2 Self-Review	P – Board is hands off BC – Board is hands on		
2 Reporting	P – Board is hands on BC – Board is hands off		
3 Personnel Management	P – Board is hands off BC – Board is in middle		
4 Finance	P – Board is hands off BC – Board is in middle	P – Board to be hands off BC – Board to be hands on	
4 Property	P – Board is hands off BC – Board is in middle	P – Board to be hands off BC – Board to be hands on	
5 Safe Environment	P – Board is hands off BC – Board is in middle		
Community Liaison	P – Board is hands off BC – Board is in middle		

There are differences in perceptions of current governing positions in relation to seven *NAGs* and community liaison. There are three differences in relation to the desired governing position and that is in relation to *NAG* two (strategic planning), four (finance) and (property). The principal would like the board to be ‘somewhere in the middle of hands on and hands off’ and the board chairperson would like the board to be ‘hands on’ in relation to strategic planning. This must be a joint venture and there may need to be some compromise from the principal in relation to this.

In relation to finance and property, the principal would like the board to take a ‘hands off’ approach and the board chairperson for the board to take a ‘hands on’ approach. Finance and property are two key governance roles whereby the board would more than likely have a more ‘hands on’ approach to policy governance. Some principals have the financial expertise and usually there is an accountant on the board. Property has the potential to become a huge workload for a principal and the principal’s primary task is to be the professional and instructional leader of the school. Many boards have property consultants

and with the new *Ministry of Education* ten-year property plan requirements, many schools are utilizing outside expertise for this demanding role. A compromise will need to be accommodated in relation to finance and property.

**School 0305 – Table 5.8**

<b>Differences in perceptions between Principal and Board Chairperson</b>				
<b>National Administration Guideline</b>	<b>Current Position</b>	<b>Governing</b>	<b>Desired Position</b>	<b>Governing</b>
2 Strategic Planning	P – Board is in middle BC – Board is hands on			
2 Self-Review	P – Board is in middle BC – Board is hands on			
2 Reporting	P – Board is hands off BC – Board is in middle		P – Board to be hands off BC – Board to be hands on	
4 Finance	P – Board is hands on BC – Board is in middle			
4 Property	P – Board is hands on BC – Board is hands on			
Community Liaison	P – Board is hands on BC – Board is in middle			

There are differences in perceptions of current governing positions in relation to five *NAGs*. There are two differences in relation to the desired governing position and that is in relation to *NAG* two (reporting) and community liaison. The principal would like the board to take a more ‘hands off’ approach to reporting and the board chairperson would like the board to take a more ‘hands on’ approach.

Reporting is a statutory obligation and the board would be remiss in its governance role if they did not take an active role in ensuring that these obligations were met. There would need to be a compromise between the principal and the board over this issue.

School 0306 – Table 5.9

Differences in perceptions between Principal and Board Chairperson			
National Administration Guideline	Current Position	Governing Position	Desired Position
1 Curriculum	P – Board is in middle BC – Board is hands off		
3 Personnel Management	P – Board is hands on BC – Board is in middle		
4 Finance	P – Board is hands off BC – Board is in middle		P – Board to be hands on BC – Board to be in middle
5 Safe Environment	P – Board is hands off BC – Board is in middle		
6 Administration	P – Board is hands off BC – Board is hands off		
Community Liaison	P – Board is in middle BC – Board is hands on		

There are differences in perceptions of current governing positions in relation to five *NAGs* and community liaison. There is one difference in relation to the desired governing position and that is in relation to *NAG* four (finance). The principal would like the board to take a more 'hands on' approach to this. The board chairperson would like board members to be 'somewhere in the middle of hands on and hands off.'

Schools are multi-million dollar enterprises and having a firm understanding of the financial affairs of the school is essential for all board members, not just the principal. Perhaps the board does not have a financial expert and the principal is the most experienced. However, the board does need to take an active governance role in relation to the financial affairs of the school.

School 0401 – Table 5.10

Differences in perceptions between Principal and Board Chairperson			
National Guideline	Administration	Current Governing Position	Desired Governing Position
2 Reporting		P – Board is hands off BC – Board is hands on	P – Board to be in middle BC – Board to be hands on
4 Finance		P – Board is hands off BC – Board is hands on	
5 Safe Environment		P – Board is in middle BC – Board is hands on	P – Board to be hands off BC – Board to be hands on
Community Liaison		P – Board is in middle BC – Board is hands on	P – Board to be hands on BC – Board to be middle

There are differences in perceptions of current governing positions in relation to three *NAGs* and community liaison. There are differences in relation to the desired governing position and that is in relation to *NAG* two (reporting), five (safe environment) and community liaison. The principal would like the board to be ‘somewhere in the middle of hands on and hands off’ in relation to reporting and the board chair would like the board to take a more ‘hands on’ approach. The board must ensure that statutory reporting obligations are met.

The principal would like the board to take a more ‘hands off’ approach to providing a safe environment and the board chairperson would like the board to take a more ‘hands on’ approach. The board has a governance responsibility to ensure that the school is safe for students and staff. In relation to community liaison, the principal would like the board to take a more ‘hands on’ approach and the board chairperson would like the board to be ‘somewhere in the middle of hands on and hands off.’ Community liaison is an important facet of *Tomorrow's Schools*.

School 0402 – Table 5.11

Differences in perceptions between Principal and Board Chairperson			
National Guideline	Administration	Current Governing Position	Desired Governing Position
2 Self-Review		P and BC – Board is hands on	P and BC – Board to be more hands on

Both the principal and the board chairperson indicated a desire that the board took a more 'hands on' approach to Self-Review.

Both the principal and the board chairperson were in total agreement about current governing positions and the desired governing positions. The structures that this school has in place illustrate a governance-management interface that is in line with Carver's (1997) policy governance structures and more details will be presented in Part Four.

### *Summary*

It can be seen from Tables 5.5-5.11, that the principals and board chairpersons have a different perception of the role of governance in their school. Table 5.12 illustrates the number of schools where the principal and board chairperson have indicated a different perception of current governing positions.

**Table 5.12    Number of schools with different perceptions on current governing positions**

<b>National Administration Guideline</b>	<b>Number of Schools (max 7)</b>
1 – Curriculum	2
2 – Strategic Planning	2
2 – Self-Review	3
2 – Reporting	4
3 – Personnel Management	2
4 – Finance	4
4 – Property	4
5 – Safe Environment	4
6 – Administration	3
Community Liaison	6

*NAG* two (reporting), four (finance), four (property) five (safe environment) and Community Liaison are the *NAGs* with the highest number of differences recorded.

Table 5.13 illustrates the number of schools where the principal and board chairperson have indicated a different perception of desired governing positions.

**Table 5.13 Number of schools with different perceptions on desired governing positions**

<b>National Administration Guideline</b>	<b>Number of Schools (max 7)</b>
1 – Curriculum	0
2 – Strategic Planning	1
2 – Self-Review	1
2 – Reporting	3
3 – Personnel Management	0
4 – Finance	2
4 – Property	1
5 – Safe Environment	1
6 – Administration	0
Community Liaison	2

*NAG* two (reporting), four (finance) and community liaison are the *NAGs* with the highest number of differences recorded.

If the principal and board chairperson had completed this exercise in a Farnsworth Bishop and Associates workshop, ideological/political differences would have been identified; noted and accommodated and compromises made. Understanding/perception differences may need to be resolved. (Farnsworth Bishop and Associates, Board Training/Support Material, August 1998).

While both the principal and board chairperson of each school indicated that the relationship with each other was 'healthy', the results from the Farnsworth Bishop and Associates governance perception exercise, indicate that further training and professional development in planning, discussing and implementing a governance-management interface that meets the unique needs of each schools, may be required.

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<b>PART FOUR:      POLICY GOVERNANCE</b>
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***Background***

In Chapter One, the researcher outlined John Carver's approach to governance and management. Carver advocates that governance and management are closely related, but that the secret to successful governance is in 'policy governance.'

Carver has published a number of books on boards and governance and management and the researcher is using two of his publications as the theoretical base in this study. They are:

- (i) *Boards that Make a Difference*. Jossey-Bass, 1997.
- (ii) *Reinventing your Board*. Jossey-Bass, 1997.

Carver advocates that the governing board is the most important kind of board because it has " .... Ultimate corporate accountability." (Carver, 1997:2). The governing board [board of trustees] is at the top of the organisation's structural framework and ".... Its total authority is matched by its total accountability for all corporate activity." (Carver, 1997:2).

Literature on the distinctions between governance and management in Carver's opinion, is a sorely neglected area, and because of this, he believes that many personnel serving on governing boards regularly "exhibit procedures of governance that are badly flawed." (Carver, 1997:9).

Carver (1997:9-10) states that the flawed procedures could include:

- (i) Time on trivial
  - (ii) Short-term bias
  - (iii) Reactive stance
  - (iv) Reviewing, rehashing, redoing
  - (v) Leaky accountability
  - (vi) Diffuse authority
-

Carver (1997:9) writes:

Many board flaws are cosmetic blemishes, indicative of more fundamental errors .... It would be even more instructive to build a healthier infrastructure of governance concepts. Framing the governance challenge more effectively can go far beyond merely eliminating common problems; it can provide a clearing in which boards can be strategic leaders.

Carver's theoretical concepts on 'policy governance' led the researcher to ask the following question during the on-site visits:

**Question 7 Do you see governance as a continuum?**



The responses to this question included:

- Five principals indicated that governance is a continuum. (Principals 0110, 0201, 0306, 0401, 0402 interview transcripts p.2)
- Two principals indicated that governance is a continuum, however the board is more '*hands on*' in relation to property and finance. (Principals 0208, 0305 interview transcripts p.2)
- Four board chairpersons indicated that governance is a continuum. (Board Chairpersons 0110J, 0306F, 0401A, 0402B interview transcripts p.2)
- Three board chairpersons indicated that governance is a continuum, however the board is more '*hands on*' in relation to property and finance. (Board Chairpersons 0201A, 0208H, 0305E interview transcripts p.2)

In discussing 'policy governance' with each principal and board chair, the following statements were recorded:

- *Policies are set out under the NAGs.* (Principals 0110, 0305, 0401 interview transcript p.2)

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- *'Hands on' model is not successful. The board of trustees plays a significant role in determining policy, but management determines and implements the procedures to ensure the policies are enacted. (Principal 0201 interview transcript p.2)*
  - *There is no 'black and white.' Governance is legislative dependent, particularly in relation to finance, property and personnel. (Principal 0306 interview transcript p.2)*
  - *Policy writing is the responsibility of the senior management team. (Principal 0401 interview transcript p.2)*
  - *Policies are important. Even more important are the procedures that arise from the policy. (Board Chairperson 0401 interview transcript p.2)*
  - *The board of trustees has a clear understanding of the differences between governance and management. Policies give management discretion to do what they want. (Board Chairperson 0402 interview transcript p.2)*

In summary, all seven principals and board chairpersons indicated that they operate some form of policy governance – the policies are set out under the NAGs and that the policies determine the procedures.

As alluded to in Part Three, an example of a school that is practising a form of 'policy developed governance' after having their own unique governance-management interface, was school 0402. The structures that this school has in place illustrate a governance and management interface that in the researcher's opinion is an example of good practice.

To elaborate further, this is what is in operation:

*At the beginning of my [Principal] appointment, I initiated a school review process. Firstly we looked at the structures in place for governance and management. The result was the creation of portfolios, whereby one board member takes responsibility for an area of governance and management and meets regularly with the principal.*

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*This streamlined the governance structure and it reduces the amount of time that the board of trustees has to spend attending committee meetings etc.*

*It provides a direct form of accountability, as only one person is responsible for representing the board of trustees and is the sole policy reviewer for any given NAG.*

*The principal guides the portfolio holders. The principal needs to be open and honest and divulge a high level of information with each portfolio holder. There is a depth of information and insight being passed between the principal and the portfolio holder.*

*If a tricky situation arises, this structure protects the principal, as there is a portfolio holder privy to background information as well.*

*It bridges the gap between governance and management and it utilizes the best governance functions.*

*In having portfolios, the principal does become a mouthpiece for wide opinion. But, if there is trust and good communication between the principal and the board of trustees and the principal and the senior management team, the system will function well as the principal is well informed by senior management and the board of trustees by the principal. This process of information flow will entail debate and thrashing things out. (Principal 0402 interview transcript p.3)*

*The board of trustees believes that this portfolio system enhances and increases their accountability. (Board Chairperson 0402B interview transcript p.2)*

This model may not work for all schools. However, in a U4 decile 4 rural co-educational school, this model of governance-management is working

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### ***What is 'Policy Governance?'***

Carver advocates that a successful governance structure is comprised of four parts.

(i) *Ends to be Achieved*

- What should the results be in the short-term and the long-term?
- What are the costs and benefits to the organisation, to personnel and to the community?
- Outcomes should produce 'economically justifiable, properly chosen, well-targeted results.' (Carver 1997:31)

(ii) *Means to those Ends*

- '.... Isolate all values about organisational ends, the only remaining values considers means.' (Carver 1997:31)
- How will we get where we want to go?
- Keep the means and ends separate.
- '.... The most effective governing controls what needs to be controlled, yet sets free what can be free.' (Carver 1997:32)

(iii) *The Board-Staff relationship*

- Divide the board's means into two parts:
  - how the board relates to staff and
  - how the board goes about the job of governing
- Policies relating to staff include the:
  - Board's approach to delegation
  - Board's view of the *CEO* role
  - Board's processes for assessing performance

(iv) *The Process of Governance itself*

- What is the board's job description?
  - What principles do the board use to discipline the process of leadership?
  - What are and are not legitimate board topics?
  - What is the board's approach to its own discipline?
  - How can the board structurally organise itself?
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(v) *Design of Policies*

- Policies should be explicit, current, literal, available, brief and comprehensive
- Policies that make a difference observe the following:
  - resolving the broadest/largest policy issue in each category before dealing with smaller issues.
  - move to smaller levels in sequence
  - grant *CEO* authority to make all further choices as long as they are within the board's ends and executive limitation. The main question for boards is: *How does the board approach the process and products of governance and present strategic leadership to the organisation?*

***How can Carver's approach be implemented in Tomorrow's Schools?***

Farnsworth Bishop and Associates have incorporated many of Carver's concepts into their governance/management workshops. They draw the board's attention to:

- The policies are modified 'ends statements.'
  - achievement of the requirements of the *NAGs*
- Executive limitations are clearly defined by the delegations structure.
  - delegations should be defined and reviewed
- Some of the 'means' are set by procedures, which support the policies.
  - procedures that the board may want to know about or even carry out
  - *Tomorrow's Schools* gives the board of trustees *legitimate authority* to do this

(Farnsworth Bishop and Associates, March 2000).

Mark Farnsworth is of the opinion (as is the researcher) that Carver has an implied assumption underpinning his work, which is that most organisations have a hierarchical governance structure (See Figure 1.1).

However, *Tomorrow's Schools* are governed under a collaborative structure (See Figure 1.1) and 'policy governance' may be viewed as a tool to 'disempower' boards of trustees.

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The researcher is of the opinion that Carver's approach to 'policy governance' has the flexibility to be adapted to meet the unique needs of *Tomorrow's Schools* and its collaborative governance structures.

**PART FIVE: RESPONSES to SCENARIOS on CONFLICTS of GOVERNANCE and MANAGEMENT**

***Background***

All fourteen participants were given four scenarios created by the researcher, that presented a conflict of governance and management.

During the on-site visits, the researcher asked each participant their thoughts and views on each scenario, and if they found themselves in a similar situation, how they would deal with it.

The responses to each scenario are outlined below.

**Scenario One**

A school has a trustee who is keen and basically supportive of the school but he seems to think it is his role to commandeer a part of every meeting to bring up a collection of complaints and suggestions, some trivial, some quite serious, which have come to him from a number of parents. He makes quite a thing of this, often exaggerating the complaint or the number of parents, and is not very careful about checking his facts. The Principal feels that the Board is not a complaints service and the parents should deal directly with the school.

The responses from the principals included:

- .... *Follow complaints procedure.* (Principals 0305, 0401, 0208, 0201)
- .... *Not discussed at board level. Direct to Personnel Committee and ask for the facts and solutions.* (Principal 0401).
- .... *Board chair needs to discipline this board member.* (Principal 0208).

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- .... Tell him in open forum that he is out of order. Not interested in second-hand evidence. Parent and principal meet in the principal's office and if there is no resolution, then take to board. (Principal 0306)

The responses from the board chairpersons included:

- .... Need clear policy on complaints. Board chair needs to speak to this trustee and pull him into line. (Board Chairpersons 0305E, 0201A)
- Meetings must follow the agenda. Research issue and follow procedures. (Board Chairperson 0401A)
- Principal is right. Board chair to direct trustee to behave properly. (Board Chairperson 0306F, 0402B)
- This is a management issue. Board chair needs to reinforce roles of governance and management. (Board Chairperson 0208H)

What can be learnt from the responses to this scenario, is that it is important for boards of trustees to have a clear complaints procedure in place. All board members must be instructed by the board chairperson to follow the procedures if a complaint needs to be acted upon. This protects not only the parties involved, but also the board members.

### ***Scenario Two***

The Board of a school feels that, because they will have to hear complaints and rule on (stand-downs) suspensions, they should draft a set of school rules to try to cover all eventualities. The Principal insists that it is the role of the Principal and professional staff to set and maintain standards of behaviour and that exhaustive rules are bureaucratic and likely to cause discipline problems rather than prevent them.

The responses from the principals included:

- Principal is correct. (Principals 0305, 0401, 0208, 0201, 0306).
  - The legislation is very clear on this issue and exhaustive rules re stand-downs are unfair .... Each case must be treated individually. (Principals 0401, 0201, 0306)
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The responses from the Board Chairpersons included:

- *Principal is right .... This is a management issue.* (Board Chairpersons 0305E, 0401A, 0208H, 0201A, 0306F)

What can be learnt from the responses to this scenario, is that no set of rules will be able to cover every eventuality in relation to stand-downs. The discipline of students is the principal's responsibility and as such the board should allow the principal and his/her professional staff to manage the discipline of students as they see fit.

### ***Scenario Three***

The staff representative on the Board says he does not find the role easy because the Principal is a powerful personality with whom only a brave teacher would disagree, even in private. At a recent meeting the Principal said the staff mostly supported an issue that the Board was discussing. The staff representative felt the staff had never been asked for their opinion, and he believed they would be against the idea. He was too frightened, or loyal to contradict the Principal at the meeting, but after mulling over it, decided to tell the Board Chair his views the next day. The Principal reacted angrily when the Board Chair said that the staff must be consulted and he would do so. The Principal felt by-passed and accused the staff representative of disloyalty.

The responses from the principals included:

- *Relationship between principal and staff rep should be open and honest. Decency should indicate that staff rep should go to principal first.* (Principal 0401)
- *An 'open door policy' must operate so that no staff member feels threatened by the principal.* (Principal 0208)
- *Principal has a problem .... Three-way mediation between the principal-staff rep-board chair is needed to sort this out.* (Principal 0201)
- *Board chair needs to work with principal .... Staff rep is correct but should speak at the board meeting.* (Principal 0306)

The responses from the board chairpersons included:

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- *Board chair-board of trustees-principal need to have an open relationship. Political environment needs to be looked at here.* (Board Chairperson 0305E)
  - *Staff rep lacks courage. This is not a healthy relationship. Mediation?* (Board Chairperson 0402B)
  - *Board chair would be remiss if he did not try to ascertain truth.* (Board Chairperson 0208G)
  - *Staff rep should go to the board chair. If principal is 'professional', he may need to rethink his 'profile.' But airing differences at board level is wrong – principal-board chair-staff rep need to talk.* (Board Chairperson 0201A)

What can be learnt from the responses to this scenario, is that the principal and staff representative on the board must have an open and honest relationship. The principal must respect that the staff representative has a position on the board that must represent all staff opinion, which will be wide and varied. The staff representative on the board must accept that the principal is the professional and instructional leader of the school. He/she is a staff member and an employee of the board, as well as being a board member. This highlights further the paradoxical role that a principal has.

#### ***Scenario Four***

A new trustee insists on his right to visit the school at any time, to inspect invoices, to visit classrooms and question teachers. He phones parents and asks them what they think of certain teachers and the Principal makes it quite clear the he is the employer and has a responsibility to make sure things are running properly at the school. The staff is up in arms, board meetings are becoming miserable and protracted and the Board Chair does not seem able to show the new trustee what his role is. Some of our most experienced trustees have told me they are sick of the wrangling and do not intend to stand again for election. The school cannot afford to lose their expertise and contribution. I have tried to talk to the new trustee but have heard that he is telling people it is time the school had a new Principal.

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The responses from principals included:

- *Trustee is operating outside scope of board of trustees.* (Principal 0305, 0401, 0208, 0201, 0306)
- *This trustee will destroy the Tomorrow's Schools spirit.* (Principal 0306)

The responses from board chairpersons included:

- *Behaviour is divisive and training of board of trustees needs addressing.* (Board Chairpersons 0305E, 0401A, 0402B, 0208A, 0306F)

What can be learnt from the responses to this scenario is that the board chairperson has a responsibility to ensure that all the board members have a very clear understanding of the roles of governance and management. The behaviour exhibited in scenario four is not acceptable and on-going professional development in the specialised areas of governance and management is essential to the smooth operation of *Tomorrow's Schools*.

In summary, all seven principals and board chairpersons were able to identify a conflict of governance and management and were able to suggest possible solutions to resolve the issue(s). The researcher is of the opinion, that if these participants found themselves in similar situations, then they would be able to work through set procedures and policies to ensure that the outcomes for all parties were equitable.

### ***Summary***

Chapter Five presents the results of the on-site interviews at seven schools. The research sought to build upon the data collected during Phase I (postal questionnaires) and to gain a better understanding of governance and management and the governance-management interface in operation within these seven state secondary schools.

Part One and Two presented the principals' and board chairpersons' responses to questions on governance and management and their unique governance-management interface. In general, both the principals and board chairpersons mostly produced similar responses to questions on their governance-management interface.

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Part Three analysed the results of the Farnsworth Bishop and Associates Governance Perception Exercise. All seven principals and board chairpersons were asked to complete the exercise and the researcher matched each response on one template, to determine perceptions of current governing positions and desired governing positions.

All seven schools had at least one difference in perception of current governing position and at least one difference in desired governing position. This exercise illustrates that although each of the seven schools has its own unique governance-management interface in operation (created from the interpretation of the relevant legislation), there maybe a need for further professional development, given the responses recorded.

Part Four discussed Carver's (1997) policy governance and the researcher posited that policy governance can be used (and adapted) to work with *Tomorrow's Schools* collaborative structures. The researcher included an example of good 'governance practice' (using policy governance) in this section for readers of this study.

Finally, Part Five presents the responses to four scenarios created by the researcher, illustrating conflicts of governance and management. All fourteen participants were able to clearly identify how the conflict arose (and who created it) and how to deal with the issue(s) successfully.

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## CHAPTER SIX

### A BROADER DISCUSSION

#### *Introduction*

This Chapter, which is divided into three sections, examines each of the three research questions and draws on the literature presented in Chapter Two as the basis for a broader discussion.

Each section will discuss what the researcher discovered in relation to each research question and link this to the literature presented in Chapter Two. The researcher will identify commonalities within the literature and posit concepts that have not been previously reported. At the conclusion of each section, the researcher will present an answer to each research question.

#### **Question One      Is there clear demarcation of roles or is there a spectrum or continuum of shared power?**

Throughout the development, planning and implementation of *Tomorrow's Schools*, it was advocated that governance and management would be separated into two distinct and separate areas. Both roles would have responsibilities:

- (i) Boards of trustees would be accountable for governance and
- (ii) Principals would be accountable for management.

These roles were given legal credibility by *Section 75* and *76* of the *Education Act 1989*. This legislation was enacted to clearly identify the differences in the roles of governance and management.

In the early years of *Tomorrow's Schools*, Alcorn (1989), the *Lough Report* (1990), *ERO* (1990) and Wylie (1993) stated that there was concern about the misunderstanding over the roles of governance and management by many board members and principals. The pure split between governance and management, as per the original intentions of the *Picot Taskforce* had not emerged and boards of trustees' activities were wider than first thought.

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Kilmister (1989:ibid) states that the two roles are different and governance is not the same as management. However, legislation provides boards of trustees with the discretion to control the management of the school as they think fit. This led the researcher to investigate whether or not there is a clear demarcation between the roles of governance and management or if schools in this study operate using a spectrum or continuum of shared power.

For the principals and boards of trustees involved in this study, the system of governance and management that has evolved has been developed and nurtured around four concepts.

*Concept 1      Governance is primarily the responsibility of the Board of Trustees.*

The Picot Report, Section 75 of the Education Act 1989 and Kilmister (1989) give credence to this concept. The main thrust of the governance role is for boards of trustees to ensure that progress is made towards achieving the educational goals of the school.

The governance role is specialised. Each board member must take responsibility for clearly understanding the governance-management interface. In doing so, there is less likelihood of the two roles becoming blurred and board members delving into management issues.

*Concept 2      Management is primarily the responsibility of the Principal.*

The Picot Report, Section 76 of the Education Act 1989 and Kilmister (1989) give credence to this concept. The main thrust of the management role is for the principal to be the professional and instructional leader of the school and manage school resources in order to achieve the educational goals of the school as prescribed at board level.

The management role is specialised. Principals must take responsibility for clearly understanding the governance-management interface. However, the researcher is aware that principals face a paradoxical role because of the necessity for them to wear two hats; one as principal [employee] and one as an equal member of the board [employer]. This issue will be dealt with in the next section.

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*Concept 3      The relationship between the Board of Trustees and the Principal must be a consultative and cooperative process.*

While the governance and management roles are separate, in order for *Tomorrow's Schools* to work effectively, there must be a necessity (at times) for there to be a merging of the two roles in some areas. Ballard *et.al* (1992) stated this and Mitchell *et.al* (1993) reported a similar notion and the need for boards of trustees and principals to work through and to establish demarcation lines when the need arises.

The principals and boards of trustees involved in this study stated that governance and management were not mutually exclusive of one another and often the boundaries between the two merged. While the researcher did not include primary schools in this study, she believes that in some small rural primary schools, the two roles would merge even more owing to the lack of availability of board members and the principal being the sole teacher at the school.

In 1994, research was published by Gordon, Boyask and Pearce that highlighted that the governance style exhibited by boards of trustees is linked to both *internal* and *external* factors. The internal factors included the principal and the size and type of the school. During Phase II of data collection, the researcher identified that these *internal* factors did dictate what governance-management interface would evolve. For example, in schools where the principal had been in his/her role longer than three-five years, the researcher believes that there was a greater understanding of the governance-management interface.

In these schools the principal had had the opportunity to develop a solid working relationship with his/her board. Although it was evident from talking with the principals that, every three years, you had to re-establish the relationship after board elections had taken place and this takes time and energy.

The *external* factors that were highlighted included funding, school rolls and the relationship that the school had with the community. This research identified that these external factors still influenced the governance style that was adopted by boards of trustees.

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For example, in schools where the decile rating was high [say 6-10], board members appeared to have professional careers and bring to the board a greater depth of knowledge and skills. On the other hand, one principal had been the principal of a decile 1A school previously and the literacy levels of the board members in the principal's opinion were low. The researcher believes that this would have had a major influence on the working relationship between the principal and the board members and the board's understanding of their governance role.

*Concept 4      Governance is a continuum and Boards of Trustees will operate at a point on the continuum appropriate to each governance function.*

Wylie (1997) reported that most schools have found their own version of the original *Picot* model of governance and management and operate both functions accordingly.

Principals and board chairpersons involved in this study view governance as a continuum. *Section 75 and 76 of the Education Act 1989* are open to interpretation and as such, have facilitated the original model being adapted to meet individual school's needs.

The trustee model needs to be viewed in a structured and meaningful way (Farnsworth Bishop Associates 1998). Mark Farnsworth holds the view that, if boards of trustees record board delegations, then the boundaries of governance and management are defined and each stakeholder is fully aware of his/her role, responsibilities and accountabilities. This model can be linked to John Carver's (1997) policy governance model and excerpts from this model have been adopted successfully by school 0402. This school, in the researcher's opinion, modelled successfully a governance-management interface where each stakeholder had responsibility for a negotiated governance function.

In summary, governance has to be a continuum in order for the governance-management interface to be maximised. In some negotiated governance functions, the board may be more actively involved than others. For example, in the seven schools involved in Phase II of data collection, the board of trustees were more "hands-on" in relation to property and finance than they were in relation to administration.

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The researcher believes that clear role definitions and an understanding and appreciation of the boundaries between governance and management will ensure that the governance-management interface that is in operation will aid the school to achieve the desired educational outcomes. This research has highlighted the importance of boards of trustees and principals understanding their governance and management roles.

The researcher believes that it can be difficult for parents to separate their parent and board member hats. However, if the board negotiates governance as a continuum, then the governance-management interface that arises, may reduce the likelihood of conflict arising.

**Question Two      Can the Principal be seen as standing somewhere apart from the Board of which he/she is a member?**

From the outset of *Tomorrow's Schools*, the principal was always going to have a paradoxical role. He/she would be an equal member of the board [employer] and would be appointed and appraised by the board [employee].

Alcorn (1989) highlighted that the tensions between the principal and the community could be exacerbated because there will be conflict between the managerial, professional and instructional roles that a principal must undertake. In having a dual role, the principal could possibly find himself/herself experiencing conflict with the board.

Ramsay (1993) wrote that the role of the principal needed to be refined, and as an original member of the *Picot Taskforce*, he felt that the taskforce should have had included in the educational administration reforms, their recommendation for a strict division between determining policies and implementing policies. The researcher believes that had this been allowed, then perhaps the number of conflicts between principals and boards of trustees may have been less in number.

Wylie (1994) stated that principals had experienced some problems with boards of trustees members delving into management responsibilities. A survey by the principals Federation in 1995 reported a similar statement. It was at this time that the concept of amending the

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*Education Act 1989* in order to clarify further the role of the principal and boards of trustees was first mooted.

The participants in Phase I of this study were not sure that the principal could be seen as standing somewhere apart from the board of which he/she is a member. The participants in Phase II had mixed responses with 53% stating that the principal could not stand apart from his/her board.

There is no doubt in the researcher's mind that there exists, at law and in practice, delineation between the roles of governance and management and, as such, this creates an expectation about the role of the board and the principal. However, the researcher is of the opinion that, given the unique position that a principal has under *Tomorrow's Schools*, attempts to delineate the principal from the board will be unsuccessful. Dr Rodney Harrison [Barrister] (1994) and Linda Braun (1992) agree with this view. In delineating principals, boards may become vulnerable to litigation and there has been an increase in litigation that involves principals and boards of trustees since the inception of *Tomorrow's Schools*. This issue will be delved into further in the next section.

This study has further highlighted the need for the unique stance that a principal has as an employer and employee to be wholly understood. This reiterates the need for principals and boards of trustees to set the parameters of their working relationship. From the outset, a board and their principal should clearly articulate their perception of their role within the school.

The basis for a healthy relationship is good communication and trust, upon which the governance-management interface can be built. The principal cannot be viewed as separate from the board. He/she plays a pivotal role in the determination of the governance continuum. Not only will he/she assist the board in determining policy but also he/she will implement it. Wearing two hats is not easy and the paradoxical role of the principal will continue to be a source of angst, and perhaps frustration, in the future because of this dual role.

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**Question 3** If conflicts of governance and management arise, how are these solved?

As early as 1994, five years after the inception of *Tomorrow's Schools*, it was evident that conflicts between principals and boards of trustees were growing in number. The most prominent case was that of *Hobday vs Timaru Girls' High School Board of Trustees*. This case was the first litigation case that went to court and it arose owing to conflict between two key stakeholders in *Tomorrow's Schools*. This case was costly in terms of time, resources and reputation.

In 1994, Wylie reported problems in the relationship between *Tomorrow's Schools* stakeholders of around 10-12% of those schools involved in her study. These problems appeared to centre on the uncertainty over governance-management boundaries, individuals having personal, ideological or political agendas, to name but a few. Clearly differences of opinion will arise and all viewpoints must be valued and examined objectively. Mediation rather than litigation should solve impasses.

In 1997, Wylie reported that the problems that had arisen were usually solvable within the school itself. The participants involved in Phase II of this study backed up this fact. Participants were given scenarios that illustrated a conflict between governance and management and all were able to identify the conflict and provide a solution.

All of the principals indicated that there had been conflicts over governance and management with either a previous and/or current board of trustees. More often than not the conflict centred on the individual board members stepping into the management arena and/or not being entirely appreciative of their governance role. Mediation had been used in one school when there was an impasse. Mediation resolved the conflict and the board and the principal had been able to move forward and put that conflict behind them.

Wylie (1999) reported that there were good working relationships between trustees and staff and, in comparing the same schools over time, problems did not continue to occur at the same time. The researcher is of the opinion that many principals and boards of trustees have come to grips with the intricacies that surround the governance-management interface

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and their own interpretation of the legislation and governance/management roles has facilitated more positive relationships between each other.

A number of cases have been heard in the Employment Court (Appendix II) and Patrick Walsh (an educational law expert) told the researcher in April 2000 that the exact number of cases is indeterminable because many cases are settled out of court. If the powers and responsibilities of each partner in *Tomorrow's Schools* was clarified further, as stated by Fancy (1998), Kelly (1998), Monks (1998) and O'Sullivan (1998), then perhaps there would be less opportunity for conflict.

The researcher believes that clearly dividing the roles of governance and management will not harm the spirit of *Tomorrow's Schools*. After conducting this research, the researcher is of the opinion that, if *Section 75* and *76* of the *Education Act 1989* clearly defined the roles, responsibilities and accountabilities of governance and management, then, human nature aside, there could be less conflict experienced.

The possibility of conflict may not be eliminated entirely because of the variances in human nature and the fact that parents stand for the board of trustees for a variety of reasons. The researcher has had the opportunity of teaching in five schools since she began teaching and each school has functioned differently from the next, despite the fact that all were operating under the same governance structure. What is of concern to the researcher is parents who stand for boards of trustees for non-altruistic reasons and it could be these hidden agendas that spark conflict. And there will never be winners in conflict situations.

### ***Summary***

The trustee model, in its current format, allows the stakeholders of *Tomorrow's Schools* to create their own governance-management interface, despite the fact that there is one "prescribed" model. This research has highlighted that schools operate with a governance function that is the responsibility of the board, while management is the responsibility of the principal.

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The schools involved in this study have illustrated that positive working relationships between the principal and the board of trustees are the norm rather than the exception. The relationship must be positive in order for the governance and management functions to be maximised. Governance is a series of continua and the principal and the board should negotiate governance functions.

The principal cannot stand apart from the board of which he/she is a member. The principal will always face the paradoxical role of being an employee and an employer and the researcher believes that this will not change unless legislation is enacted that changes the principal's role and status. As the key educational expert on the board of trustees, the principal has a difficult role in that he/she is not only involved in policy determination, but he/she must implement the policy decided at board level. This is often fraught with difficulties and while legislation states that governance and management are separate, in reality the boundaries are often blurred.

Conflict between humans is inevitable, as opinions are usually wide and varied. However, conflict between principals and boards of trustees can be reduced and/or avoided if all the partners to *Tomorrow's Schools* establish the boundaries of their own role as well as understanding each other's role. If conflict cannot be solved, then mediation is the optimal solution.

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## CHAPTER SEVEN

### DISCUSSION and ANALYSIS

#### *Introduction*

In this chapter, the results of the data will be examined and discussed with reference to the current literature and findings obtained from Phase I and Phase II of data collection. The researcher has divided this chapter into four sections because she believes that this structure best illustrates the results of her research and clarifies the issues that surround the 'fuzzy' world of governance and management.

The first section 'meshes' the results of the two data collection phases together. Common themes identified throughout this study are discussed and cross-referenced against the data collected in Phase I and Phase II and the literature presented in Chapter Two.

Part Two examines the three key research questions in relation to the results of the data collection process and the literature.

1     **Is there clear demarcation of roles or is there a spectrum or continuum of shared power?**

The respective roles of 'governance' and 'management' as they are operating in the schools involved in this study are examined.

2     **What is the Principal's role and relationship with the Board?**

There will be discussion on whether principals can be seen as standing somewhere apart from the board of trustees of which they are members. A key issue that surrounds the principal that arose during the course of this study was that the principal has a pivotal role in the success of *Tomorrow's Schools*. Accountability and responsibility, along with avoiding role confusion over governance and management issues and developing and maintaining a strong relationship with the board of trustees, are all important facets of the principal's role. These issues will be discussed in-depth.

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### 3 **If conflicts of governance and management arise, how are these solved?**

There will be an analysis of conflicts that exist between the roles of governance and management and how these have arisen. During the course of this study, the researcher identified four factors that contribute to conflict between governance and management. These centre on the structural framework of *Tomorrow's Schools*, the definitions of governance and management in the *Education Act 1989*, the governance-management interface that is in operation within schools and the rise of educational case law attributable to an increase in the number of boards of trustees and/or principals overstepping their bounds of authority.

Part Three discusses the key components of John Carver's Policy Governance Model, as a model of governance and management that could be adapted to suit the collaborative governance structure of *Tomorrow's Schools*. Evidence is provided from Phase II of data collection, to illustrate that this model can be used in schools with success.

Part Four, the final section, discusses the researcher's principles on governance and management. These principles were formulated and developed over the course of the study through open, axial and selective coding of data and the validation and verification of these principles was undertaken by linking them to the issues raised in the literature.

## **PART ONE: THE 'MESHING' TOGETHER of the RESULTS**

Phase I of data collection used a quantitative data collection instrument, a postal questionnaire, to collect data on governance and management practices, the governance-management interface and the schools current governance practices. Chapter Four presented the integrated results of the postal questionnaire.

Phase II of data collection used a qualitative data collection instrument, on-site interviews and seven individual case studies, to collect data on the unique governance-management interface that was in operation. Chapter Five presented the integrated results of the on-site interviews.

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A number of common factors were identified from participants' responses in Phase I and Phase II of the data collection processes. These were cross-referenced against literature that the researcher reviewed in Chapter Two. A summary of the 'meshing' together of the results is presented in Table 6.1 below.

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Table 6.1 Combined results of data collection in Phase I and Phase II

Common factors that were identified	Result from Phase I	Result from Phase II	Cross reference from Literature
Governance is primarily the responsibility of the board of trustees	Overall response 4.54 Mean <i>Strongly Agree</i>	<i>Both principals and board chairpersons indicated agreement with these two statements</i>	Kilmister (1989)
Management is primarily the responsibility of the principal	Overall response 4.56 Mean <i>Strongly Agree</i>		Kilmister (1989)
New boards of trustees should receive training in governance/management	Overall response 4.53 Mean <i>Strongly Agree</i>	Question 6 <i>Both principals and board chairpersons agreed that training is vital</i>	Carver (1997) Farnsworth Bishop Associates (1998)
Relationship between the board of trustees and the principal must be a consultative and co-operative process	Overall response 4.64 Mean <i>Strongly Agree</i>	Question 5 <i>The majority of participants agreed that governance is collaborative</i> Question 7 <i>Both principals and board Chairpersons agreed that governance is a continuum</i>	Carver (1997) Farnsworth Bishop Associates (1998)
Boards of trustees should clearly define and document the scope of their power, role and responsibility	Overall response 3.83 Mean <i>Agree</i>	Question 6 <i>Over half of the schools determine the roles of governance and management annually</i>	Carver (1997) Farnsworth Bishop Associates (1998)
A board of trustees should operate using 'hands off' management	Overall response 4.08 Mean <i>Agree</i>	Question 6 <i>All boards of trustees were more 'hands on' in relation to property and finance</i>	Kilmister (1989) Carver (1997) Farnsworth Bishop Associates (1998)
If boards of trustees clearly understand the governance-management interface, then this will contribute to the effective management of the school and delivery of high quality educational outcomes	Overall response 4.56 Mean <i>Strongly Agree</i>	<i>The majority of participants indicated that there were varying degrees of understanding by board members on the uniqueness of the governance/management interface</i>	Carver (1997) Farnsworth Bishop and Associates (1998)
<i>Section 75 of the Education Act 1989 does not</i> clearly state the role of the board of trustees	Overall response 3.43 Mean <i>Not sure</i>	Question 4 <i>Participants had mixed feelings about the nature of the legislation – section is open to interpretation</i>	<b>Ministry of Education</b> (1990) Ballard <i>et.al</i> (1992) Wylie (1993) (1994) Mitchell <i>et.al</i> (1993) Walsh (1994) Gordon <i>et.al</i> (1994)
<i>Section 76 of the Education Act 1989 does not</i> clearly state the role of the principal	Overall response 3.57 Mean <i>Agree</i>	Question 4 <i>Participants had mixed feelings about the nature of the legislation – section is open to interpretation</i>	<b>Ministry of Education</b> (1990) Ballard <i>et.al</i> (1992) Wylie (1993) (1994) Mitchell <i>et.al</i> (1993) Walsh (1994) Gordon <i>et.al</i> (1994)

Common factors that were identified	Result from Phase I	Result from Phase II	Cross reference from Literature
A principal cannot be seen as standing apart from the board of trustees of which he/she is a member	Overall response 2.75 Mean <i>Not sure</i>	Question 8 <i>Four principals said no, three said yes. Four board chairpersons said no, three said yes</i>	Dr Rodney Harrison (in Walsh 1994)
There is not a clear delineation between the roles of governance and management	Overall response 3.31 Mean <i>Not sure</i>	Question 4 <i>Participants had mixed feelings about the nature of the legislation – section is open to interpretation</i> Scenarios <i>Participants were able to identify a conflict between governance and management and provide solutions to resolve the conflict</i>	<b>Ministry of Education</b> (1990) Ballard <i>et.al</i> (1992) Wylie (1993) Mitchell <i>et.al</i> (1993) Walsh (1994) Gordon <i>et.al</i> (1994) Wylie (1994)
Dividing the roles of governance and management does not go against the spirit of <i>Tomorrow's Schools</i> and the <i>Education Act 1989</i>	Overall response 2.26 <i>Disagree</i>	Question 6 <i>Participants felt that it was necessary for all parties to Tomorrow's Schools to understand each others roles, responsibilities and accountabilities</i>	<b>Ministry of Education</b> (1990) Ballard <i>et.al</i> (1992) Wylie (1993) Mitchell <i>et.al</i> (1993) Walsh (1994) Gordon <i>et.al</i> (1994) Wylie (1994)

Common themes (forming the focus of this study) that were identified	Result from Phase I	Result from Phase II	Cross reference from Literature
Addressing the school's strategic plan needs	Overall response Mean 3.56 <i>Yes</i>	<i>The findings from Part B were not part of Phase II of data collection. They allowed the researcher (and reader) to determine whether or not ERO's (1994) 'good governance' practices were being practised by schools</i>	<b>ERO</b> (1994)
Ensuring that the board attended efficiently to all matters	Overall response Mean 3.33 <i>Partially Addressed</i>		<b>ERO</b> (1994)
Undertaking self-review in a structured and regular manner	Overall response Mean 3.42 <i>Partially Addressed</i>		<b>ERO</b> (1994)

From the 'meshing' together of the results of the two data collection Phases, it is evident that there are strong patterns of similarity between the participants' views [Phase I], what the participants are indicating is occurring in their schools [Phase II] and what the literature [in Chapter Two] on governance and management states. An analysis of each factor is now discussed.

(i) *Governance is primarily the responsibility of the Board of Trustees.*

Governance authority is derived from *Section 75 of the Education Act 1989* and the governance of *Tomorrow's Schools* is the responsibility of the board of trustees.

Governance is concerned with the school's purpose, or as Kilmister (1989) interprets the governance function - being concerned with the larger picture rather than details of basic day-to-day operations. The role of the board of trustees in terms of accountability is "to derive and approve policy which sets the direction and the outcomes which are to be achieved." (Farnsworth Bishop and Associates 1998:2).

The participants' responses from Phase I indicated a *strong agreement* with this statement. This viewpoint was reiterated in responses during Phase II by principals and board chairpersons - governance is a navigational tool [as defined by Board Chairperson 0402B interview transcript p.1]. It guides the school along its chosen path.

(ii) *Management is primarily the responsibility of the Principal.*

Management authority is derived from *Section 76 of the Education Act 1989* and the management of *Tomorrow's Schools* is the responsibility of the principal.

Management is concerned with the school's ends, or as Kilmister (1989) interprets the management function - being responsible for the ways to achieve these ends. The role of the principal in terms of accountability is "to give effect to the policies of the board" and to undertake "the primary managerial functions of the school." (Farnsworth Bishop and Associates 1998:2).

The participants' responses from Phase I indicated *strong agreement* that management is primarily the responsibility of the principal. This viewpoint was reiterated in responses during Phase II by principals and board chairpersons - management is the principal's and senior management team's responsibility.

(iii) *New Boards of Trustees should receive training in governance and management*

In order for personnel to fulfil their functions to the best of their ability, professional development must be seen as a vehicle to achieve this. Boards of trustees need to be fully conversant with their governance role, responsibilities and accountabilities. They must also be fully conversant with the principal's management role, responsibilities and accountabilities.

The participants' responses from Phase I indicated *strong agreement* that training for new board members is essential. The principals and board chairpersons involved in Phase II of this study indicated that a majority of board members had participated in some form of governance and management training and that the board chairperson was prepared [and had on occasion] to tell board members "*not to meddle in management.*" (Board Chairpersons 0401A, 0402B interview transcript p.2).

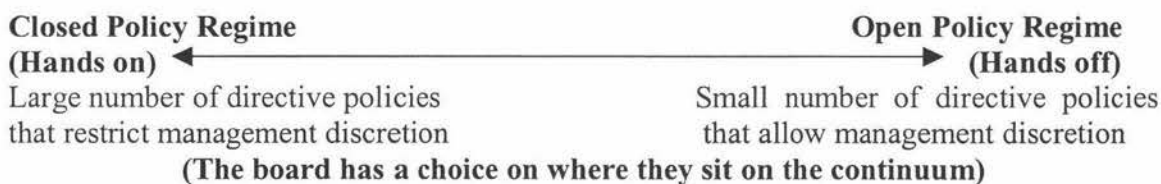
Carver (1997) and Farnsworth Bishop and Associates (1998) are strong advocates of training boards of trustees in the specialised area of governance. They believe that a clearer understanding of the role of governance by trustees, enables them to establish a more harmonious relationship with the principal because they are focused on their role and not that of the principal.

(iv) *Relationship between the Board of Trustees and the Principal must be a consultative and co-operative process.*

The participants in Phase I of this study indicated that the relationship between the principals and boards of trustees must be a consultative and co-operative process - it involves a spectrum of shared power (See Tables 4.2, 4.4 and 4.6). This must occur in order for the roles of governance to be understood and implemented successfully.

All boards of trustees have a policy framework within which the principal and the senior management team will implement the policies to achieve the outputs as desired. "This framework consists of the active policies of the board which provide direction to the CEO." (Farnsworth Bishop and Associates 1998:3). The policy framework is viewed as a continuum, as depicted below:

### GOVERNANCE/MANAGEMENT CONTINUUM



From this framework, governance becomes a continuum. At one end, the board can have a 'permissive regime' and at the other a 'restrictive regime.'

A permissive regime allows the principal maximum flexibility, discretion, and accountability, in terms of management output. At the other end, the restrictive end, the board's policies reduce the principal's flexibility and discretion and pushes accountability for daily outcomes onto the board. (Farnsworth Bishop and Associates 1998:3).

Governance is a number of continua and a board of trustees has a choice in terms of the governance functions that can be implemented. Boards of trustees need to understand that they have this choice – many boards of trustees may not appreciate this fact.

- (v) *Boards of Trustees should clearly define and document the scope of their power, role and responsibility*

The participants' responses from Phase I indicated an *agreement* that boards of trustees should clearly define and document the scope of their power, role and responsibility. Over half of the participants in Phase II determine the roles of governance and management annually.

It is obvious that a clear understanding of the roles of governance and its limitations will ensure that boards of trustees will implement governance practices "which provide

direction, benefit and service to the pupils and the parents and caregivers they represent.” (Farnsworth Bishop and Associates 1998:6). In defining their own role and their own role in relation to the principal, good governance practices will be the norm, not the exception.

Over the past ten years, trustees have developed their own expectations and understandings about what it is to be a board member and the role of a board member.

*“From the outset, Tomorrow’s Schools was not set out in an efficient/practical way. boards of trustees were given guidelines and these were [and still are] open for interpretation .... There was a lack of training in the beginning for boards of trustees.”* (Board Chairperson 0401A interview transcript, p.1)

Traditional patterns of behaviour will have been established over the last decade and they may be difficult to change.

*Being a board of trustees member should be more than being there to fix what is wrong with the school and to making sure your son/daughter does well. Board members should stand because they have at heart, a fundamental interest in making the education system better.* (Principal 0208 interview transcript p.1)

Being a member of a board of trustees requires a commitment to the governance role that ensures policies and procedures are in place, so that the core business of each school ‘the education of young people’, is able to occur efficiently and effectively. Being a board member may be able to be viewed as ‘community service’ –it is the researcher’s view that as long as board members play a role in making the education system better for the students within their school, then *Tomorrow’s Schools* will continue to flourish and prosper.

However, the researcher is concerned that in ten years time, there may not be the same number of parents willing to stand for the board of trustees. It is of some interest that there is going to be a proactive marketing and advertising campaign starting in early 2001, to encourage parents to do just that, for the elections to be held in April 2001. (TVNZ News, Monday 4 December 2000).

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(vi) *Boards of Trustees should operate using 'hands off' management.*

The participants' responses from Phase I indicated *agreement* with this statement. Kilmister (1989) is a strong advocate of boards of trustees being 'hands off' in relation to management matters – day-to-day running is the responsibility of the principal and senior management team.

Responses from Phase II indicated that boards of trustees were more hands on in relation to property and finance (NAG four). The property and finance portfolios have the potential to consume a large amount of the principal's time. Having financial and property experts on a board of trustees is becoming the norm as the principal's paramount role is to be the professional and instructional leader of the school. He/she needs to be aware of finances and property but he/she must not become consumed by it.

(vii) *If Boards of Trustees clearly understand the governance-management interface, then this will contribute to the effective management of the school and delivery of high quality educational outcomes.*

Participants from Phase I indicated a *strong agreement* with this statement. There is little doubt that high educational outcomes will be delivered when the respective roles of governance and management are clearly understood by principals and boards of trustees. In understanding the governance-management interface, then the board can govern and the principal can manage.

Participants from Phase II indicated that the majority of board members had a clear understanding of their own role and the principal's role. The majority of board members were able to distinguish between a governance and management issue. However, training was viewed as vital in ensuring that all board members knew, understood and appreciated the boundaries between governance and management.

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(viii) *Section 75 of the Education Act 1989 does not clearly state the role of the board of trustees.*

(ix) *Section 76 of the Education Act 1989 does not clearly state the role of the principal.*

Participants from Phase I indicated that they were *unsure* whether *Sections 75* of the *Education Act 1989* clearly stated the role of the board of trustees. Participants *agreed* that *Section 76* of the *Education Act 1989* does not clearly state the role of the principal. While these two sections provide principals and boards of trustees with the statutory framework for their roles of governance and management, interpretation of these two sections is wide and varied as indicated by the following comment from a principal interviewed in Phase II;

*Since this Act was passed, they [the sections] have been interpreted and given meaning .... These sections are open to interpretation and this can create issues.*  
(Principal 0208 interview transcript p.2).

As early as 1989, concern was expressed about the possibility of the roles of governance and management being clouded due to the lack of clear role definitions (Alcorn 1989, *The Lough Report* 1990, *Ministry of Education* 1990, Ballard and Duncan 1992).

*Sections 75 and 76* of the *Education Act 1989* provide principals and boards of trustees with a role definition. However, responses from participants in Phase I and Phase II indicated that the definitions are open for interpretation and that these sections do not clearly state the expected roles of the principal and board of trustees. Participants from Phase I indicated that there is not a clear delineation between the roles of governance and management.

The Act is vague and “the board’s province appears to be management, while the principal’s is day-to-day management.” (O’Sullivan 1998:179). Many publications have attempted to interpret the distinctions between governance and management (Ballard and Duncan 1989, Harrison 1993, *Ministry of Education* 1997). However, the lack of clear distinctions between *Section 75* and *76* still remain and the *Ministry of Education’s* most recent advice to boards of trustees and principals stated:

The board’s role is to make sure that its school is achieving charter goals through good management practices. It should not be involved in the day to day running of the school. Therefore, it is important that the board and principal agree on roles and

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responsibilities and determine what constitutes day-to-day, operational aspects in the management of the school. (*Ministry of Education*, 1997 in O'Sullivan, 1998:180).

This statement is not helpful in aiding principals and boards of trustees to differentiate between the roles of governance and management and role confusion can arise when some trustees do not understand or appreciate the limitations of their governance role. This can result in trustees 'meddling' in matters that are the domain of the principal and senior management team.

When board members move into management, the principal and staff become confused and uncertain about the role of the board of trustees. Role confusion has the potential to create tension, conflict and be divisive (as in the cases of, eg: *Hobday vs Timaru Girls' High School Board of Trustees* and *Thompson vs Grey Lynn School Board of Trustees* in Chapter Two). No school can afford to be involved in conflict, as the ultimate loss will be borne by the students because financial resources will be used as reparation rather than on teaching and learning resources.

It has been mooted over the last eighteen months that changes to the role definitions in the legislation could enhance the governance role of boards of trustees. However, "a contrary view holds that you simply cannot legislate for good governance." (Farnsworth Bishop and Associates 1998:3). Having a restrictive statutory framework may result in frustration from trustees and principals, a reduction in flexibility for boards and may create problems for all concerned.

However, there needs to be some recognition from the *Ministry of Education* and its associated agencies that some schools are flying under the 'self-management model', yet there are many [mainly sole-charge primary schools] which are not. In the words of Board Chairperson 0402B, "*the one-glove fits all approach is not working for all schools.*" (Interview transcript p.1). All schools need to have the support not only from the board of trustees, principal and staff, but also from the *Ministry of Education* and its associated agencies, to ensure that the educational administration being planned, developed and

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implemented, is meeting the statutory requirements and the students educational needs are being met.

- (x) *A Principal cannot be seen as standing apart from the Board of Trustees of which he/she is a member.*

Phase I results indicated that the participants were *unsure* whether or not the principal can stand apart from the board. During the course of data collection, the researcher asked each principal and board chairperson “*Can the principal be seen as standing apart from the board of which they are a member?*” Phase II results illustrated that each participant had a different viewpoint on this unique issue. The researcher believes that principal 0201 summed up the unique stance that a principal faces under *Tomorrow's Schools*:

*The principal can stand apart from the board, but it is not easily done, because the principal is a full member of the board. You can never easily join the two roles because the board is my employer. I am on an individual contract and to some degree I have to act on their expectations by ensuring that determined policy is enacted (that is accountability).* (Principal 0201 interview transcript p.2).

Dr Rodney Harrison (Barrister) opposes a precise definition and delineation of the roles of governance and management. He writes:

The principal cannot be seen as standing somewhere apart from the board of which he or she is a member. The management and control of the school cannot be arbitrarily categorized into day-to-day administration on the one hand and management at a policy level on the other. (In Walsh 1997:98)

The unique position of the principal will be studied in-depth in Part Two of this Chapter.

- (xi) *There is not a clear delineation between the roles of governance and management.*

Participants’ from Phase I indicated a *not sure* response to this statement. Participants in Phase II had mixed feelings about the nature of the legislation and felt that it is open to interpretation.

In contrast to their mixed feelings, all seven principals and board chairpersons were able to identify a conflict between governance and management and provide solutions to resolve the conflict in the four scenarios that the researcher created for Phase II data collection.

As alluded to in Chapter Two, the *Ministry of Education* (1990), Ballard *et.al* (1992), Wylie (1993, 1994), Mitchell *et.al* (1993), Walsh (1994) and Gordon *et.al* (1994) are all of a similar opinion - the lines between the roles of governance and management are not clearly distinguishable. Boards of trustees and principals have interpreted the wording of *Sections 75 and 76* and given them their own meaning. While these sections provide the partners of *Tomorrow's Schools* with a generic structural framework upon which to base their own governance and management interface, each school in this study, has in operation a different governance-management interface. Each board of trustees needs to determine and define their own unique governance-management interface that is transparent and clear.

(xii) *Dividing the roles of governance and management goes against the spirit of Tomorrow's Schools and the Education Act 1989.*

Participants' responses from Phase I indicated *disagreement* with this statement. Participants in Phase II felt that it was necessary for all parties to *Tomorrow's Schools* to understand each other's roles, responsibilities and accountabilities. The *Ministry of Education* (1990), Ballard *et.al* (1992), Wylie (1993, 1994), Mitchell *et.al* (1993), Walsh (1994) and Gordon *et.al* (1994) [in Chapter Two] have all written about the importance of a clear understanding between the partners.

Demarcation of the two roles will not reduce the ability of schools to delivery a quality education to the students. Moreover, it will allow the board of trustees to get on with their governance role as defined by Howell (1997):

Information gathering and decision-making process of an organisation whereby the purpose of an organisation is defined and the strategies and rules for attaining that purpose are determined, and authority given for the use of resources for the implementation of those strategies. (In Farnsworth Bishop and Associates 1998:3).

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Demarcation will allow the principal and staff to be:

Responsible for planning, developing and implementing school and classroom programmes and that the principal has three functions:

**Executive;** the principal will contribute to and implement the policy of the board so as to achieve the objectives of the charter.

**Instructional Leadership;** this involves leading the school staff in the implementation of school programmes.

**Reporting** on the achievements of the school.

(Ballard and Duncan 1989:5-6)

Demarcation of the two roles appears to be a contentious issue. What the Labour coalition government will do in the future can only remain to be seen. Changes in government may bring about a change in policy and a change of direction. Because education is a private good [provided by the government], it does not escape policy direction changes. *"Educational change is a certainty. However, we need some solid leadership and stability from the Ministry of Education and government."* (Principal 0306 interview transcript p.1).

(xiii) *Addressing the school's strategic plan needs.*

The overall response from participants to this statement indicated *yes*, each school had a strategic plan in place. However, in analysing the response to this statement in relation to 'position held' and 'decile rating' there was a different response between the principal and the board chairperson and low decile schools and high decile schools. (See Tables 4.3, 4.5 and 4.7).

(xiv) *Ensuring that the board attended efficiently to all matters.*

Participants' responses from Phase I to this statement indicated that the boards had *partially addressed* the issue of attending efficiently to all matters.

(xv) *Undertaking self-review in a structured and regular manner.*

Participants' responses from Phase I to this statement indicated that the boards had *partially addressed* the issue of undertaking self-review.

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In 1994, *ERO* prepared a report on schools who were governing successfully under the new administration reforms. The aims of the study were to

...identify any common factors that might contribute to a better understanding of board governance; to examine how the boards of “well-governed” schools actually go about it; and to uncover traps most commonly experienced by boards that experience difficulties. (*ERO* 1994:3)

Part B of the postal questionnaire asked participants from Phase I to study twelve statements about their own governance and management practices and the researcher based these twelve statements on the findings of the *ERO* (1994) report. The three statements listed above (xiii, xiv, xv) indicate that the schools involved in Phase I of this study may yet have to address their strategic plan needs, implement systems to attend efficiently to all matters and implement board self-review in a regular and structured manner. Part B of the postal questionnaire was not part of data collection in Phase II. However, it allowed the researcher to gain a better understanding of the each school’s governance and management practices.

### Summary

The results of data collection from Phases I and II highlight twelve common themes that surround governance and management and the governance-management interface. All twelve themes appear in the literature reviewed by the researcher in Chapter Two. These themes are not new – educationalists have been dealing with many of the issues since the implementation of the administrative reforms.

The most prominent themes surround the legislation. The lines between governance and management are not clearly distinguishable and *Sections 75 and 76* of the *Education Act 1989* do not provide boards of trustees and principals with clear definitions on the specific roles of governance and management. Stakeholders have interpreted the wording of these sections and created their own unique governance-management interface that suits their individual needs.

Good governance and management practices are essential to the successful running of a school. Boards of trustees must have a thorough understanding of the boundaries of their

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governance role, just as principals must have a thorough understanding of the boundaries of their management role. And, both parties must understand each other's role, responsibilities, powers and accountability. Governance has many facets, as does management.

## PART TWO: THE THREE KEY RESEARCH QUESTIONS

### 1 Is there clear demarcation of roles or is there a spectrum or continuum of shared power?

#### *The Respective Roles of Governance and Management*

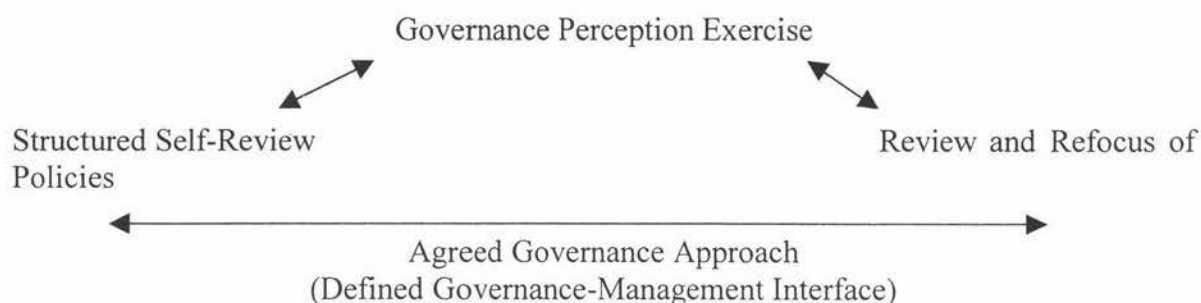
During Phase II of data collection, the researcher asked participants to complete the Farnsworth Bishop and Associates Governance Perception Exercise, to determine if the governance-management interface in operation was using a continuum (See Appendix XIV). The results of this exercise are illustrated in Tables 5.5-5.11 and provide evidence that each school in the study has evolved their own governance function in relation to the six *NAGs* and Community Liaison. Provided that each school meets its statutory obligations for each *NAG* (as prescribed by the *Ministry of Education* and *ERO*), having a different governance-management interface is not contravening the spirit of *Tomorrow's Schools*.

Farnsworth Bishop and Associates use this perception exercise in their training sessions with principals and boards of trustees.

The perception exercise is only one side of a triangular process and should be backed by a structured review of the board and a completed audit of the board's policies and procedures in order to rightly determine the policy framework of the board. (Farnsworth and Bishop Associates 1998:5).

Mark Farnsworth uses the diagram below in his training sessions to aid boards of trustees to determine their own governance-management interface:

### PROCESS TO DETERMINE GOVERNANCE FRAMEWORK



(Source: Farnsworth M. C. 1998. *The Role of Establishing Governance as the Solution to Infrastructure Renewal and Development*).

Farnsworth Bishop and Associates are of the opinion that boards have a tendency to move slowly towards a 'restrictive regime'. Boards need to implement appropriate self-review programmes "which test and reviews the board's policy framework on a regular basis." (Farnsworth Bishop and Associates 1998:5). Boards of trustees need to be aware that they may be moving towards a more 'restrictive regime' and adjust their policies and procedures accordingly.

The results of the Governance Perception Exercise undertaken in Phase II, indicate that the principal and board chairperson of each school in the study (with the exception of school 0402), may not be able to define with certainty their governance framework. For the majority of schools, there was more than one difference in perception of current governing positions (See Table 5.12) and at least one difference in perception of desired governing positions (See Table 5.13). Further training from professionals who specialize in governance training, along with structured self-review processes, may be required to ensure that boards of trustees meet the requirements of their governance accountability.

The governance-management interface models being practised in these seven schools may have little in common with the *Ministry of Education* model that is envisaged by the *Education Act 1989*. However, the evidence shows that the governance-management interfaces that are in operation within these seven schools exhibit:

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- Sound decision-making processes.
  - Effective leadership from the board chairpersons.
  - The ability to promote, explain and justify board actions.
  - Sound policy development, implementation and analysis.
  - An understanding by the majority of board members of the governance role and its limitations.
  - An understanding by the majority of board members of the management role and its limitations.

All school systems have room for improvement and the governance of schools is no exception. All the principals in Phase II indicated that, with the up-coming board elections in April 2000, a majority of their current board may not stand again for the full term (three years). They went on to say:

*“Training on governance and management will be sought – using myself [principal] and professionals.”* (Principals 0201, 0208, 0306, 0401, 0402 interview transcripts p.2)

### **Summary**

The participants in Phase II have all developed a governance-management interface that may not truly resemble the model as espoused by *Tomorrow's Schools*. However, they are exhibiting a majority of this model's principles and some have incorporated other management principles, such as Carver's (1997), into their model to create a structure that is workable for their environment.

In all seven schools involved in Phase II of this study, the board of trustees and principals have created a governance-management interface that involves a series of continua, based on the *National Administration Guidelines* and these continua have shared power. The governance position of the board (hands-on or hands-off) depends entirely on the *NAG* in question. There was an understanding that the board could move either left, hands-on or right, hands-off, on each continuum and at times, it is necessary to be more hands-on, say in relation to finance and property and at times to be more hands-off, say in relation to

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curriculum and personnel management. There is flexibility for the board of trustees and the principal to negotiate the desired governing position for each *NAG*.

## **2 What is the Principal's role and relationship with the Board?**

### **The Pivotal Person in *Tomorrow's Schools* – The Principal**

There is no doubt that the most important person in the *Tomorrow's Schools* partnership is the principal. He/she has a dual role. A principal is a full member of the board of trustees with equal voting rights and as such is involved in determining the ends of the school. This position places him/her into the role of employer.

A principal is the chief executive officer of the board of trustees and implements plans and programmes (or the means) to achieve the desired ends as determined by the board of trustees. This position places him/her into the role of employee.

The employer-employee relationship is paradoxical and has the potential to create conflict, tension and be divisive if all key stakeholders do not understand and appreciate this dual role.

### **The Role of the Principal**

In *Tomorrow's Schools* the principal is responsible for the management of the school and this authority is granted by *Section 76* of the *Education Act 1989*. This role includes being a lawful member of the board, providing information and guidance to the board, acting as the professional and instructional leader of the school, managing the school within legislation and board policies, overseeing the running of the school, making recommendations to the board on staff appointments and overseeing teacher appraisal and development programmes. The principal is concerned with overseeing the school's ends and has responsibility for the means by which these ends are achieved.

The tasks listed above constitute day-to-day management in secondary schools and this will vary according to the size of the school, the make-up of the senior management team and the style and type of management infrastructure that exists in each school.

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The principal can be viewed as the CEO of the organisation [school] and one of the most important tasks that a principal has is to establish an effective relationship with the board of trustees. The principal's relationship with the board is made up of two parts, namely accountability and responsibility.

### **The Principal's Accountability and Responsibility**

The board of trustees employs a principal to put in place the policies that have been determined at board level. The principal is responsible for ensuring that all the "pieces of the jigsaw" are put together into an acceptable whole. It is important that the functions of the board and the principal are determined as simply as possible. "The CEO's [principal's] only accountability should be to *the board*, not to officers of the board nor to board committees." (Carver 1997:105). The board should instruct the principal as a whole, not individual board members.

The principal's accountability accumulates responsibility. This means that the board of trustees should be concerned with what they hold the principal accountable for [achieving the ends as desired], not the direct job responsibilities that lie with the principal.

### **The Paradoxical Relationship of Being an Employee and an Employer**

*Tomorrow's Schools* created a new role for principals. A principal stands at the interface between the school and the wider community (see Alcorn 1989) and with the educational administration changes, came a unique stance; principals would now be employers (of staff) and employees (of the board).

### **Employers**

Principals have a responsibility to make recommendations to the board on staff appointments. Principals are expected to ensure that the school is fully and appropriately staffed and in many secondary schools, the principal will independently employ assistant teachers with advice from departmental heads. When making departmental head appointments, the principal may use the personnel committee of the board. Board policy will dictate how the appointment process will eventuate.

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Thus, in employing staff, the principal becomes the employer [as the board's representative] and staff are accountable and responsible to the principal.

### **Employee**

As an employee of the board, the principal, as CEO, is accountable for the school's achievement of the ends that the board has prescribed. The principal is responsible for ensuring that the policies and procedures, that are set in place in the day-to-day management of the school, will achieve the ends.

The principal is the board of trustees only employee; the principal is directly accountable to the board, while all other staff are directly accountable to the principal. The principal is accountable for meeting the school's expectations and the work of the principal is only a means to achieve the board's ends. Evidence from this study shows that the relationship between the principal and the board, regardless of the fact that the principal is an employee of the board, should be collegial and not hierarchical. The principal is accountable to the whole board, not individual board members and the principal and individual board members are equals.

### **Is There the Possibility of Role Confusion Under the Current Regime?**

The key stakeholders in *Tomorrow's Schools* are expected to form a partnership that ensures that the ultimate goal [educating young people] is achieved. It requires working together to achieve the common goal and ends as prescribed.

The inclusion of the principal .... On the board is likely to make such a partnership more viable, by bringing "operational" matters into dialogue with "policy", making sure policy is well informed, and by drawing professionals and parents into one common team with a sense of shared "ownership" of the school. (Wylie 1997:116).

The principal has an important role to play in *Tomorrow's Schools*. As an employee with special roles, he/she is expected to provide advice and guidance to his/her employer [the board]. Yet, he/she is an equal member of the board, with equal voting rights. A paradox exists and this situation is unique to New Zealand.

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Because this dual role exists, an unclear understanding by either principals and/or boards of trustees, can create conflict and be divisive. An increase in educational case law can be attributed to many issues. In speaking with Patrick Walsh [an educational law expert] in April 2000, the researcher was told that some educational case law has arisen because the principal has found himself/herself in a conflict of interests, particularly when it comes to disciplinary action over students and/or staff. The principal must be very clear in his/her own mind, about the legislative procedures required when disciplining students and/or staff.

### **The Importance of the Principal –Board of Trustees Relationship**

No single relationship in the organisation is as important as that between the board and its CEO. Probably no single relationship is as easily misconstrued or has such dire potential consequences. The relationship, well conceived, can set the stage for effective governance and management. (Carver 1997:101).

One of the most important tasks of any board of trustees will be that of appointing the principal. In the words of Board Chairperson 0305E;

*Appointing the new principal this year was the second most important decision I have ever made in my life. The first was deciding to get married.* (Interview transcript, p.2).

An effective principal can enhance the governance functions of the board.

For *Tomorrow's Schools* to be effective, solid relationships between the principal and board of trustees need to be developed, fostered and maintained. Wylie (1993, 1994, 1997 and 1999) reported a statistic of between 10-15% of reported problems between the principal and the board of trustees. These problems rarely occurred twice and were usually solved within the school itself. They centred on role clarity over governance and management, communication issues, personal or ideological agendas of individual board members and personality clashes.

During Phase II of data collection, the researcher discovered that relationships between the principals and board chairpersons in the seven schools were best described as positive. Within these seven schools, both the principal and the board chairperson felt comfortable discussing a variety of issues with each other, usually at weekly intervals. In school 0110,

the Deputy Board Chairperson also attended these weekly meetings (Principal 0110, interview transcript p.2).

Carver (1997) is of the opinion that boards would do well to ignore the old adage of describing day-to-day management as the CEO's only task and the board's job as "month-to month." The board is responsible for long-term planning as, too, is the principal. As a member of the board, the principal, too, will be involved in the short, medium and long-term planning of the school. It is a team effort and neither the principal nor the board should work in isolation from each other. *Tomorrow's Schools* is a partnership and all partners must work together to develop and implement plans in order to achieve the common goals of the school.

The principal's role is different from both the trustees and the staff in that it is more than just the two-way relationship between the principal and the board. The principal has a three-way relationship at any one time. He/she has relationships with the board and the staff. It can be illustrated as:



Because of this three-way relationship, the principal can insulate staff from the board and vice-versa. Principal 0305 said "*I see myself as a buffer between the board and the staff.*" (Interview transcript p.1). The researcher interpreted this not to mean that, there can be no communication between the staff and the board or vice versa. In fact, the researcher believes that healthy relationships between the staff and board are conducive to *Tomorrow's Schools* functioning efficiently and effectively. The researcher interpreted this statement to mean that due to the fact that human nature can be problematic at times, this three-way phenomenon will ensure that *formal roles of communication* are clear.

In defining the roles of communication and the roles of governance and management, there is less likely to be any conflict or tension. The scenarios created by the researcher illustrate what can happen if a board member steps outside his/her bounds of governance authority and into the principal's domain of management and staff issues.

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When the principal and the board of trustees work together, they “.... constitute a leadership team. Their contributions are formally separable [governance and management], and once clearly differentiated, the two roles can be supportive and respectful of each other.” (Carver 1997:118). Teamwork is the essence of true success in *Tomorrow's Schools* and it was evident in the seven schools studied by the researcher during Phase II of data collection that teamwork encompasses the structural framework upon which the governance and management of the schools is built. Mutual support for each other [the principal and the board chairperson] was evident by the way they spoke. In all seven schools, the principal could rely on the board chairperson to ensure that “.... The board to confront and resolve issues of governance while respectfully staying out of management” (Carver 1997:118). Carver goes on to say “The board must be able to rely on the CEO to confront and resolve issues of management while respectfully staying out of governance.” (pp118-119).

However, in the New Zealand system, this cannot occur, as the principal is an equal member of the board. Principals wear two hats – one of governance and one of management. This is why the role of principal is pivotal in the success of *Tomorrow's Schools*. Separating the two should be easy; in reality, it is often not that easy. In the words of Carver (1997:119), the principal of a school is a very special person indeed:

The CEO's leadership must have two components: the CEO must influence the organisational culture in which the organisation's impacts on the world are at least up to board expectations and, at the same time, must set a high level of ethics, prudence, creativity, and concern for the development of people. Furthermore, the CEO influences the board toward greater integrity and capability for strategic leadership.

And these special people interviewed during Phase II of data collection said, one of the biggest disadvantages of *Tomorrow's Schools* is the workload. Wearing two hats, being responsible to the *Ministry of Education* and its associated agencies, keeping abreast of legislation, being accountable for a multi-million dollar enterprise and keeping up with the “paper war” can take its toll. Palmer (1997) reported on such issues and why principals are seeking alternative employment.

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## Summary

The participants involved in this study indicated that the principal has a pivotal role in the *Tomorrow's Schools* partnership. He/she is an equal member of the board and the professional and instructional leader of the school with responsibility for the day-to-day management of the school. He/she is accountable to the board [as their employee] and is also delegated authority for staff appointments [as an employer].

The participants in Phase II have all developed solid working relationships with each other, regardless of the fact that they have interpreted the definitions of governance and management and given them their own meanings. In these seven schools, the relationships between the principal and board chairperson are healthy and productive. Both parties feel comfortable discussing a variety of issues with each other, both openly and when needed, confidentially.

The majority of participants in Phase II of this study do not see the principal as standing apart from the board of which he/she is a member. The principal is seen as an integral part of the board and the majority of board discussions will involve the principal. In a nutshell, the relationship between the principal and the board of trustees should be harmonious and foster and encourage good working relationships, which will ensure that the board is governing and the principal is managing. Yes, there is a paradox because of the dual role that the principal faces being both an employee and employer. However, if role definitions are clearly understood by both the principal and all board members, then there is less likely to be conflict or confusion and the ends of the school will be more easily achieved. A principal's job is not an easy one. In the words of Carver (1997:119):

The board [of trustees] has the right to expect performance, honesty and straightforwardness from its CEO [principal] . . . . The CEO [principal] has the right to expect the board to be clear about the rules and to play by them. He or she has the right to expect the board to speak with one voice (Carver 1992a), despite the massive currents that flow within the board's constituencies. And the CEO has the right to expect the board to get its own job done." (Carver 1997:119)

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### 3 If Conflicts of Governance and Management Arise, How are These Solved?

#### *The Potential for Conflict*

##### **Background**

During 1990, the *Lough Report* identified that there may be an uncertainty over the roles of boards of trustees and principals in the new educational administration reforms. In the same year, a *Ministry of Education* (1990) report also indicated that there was still some confusion over the roles of governance and management. Other publications since the inception of the reforms have also highlighted a concern over confusion of the two roles in the new educational administration regime. See Ballard *et.al* 1992, Wylie 1993, 1994, 1997 and 1999, Mitchell *et.al* 1993, Gordon, Boyask and Pearce 1994, Principal's Federation 1995, Fancy 1998, Kelly 1998, Monks 1998 and O'Sullivan 1998.

All of the writers of these publications indicate, to varying degrees, that what was originally intended, in 1989, still exists. However, schools have made their own interpretations of the varying legislation and guidelines and there still does exist some confusion about the boundaries or governance and management in some schools. This is evident by the increase in the number of schools settling disputes over governance and management issues and other employment and disciplinary issues either privately or through the court system, as discussed with Walsh (April 2000).

Throughout this study, the researcher has developed the opinion that the confusion over the roles and responsibilities between governance and management has arisen due to four factors. These are:

- (i) The structural framework of *Tomorrow's Schools*.
- (ii) The definitions in *Sections 75 and 76 of the Education Act 1989*.
- (iii) The governance-management interface that is in operation within schools.
- (iv) The rise in educational case law has been attributable to boards of trustees and/or principals over-stepping their bounds of authority and the end result is that the school finds itself engaging lawyers to settle the dispute, either privately or in the courts.

These four factors will now be discussed.

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### **The Structural Framework of Tomorrow's Schools**

It was of no surprise that education was decentralised in the late 1980's. The right-wing ideology that was spreading its way around the globe meant that the government of the time in New Zealand felt impelled to decentralise many services over which the government had had a tight control for more than half a century. This included education. The Department of Education was disestablished and the *Ministry of Education* was created along with smaller agencies and crown entities that had clearly defined roles and responsibilities.

As per the recommendations made by *Picot*, every school and early childhood service became self-managing and was granted autonomy for decision-making. Local communities were empowered and governance of schools became the responsibility of boards of trustees. Principals and teachers became more accountable to the board of trustees and slightly less accountable to the central government agencies. Teachers have been employed locally and the *Ministry of Education* determines the environment in which schools operate.

With the inception of *Tomorrow's Schools* came the creation of the *New Zealand School Trustees Association (NZSTA)* and this organisation has provided practical advice and guidance to schools all around New Zealand for a yearly fee. This organisation was involved heavily in training in those early years and still provides an array of professional development courses for board members. There has been an increase in the number of Colleges of Education and private training establishments that provide professional development to principals and boards of trustees on governance and management.

The structural framework of *Tomorrow's Schools* (See Figure 2.1) provides guidelines from which the key stakeholders can determine their roles and responsibilities. The governance model under *Tomorrow's Schools* is a collaborative model; it requires teamwork and there must be mutual support from the principal and board of trustees for each other, in order for the model to work successfully. The principal has the pivotal role in this model, as he/she is a board member and the professional and instructional leader of the school. He/she is the pivotal link between the board and the staff.

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What has been established and put in place in schools since 1989 has relied very much on leadership from the principal as he/she is usually the most experienced educational professional on the board. In the words of Chairperson 0305E:

*"I have been on boards of trustees since 1989 and in those early years, I believe we behaved very much like a school committee. We did not have a lot of guidance in the beginning and I believe that many schools [namely those that are isolated] in New Zealand have struggled with the governance and management concepts. In those early days, we relied heavily on the principal as he/she knew more than we mere lay people did."* (Interview transcript p.2).

Other principals and board chairpersons stated that, because New Zealand is a small country, they [the schools] and the *Ministry of Education* have spent a large amount of resources reinventing the wheel. (Principal 0110, 0306, 0401, 0402. Board Chairpersons 0110J, 0401A, 0402B). Even though Brian Caldwell and Jim Spinks were involved in traveling New Zealand and facilitating in-service programmes on self-management in those formative years, it is obvious that the pattern of behaviour that has evolved over the last decade in relation to governance and management may not be as the original authors of the *Picot Report*, Government and Treasury intended. All schools have the *Tomorrow's Schools* framework as the "bones" of their operation. What "flesh" they decide to put on those "bones" depends on the interpretation of the relevant legislation, the personalities of the key stakeholders and the skills and abilities that each board member brings to their position.

### **Sections 75 and 76 of the *Education Act 1989***

*Section 75* of the *Education Act 1989* provides boards of trustees with the delegated authority for governing the school following current legislation and national educational guidelines. Boards of trustees have to control the management of the school, define the school's purpose, set policies and goals, appoint the principal and assess his/her performance, support the principal in managing the school and ensure that the school is communicating effectively with the community. The researcher is of the opinion that in asking boards of trustees to be responsible for controlling the management of the school

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and supporting the principal in managing the school, two tasks can cause confusion for boards of trustees. These two roles are largely open for interpretation and how each board of trustees interprets these two roles will dictate the relationship that exists between the principal and the board.

*Section 76 of the Education Act 1989* provides principals with the delegated authority for being the school's chief executive in relation to the school's control and management. Principals are lawful members of their board, and are required to provide advice and guidance to the board, be the educational leader of the school, manage the school within the law and, in line with board policies and goals, oversee the running of the school, make recommendations to the board on staff appointments and oversee teacher appraisal and staff development programmes. The researcher has been of the opinion prior to beginning this study, that principals may find themselves in a quandary when a board member(s) steps into management issues and overstep their governance authority. Once again, the expectations of the principal from the board must be clear and the relationship that is established must be harmonious and conducive. The principal must be involved as a board member in setting ends [policies] and in deciding on the means, and implementing them, to achieve these ends as the manager of the school.

Participants in Phase II of this study all agreed that the administrative reforms were welcome. However, due to the fact the roles and responsibilities of governance and management were never clearly defined from the outset and principals and boards of trustees have been left to interpret the meaning of the legislation, conflicts were bound to occur, especially if there was political and/or ideological differences between the key stakeholders in *Tomorrow's Schools*. Principal 0306 commented on this issue:

*The legislation gives spirit to the Tomorrow's Schools concept and the relationship that should develop between the principal and the board of trustees. I believe that the working relationship is derived from the roles of governance and management as stated in the legislation – however, everyone has a different view on the meanings and compromise is a key component of this partnership. (Interview transcript p.2).*

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Since 1993, Wylie has conducted four surveys on *Tomorrow's Schools* and, in her 1999 survey, it was reported that principals would like trustees to be less involved in day-to-day school matters, and school management and staffing matters. This indicates that the boundaries between governance and management are still unclear [despite the legislation and guidelines] for some trustees ten years after the implementation of the reforms. "... principals would like more practical help from trustees, but they also prefer to remain in charge." (Wylie 1999:95).

As discussed earlier in this Chapter, the legislation (may) need revisiting to further clarify the distinctions between the two roles.

### **The Governance-Management Interface that Actually Operates Within Schools**

For each school, the governance-management framework that is in operation will be different. Despite the fact that *Tomorrow's Schools* provides each school in New Zealand with a generic framework within which to operate, as alluded to earlier in this Chapter, the "flesh" that is put onto the "bones" of the governance-management framework will depend entirely on the key stakeholders and the relationship that they have developed.

If schools are operating a closed policy regime, then the board has a large number of directive policies that restrict the principal's discretion. The board would be operating using "hands-on" governance and this is contrary to the definitions of governance as used throughout this study and by governance experts such as Kilmister (1989), Carver (1997) and Farnsworth Bishop and Associates (1998). In this situation, the principal would be treated very much as an employee of the board, despite the fact that legislation states that the principal is a lawful member of the board. The principal would have very little flexibility and the board would be responsible for daily outcomes. This is not *Tomorrow's Schools* in action because the relationship between the principal and the board is not collegial and the governance-management interface is not collaborative.

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If schools are operating an open policy regime, then the board has a small number of directive policies that allow the principal discretion. The board would be operating using “hands off” governance and this is the model of governance used throughout this study, and by the governance experts, as examples of good practice. In this situation, the principal would be treated as an equal member of the board, involved in determining ends and implementing the means to achieve these ends in a manner that he/she thinks fit.

The schools that formed the focus of data collection for Phase II of this study are, by and large, operating by using an open policy regime although the board of trustees have a more “hands on” role in relation to property and finance. The principals involved in Phase II of this study were comfortable with the approach that their board was taking to their governance role. However, concern was highlighted that:

*You have board members for three years and then they may not re-stand for a variety of reasons. This can be problematic, in that training is a necessity for new board members and relationships take longer to evolve if the make-up of the board changes.”* (Principals 0110, 0201, 0208, 0306, 0401, 0402 interview transcripts pp 2-3).

Elections for boards of trustees are scheduled for April 2001 and, in all seven schools involved in Phase II of this study, four of seven board chairpersons’ were re-standing, although they “.... May not stand for the full three years.” (Board Chairpersons 0208H, 0305E, 0401A, 0402B, interview transcripts p.2). For the three schools whose board chairperson is resigning, the deputy board chairperson is likely to assume the position of chair. Some individual board members may not re-stand. This means that new parent representatives will have to be elected, following which an analysis of the skills and abilities of the elected members takes place, and there may be some parent/community representatives co-opted to fill any gaps.

In the researcher’s view (obtained from the research), models of good practice [such as that exhibited by school 0402] should be made available to all schools so that they can see what other schools are practising. The researcher is not saying that all schools have a faulty governance-management interface. What she is saying, is that schools can learn from one

another by sharing ideas. As reported from the on-site interviews in this study, New Zealand is a small country and the fact that we have spent time “reinventing the wheel”, seems a waste of time and energy. The researcher believes that as *ERO* visit every school, surely part of their brief could be to offer schools other schools’ names in order for them to share ideas and see examples of good practice? As evidenced by this study, it is a source of continual frustration for many educational professionals that *ERO* does not provide this service.

### **The Rise of Educational Case Law**

In Chapter Two, the researcher highlighted the growth in the number of disputes between principals and boards of trustees (Walsh, 1994) and that these disputes settled mainly around the roles of governance and management.

The key case that provides many lessons for principals and boards of trustees is *Hobday vs Timaru Girls’ High School Board of Trustees* (See Chapter Two). This case could have been avoided had “clearer demarcation lines between the province of the principal and the board been in place. In his judgement Palmer J. helpfully outlined some broad parameters within which both boards and principals might operate.” (O’Sullivan 1998:180).

Policy formulation was and is, I stress a fundamental governance role of the board. In my view if the board had focused appropriately upon these core obligations instead of frequently, confrontational and unreasonably engaging in time consuming evaluation and re-evaluation of management issues which were primarily the responsibility of the principal, then the defaults by the board in its policy making role would have been much less aggravated. (*Hobday vs Timaru Girls High School*, p 132).

This case was costly in terms of dollars and personal cost. Both principals and boards of trustees must define their own role and, in particular the board, in relation to that of the principal.

In complete contrast to this case is *Thompson vs The Grey Lynn School Board of Trustees* (See Chapter Two). *Section 75* of the *Education Act 1989* provides boards with the responsibility of controlling the management of the school as they think fit. The Principal [Mr Thompson] felt that the Board was biased and their decisions were invalid. However,

the Board was not kept fully informed by the Principal on management matters and the court case went in favour of the Board. However, once again, this conflict arose because of the lack of clear demarcation line over roles and responsibilities in relation to governance and management.

Ten other cases have been to court (see Appendix I) and many others have been settled privately (the exact number is indeterminable due to privacy reasons). Some cases centre around governance and management issues, others concern disciplinary action taken against staff or students. Regardless of the issue(s), schools cannot afford to be involved in court proceedings as the ultimate cost is borne by the students. Needless to say, that kind of publicity is not something that a school wants. Educational professionals and boards of trustees must have a sound grasp of relevant legislation to ensure that they do not put themselves into a position whereby procedures are likely to be questioned or end up in the court.

### ***Dealing with Conflict Successfully***

The only way for principals and boards of trustees to avoid conflict over governance and management issues is to *clearly define the roles and responsibilities of the board of trustees and the principal in relation to their own job descriptions and each other.*

Wylie (1999) reported that fifty-one percent of the trustees surveyed has some conflict or difficulty to resolve, within their board, or between the board and the school staff. 1996 had a comparable result and was slightly higher than 1993, which was forty-four percent. Boards mostly resolved these issues themselves, or advice from *New Zealand Schools Trustees Association* was sought. *NZEI/NZPPTA* and/or the *Ministry of Education* were used, or the service of an outsider mediator was used.

All but one school in Phase II of this study was a member of the *New Zealand Schools Trustees Association* and they had used the Association on several occasions for a variety of issues. All participants in Phase II indicated that an outside mediator would be used if a

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serious issue of conflict arose. An outside mediator was used in school 0208 to resolve a governance issue. In the words of the Principal:

*The issue nearly broke the Board apart – the Board Chairperson was very good, but you could see that the issue was tearing him up inside. In the end, the issue was resolved. However, time was needed to heal the wounds. (Interview transcript p.2).*

Conflict has the potential to be divisive and damaging. Human personalities can be problematic and personalities will clash. However, if there are clear demarcation lines between the roles of governance and management, and an open and honest relationship exists between the principal and the board of trustees, then there is less likely to be a serious issue of conflict.

The only way for principals and boards of trustees to avoid conflict over disciplinary issues is to *follow the legislation and school procedures to the letter*. A great deal can be learnt from the cases that are listed in Appendix I. The researcher encourages all principals and boards of trustees to become fully conversant with the legalities associated with employment issues, student suspensions and staff discipline matters. Being mindful of the law is a requirement and a necessity for the key stakeholders in *Tomorrow's Schools*.

### **Summary**

The structural framework of *Tomorrow's Schools*, Sections 75 and 76 of the *Education Act 1989* and the governance-management interface that is in operation within schools, have all contributed in some shape or form, to the reported and unreported cases of conflict over governance and management.

In taking the structural framework of *Tomorrow's Schools*, along with their own interpretations of governance and management from the legislation, schools have created their own unique governance-management interface. They may be operating at different ends of the “hands on/hands off” spectrum, but they are doing the best that they can, given the fact the board of trustees meets monthly to govern their school following the nationally prescribed educational goals.

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Many schools are isolated and their people have difficulty attending professional development courses in governance and management. Many schools do not have enough financial resources available at their disposal for on-going professional development of the principal and the board. Yet, the *Ministry of Education* and *ERO* expect boards [of which the principal is an equal member] to be involved in ongoing self-review and development.

Many schools deal with conflict on their own and only when an impasse is reached, is outside help sought. The rise of commissioner appointments to schools is a concern [the latest being to a single-sex integrated school in the provincial area in which this study was conducted] due to serious breakdowns in the relationship between the partners of *Tomorrow's Schools*. The researcher is of the opinion that given the fact *Tomorrow's Schools* is now a decade old, it is time to seriously review the governance and management of schools. While the majority of schools are thriving under self-management, the “*one glove fits all approach*” needs to be reviewed. The next part of this Chapter discusses John Carver’s (1997) Policy Governance Model on governance and management.

### **PART THREE: POLICY GOVERNANCE**

After careful reading of John Carver’s two publications on governance and management (Jossey Bass 1997), the researcher believes that Carver’s Policy Governance model has much to offer a school’s governance and management functions. The Policy Governance model forms the theoretical basis of this study.

Carver (1997:15) writes:

Policy Governance offers not a mere improvement in board relationships but a revolution in boardroom behaviour and in the governance-management relationship.

Implementing policy governance, to improve the performance of a board, will be more than changing words or making adjustments. If boards of trustees wish to use this model of governance, they must “.... not only understand the theory but be prepared for major changes in actual behaviour and appearances.” (Carver 1997:15).

Policy governance has, as its starting point, the principle that a governing board [board of trustees] is accountable for the school it governs and that it exists on behalf of the community who morally own the school – the legal ownership of a school rests with the *Ministry of Education* and central government. Key stakeholders are the students and their parents.

Boards of trustees have accountability roles as defined by statutes (*Education Act 1989* and its subsequent amendments) and the *NEGs* and the *NAGs*. “A generic statement of any governing board’s accountability is that it must, acting on behalf of an identifiable ownership, ensure that the organisation achieves what it should while avoiding what is unacceptable.” (Carver 1997:16). This sets the stage for policy governance implementation.

Boards of trustees must be able to define their expectations, assign these to someone [the principal] and check that they are met. Boards of trustees must have expectations of *itself*, *its CEO*, *its chair* and *its committees*. (Carver 1997:16-7).

In a nutshell, policy governance is a model of governance that is comprehensive in that it creates a platform for boards of trustees to clarify their expectations and values. School issues (ends and means) need to be addressed differently.

(i) School Issues (Ends).

Ends policies outline the board of trustees expectations about:

- The benefit in students’ education that will eventuate from school operations.
- The students for whom the benefit is to be made.
- The relative worth of the benefit.
- “Ends simply answer the questions, what Good? For which people? At what cost?” (Carver 1997:18).

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In utilising policy governance, boards of trustees are able to distinguish ends from means to allow the board to focus their attention on the ends toward which all school operations and activities should be directed.

ii) School Issues (Means)

- i) Means is any school issues that are not ends issues. It includes methods, practices, situations or any other aspect of school operations that are not a “direct definition of results, recipients of results, or the cost or relative worth of those results.” (Carver 1997:18)

Each board of trustees should be instructive about its own means - itself, the board chairperson and board committees. Board policies about staff means instruct the chief executive officer [principal] on how to manage staff issues – the principal should be the board member involved directly in staff means.

**Policy Governance Offers Boards of Trustees Flexibility**

Policy Governance provides boards of trustees [a governing board] flexibility. It instructs the board on how to control ends and means through policy and how to construct policies that control the schools ends and means in different ways.

Generically speaking, ends policies would tend to be prescriptive [ie: *ABC School will provide all students with a well-balanced education.*] Staff means policies would tend to be prescriptive [ie: *In pursuit of the ends, the principal of ABC School can use any available means except that he/she may not allow this ...or that...*]. Carver (1997) is of the opinion that policy governance demands that boards prepare a “don’t-do-it” list, that frees boards from the need to be concerned with staff work. Carver calls these “don’t-do-it” policies “*Executive Limitations Policies*” and as a result the board is concentrating on their own job – meeting the requirements for ends determination.

Thus, the policy governance board delegates authority to its chief executive officer [principal] so that he/she can achieve the ends as stipulated by the board but within the constraints on means imposed by the board. As the principal is a full member of the board

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of trustees and is the chief executive officer of the board, he/she does have a paradoxical relationship, as he/she will determine ends to be achieved and also use means to achieve the desired ends. This was studied in Part Two of this chapter.

### **Policies and Policy Governance**

If a board of trustees is to use policy governance as a means of governing, then the policies [which are usually set out under the *NAGs*] must be "... inclusive, complete and comprehensive." (Carver 1997:19). Policies reflect values and values vary, and so will policies between schools. Some policies will allow latitude of interpretation and others will be narrow, allowing very little interpretation. Carver (1997 20-26) covers a step-by-step guide for boards on how policies (which reflect the values of the governing board) connect together to establish hands-on and hands-off control.<sup>1</sup>

Upon the completion of the steps, the outlining of the policies about ends and executive limitations, the board then delegates to the chief executive officer; - thus the chief executive officer interprets and implements board policy in both areas. The chief executive officer becomes empowered and as long as he/she does not step outside the boundaries of his/her authority, can implement any plan and/or programme to achieve the board's intended ends.

Monitoring of board expectations is essential and can be undertaken in a similar manner as to which the principal is subjected to. Regular self-review is an important part of policy governance.

### **Is Policy Governance a Workable Model for *Tomorrow's Schools*?**

As evidenced by the governance-management interface that was viewed and discussed in School 0402, the researcher has come to the conclusion that policy governance is a model that can be implemented fully or in part by boards of trustees in New Zealand schools. "A model is by its very nature general. Any board seeking to use a model must tailor it to its particular circumstances." (Carver 1997:34).

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<sup>1</sup> There are aspects of Carver's policy governance model underpinning Farnsworth Bishop and Associates work.

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Boards of trustees seeking to implement some or all of the components of policy governance, need to identify those principles that are consistent with the school's ends statements and build on these principles to form a workable model.

During Phase II of data collection, the researcher had the opportunity to study in-depth the governance-management interface that all seven schools had in operation. While all exhibited models of good practice, school 0402 [in the researcher's opinion] was the school that had taken aspects of Carver's (1997) model and adapted it to suit the school's individual needs.

The researcher spoke in-depth with the principal [who had been a principal for seven years at another school before this post] and was interested in the model that he had developed over the past nine years in his role as principal, a full member of the board and the chief executive officer for the board.

For a small, rural, U4 co-educational school that faces many challenges, the model that has been instigated by the principal, with the full support of the board, illustrates an example of good practice. While there are elements of Carver's (1997) model apparent in this school's unique governance-management interface, this board of trustees is governing in a way that ensures the collaborative governance structure as prescribed by *Tomorrow's Schools* is being modeled. The board is governing, the principal is managing and the lines between governance and management are very clear for all stakeholders, albeit that the board chairperson had had on occasion to remind some board members about the difference between the two roles. (Board Chairperson interview transcript p.2).

### **The Board's Responsibility for Itself**

How a board decides organisational results, how it controls operations, and how it relates to staff reveal much about its job description. It still remains for the board to deal explicitly with how it governs its own process.... (Carver, 1997:120).

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Boards of trustees have a responsibility to govern efficiently and effectively as stakeholders (ie: the parents from the community that the school serves have through the democratic voting process) elected them to represent their ownership of the school.

“The special class of stakeholders I call owners are those *on whose behalf* the board is accountable to others.” (Carver, 1997:121). Carver goes on to say “Ownership as a special concept serves as the origin of board accountability (Carver 1995b).” Boards of trustees have a “moral ownership” to act on behalf of the government and the stakeholders that they represent and they are responsible for their own development, job design, their own discipline and their own performance.

Boards of trustees must make clear to themselves and staff their responsibility for governance. It is not the principal’s responsibility to develop the board in order for them to achieve better governance practices. As the principal is a member of the board of trustees, he/she should be involved in board development. However, in order to govern effectively and efficiently, the board as a whole [led by the board chairperson] must unite and work as a team to improve governance practices.

### **Are there any Disadvantages of the Policy Governance Model?**

The researcher believes that policy governance may have the potential to be disempowering for boards, because the model is highly structured. While *Section 75 and 76* of the *Education Act 1989* provide the partners in *Tomorrow’s Schools* with some definition of the roles and responsibilities of governance and management, Policy Governance goes a step further. Policy Governance ensures that the focus for the board is governance and for the principal, management. The roles are clearly defined and demarcated. Boards of trustees may not feel comfortable with this very clear distinction; hence the feeling of disempowerment.

A further disadvantage of this model is that Carver (1997) is adamant that potential users should learn the model before implementation and upon learning the model “... implement it rigorously in order to benefit from its powerful potential.” (Carver 1997:35).

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The researcher believes that Carver's (1997) work has an underlying assumption that the majority of boards are hierarchical in nature. However, *Tomorrow's Schools* is collaborative and his "full" model may not suit a collaborative governance structure and adapting some of the model's principles, in part, may be a more suitable pathway for boards of trustees who want to take a policy governance approach to their governance role.

Mark Farnsworth (2000) is of the opinion that Carver places a strong emphasis on evaluations but only within the governance framework as set by the boards of trustees. The *Tomorrow's Schools* model, central government and *ERO* have established the requirements on how the principal should be evaluated and what those evaluations should cover. However, they have not set the same requirements for boards of trustees.

The researcher agrees with Farnsworth's view that all boards of trustees should evaluate their own performance (reviewing the ends) before they [the board] review the principal's performance. "I have found that some of the management shortcomings identified in principals' appraisals are in fact basic governance problems. Few boards have been able to recognize this." (Farnsworth March 2000).

Under the *Tomorrow's Schools* model, Principals face two evaluations:

- (i) A governance evaluation (as a Board member) and
- (ii) A management evaluation (as Chief Executive Officer of the school).

The principal has a pivotal role in the *Tomorrow's Schools* model as alluded to in Part Two of this chapter.

#### **PART FOUR: THE RESEARCHER'S VIEWS**

##### ***The Researcher's Principles for a Successful Governance-Management Interface***

As a result of examining the data and reflecting on the study, the researcher believes that there is no doubt that governance is the responsibility of the board of trustees and management is the responsibility of the principal, under the *Tomorrow's Schools* model. The relationship between the board members and the principal is not hierarchical under this

collaborative model. Yes, the principal is the employee of the board and he/she is accountable to the board. However, the principal is a full member of the board with equal voting rights. He/she will be involved in determining the desired ends for the school. As the daily manager of the school, he/she will determine the means necessary in order to achieve these ends and staff will aid him in this. This is the employer role.

For the governance-management interface to work properly, the researcher believes that a set of suggested principles<sup>2</sup> must underpin the basis of the governance-management interface operation within a school. These principles were developed throughout the course of study through the coding of data patterns. The researcher used triangulation to validate and verify these principles because she checked the information collected from Phase I and Phase II against documentation (questionnaires and interview transcripts) and the literature presented in Chapter Two. These principles are:

- (i) Clear definitions on the roles and responsibilities of the board of trustees in relation to their own job description and that of the principal. The trustees understand their role and the principal's role. Literature supporting this principle includes Carver (1997), Farnsworth Bishop and Associates (1998), Ballard *et.al* (1992) and Gordon *et.al* (1994).
- (ii) Clear definitions on the roles and responsibilities of the principal in relation to his/her own job description and that of the board of trustees. The principal understands his/her role and the board of trustees role. Literature supporting this principle includes Carver (1997), Farnsworth Bishop and Associates (1998) Ballard *et.al* (1992), Ramsay (1993) and Gordon *et.al* (1994).
- (iii) The board of trustees speaks with one voice. Debate over issues should be encouraged. However, the "one voice" principle means that the views of the board

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<sup>2</sup> These seven principles have strong links to Carver's (1997) and Farnsworth Bishop and Associates (1998) models. The researcher used Carver (1997) as her theoretical base for this study.

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members, no matter how diverse they are, are brought together. Literature supporting this principle is found in Carver (1997).

- (iv) The board is a group of people who “own” the school on behalf of the parents/caregivers and the community that the school is situated in. The trustees have been democratically elected by the “owners” to lead and govern the school. The relationship between the trustees and the “owners” must be fostered, maintained and protected. Literature supporting this principle includes Carver (1997) and Farnsworth Bishop and Associates (1998).
- (v) Define the ends of the organisation – “What is it that we need to achieve [nationally prescribed educational goals] and what do we want to achieve?” Literature supporting this principle includes Carver (1997) and Farnsworth Bishop and Associates(1998).
- (vi) The relationship between the principal and the board of trustees must be collegial, not hierarchical. The board of trustees should act and behave in a way that the principal feels empowered to carry out the means [with the help of the staff] in order to achieve the prescribed ends. Literature supporting this principle is found in Farnsworth Bishop and Associates (1998).
- (vii) The principal is accountable to the whole board, not to individual board members. Contact between the principal and the individual board members should be encouraged. However, it should be the board chairperson [and possibly the deputy board chairperson] who meets and speaks regularly with the principal outside of the monthly board meetings. Literature supporting this principle is found in Carver (1997).

These seven principles would allow the board of trustees to govern more effectively and exhibit board leadership of the school. These seven principles would allow the principal to manage more effectively and show professional and instructional leadership. Having clear

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job descriptions for the principal and the board of trustees would ensure that both parties in the collegial relationship are clear about their respective roles and responsibilities. Operating a governance-management interface whereby the principal is empowered will ensure that the ends as decided by the board are achieved.

The researcher believes that these seven principles have strong and valid links to the key themes identified throughout the study. The schools involved in Phase II of this study exhibited many of the researcher's principles listed above. Although all of the board chairpersons and principals were happy with their current governance-management interface that was in operation, there was room for improvement as evidenced by the responses to the governance-management perception exercise. (See tables 5.5-5.11)

### ***In Conclusion***

The governance-management interface provides the basis upon which schools operate and achieve the nationally prescribed educational goals. Each school involved in Phase I and II of this study is operating a different governance-management interface because of their interpretations of the relevant legislation, the personalities of the board members and the principal and the skills, abilities and experience of the board members and the principal.

While no model is right or wrong, the researcher has concluded that much can be learnt from Carver's (1997) Policy Governance model. Aspects of his work underpin Farnsworth Bishop and Associates (1998) work and schools in the Far North are reaping the benefits of their expertise in the governance-management arena. Whether schools adapt the model in full or in part, benefits to the school of Policy Governance will include:

- (i) Trustees are clear about their role.
  - (ii) The "owners" of the school will see a real value in return for the cost.
  - (iii) The board will become confident in their leadership.
  - (iv) The roles of governance and management will be separated.
  - (v) The principal's responsibility is clearly defined.
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- (vi) Policies of the board will be developed under specific categories and this allows the board to achieve its ends, be accountable for results and develop a relationship with staff and the community.

(Farnsworth Bishop and Associates 2000)

Change is a certainty and changes to the present model must be undertaken to enhance governance and management and the governance-management interface. There needs to be “.... Open-minded willingness on the part of the government and the government education agencies to revisit some of the key assumptions, in the company of people in schools.” (Wylie 1999:198). Change cannot take place without talking to boards of trustees, principals and staff in schools, who are at the “coalface”, facing the daily challenges of the educational administration reforms.

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## CHAPTER EIGHT

### CONCLUSION

#### *Introduction*

The purpose of this research was to clarify the distinctions between governance and management and to find ways of dealing effectively with conflict between boards of trustees and principals when it arises as in the sample schools in the study.

Statistical data obtained from Phase I of the data collection process, provides the views of principals and boards of trustees on a variety of statements concerning governance and management and the governance-management interface. The thesis provides a commentary obtained from Phase II of the data collection process on governance and management and the governance-management interface that is in operation within seven secondary schools.

The commentary evolved as a result of seven individual case studies conducted with the principals and board chairpersons. It explores their thoughts on the *Tomorrow's Schools* model and what governance-management interface they have evolved from the structural framework of this model. The researcher was interested in governance and management and the unique governance-management interface that has evolved as a result of the educational reforms of the late 1980's and the movement towards self-management for schools. The researcher was concerned at the number of educational case law cases that had assumed prominence since the inception of the reforms. It was apparent that the model has the potential to allow conflict to arise between principals and boards of trustees over governance and management.

*Tomorrow's Schools* provides all schools with a structural framework for governance and management. Sections 75 and 76 of the *Education Act 1989* do not clearly define the roles and responsibilities of governance and management as evidenced by the statistical results collected in Phase I. The interpretations of these two sections by the principal and the board of trustees will determine the governance-management interface that is in operation.

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While there is a generic framework in place for schools, each school is operating a different governance-management because of the leadership style of the principal and the way in which the board of trustees approaches and carries out their governance role. Because the principal has a paradoxical relationship with the board, as he/she is the employer and the employee, this has the potential to create conflict if the job descriptions of the principal and the board of trustees are not clearly defined and understood by both parties.

Part One briefly examines the educational reforms and how they are viewed ten years on by the fourteen participants in Phase II of this study, as it is important for the reader to understand the effects of the reform process on the people most affected. The issues that surround the three key research questions, together with Carver's (1997) Policy Governance model as a platform upon which schools could base their governance-management interface are also examined. The governance-management interface that is in operation within the seven schools involved in Phase II of this study, are not exactly the same as the prescribed *Tomorrow's Schools* model. The interpretations of the role of governance and management have been different for each school, with some adopting Carver's practices more than others. Carver (1997) and Farnsworth Bishop and Associates (1998) advocate that a governance regime that allows the principal maximum discretion to implement the necessary means in order to achieve the board's prescribed ends, is the optimal style of governance.

Recommendations for future action, topics that require further investigation, problems identified with this research and reflection upon the methodology used are discussed in Part Two.

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**PART ONE: GOVERNANCE and MANAGEMENT in TOMORROW's SCHOOLS**

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***The Educational Reforms***

The educational reforms, heralded by the *Picot Report* in 1988, saw the governance of schools delegated to locally elected community representatives [boards of trustees] and the management of schools delegated to the principal of the school who would also be a lawful member of the board. The devolution of many of the regional Educational Board responsibilities to school communities empowered schools, which has resulted in parents having a greater influence over the direction and management of the schools affairs. (O'Sullivan, 1998). Decisions were being made locally rather than in Wellington and there was a sense of "ownership" by the local community, as parents were involved in decision-making. Self-management of schools was the government's policy focus.

The literature reviewed in Chapter Two and the evidence gained from this study have identified gains from the reforms – flexibility, responsiveness, financial independence, transparency, community and parental involvement and an emphasis on addressing inequity issues. But there have been losses too – the demise of support agencies, excessive workloads and the role of the principal having to be redefined as one of a chief executive officer/managing director who needs to wear two hats; one of an employee and one of an employer.

***The Second Decade of Tomorrow's Schools***

Ten years after the decentralisation of education, not one of the participants in Phase II of this study wishes to return to the "old days." In fact, the reforms were welcomed by them. All agree that *Tomorrow's Schools* has delivered a number of its original objectives, yet there is concern about the boundaries between governance and management, competition between schools for students, workload issues, teacher professionalism, the government still maintaining a tight rein over schools and the lack of financial and material resources. Participants in Phase II indicated a number of desired changes to the current model. What will evolve over the next decade can only remain to be seen. A change in government

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brings about a change in direction and often a change in policy. Schools will be expected to follow the new direction that the *Ministry of Education* and its associated agencies takes, under the direction of the Minister of Education.

### ***The Governance-Management Interface in Schools***

If one was to ask “*Is the governance-management interface as prescribed by Tomorrow's Schools in operation for all schools?*”, the answer to that would be, “No.” The principals and board chairpersons of each of the seven schools in Phase II felt that they had a clear understanding of the boundaries between governance and management and the roles and responsibilities of governance and management despite the lack of guidance from the legislation and the *Ministry of Education*. The governance-management interface that they had developed was based on their interpretations of the legislation and their own understanding of the roles of governance and management. What was apparent in each school was that an open and transparent relationship between the board and the principal had been pivotal to the success of the board's governance role.

The split between governance and management was not pure – the spirit of *Tomorrow's Schools* allows the partners in the partnership to compromise and negotiate the boundaries. It was clear in this study that the principal and the board had negotiated the principal's individual contract and, thus, the principal's job description which ultimately determined the principal's accountability to the board. Some of the schools in Phase II had developed job descriptions for the board of trustees, others had not. The researcher believes, as does Carver (1997) and Farnsworth Bishop and Associates (1998), that, if each board member has a job description, their accountability is more clearly defined and this allows a clearer focus on the governance role.

### ***The Dual Role of the Principal***

The most pivotal person in *Tomorrow's Schools* is the principal. He/she is a board member who takes a governance role as well as being the professional and instructional leader of the school who takes a management role. Results from Phase I indicated that participants were unsure that the principal can be seen as standing apart from the board of which he/she is a

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member. "Wearing two hats" is never easy and principals often find themselves at the interface of the two roles, trying to maintain a semblance of common ground while meeting the needs of both roles.

The board of trustees must understand the principal's role and the principal in turn must understand the board's role. The board chairperson leads the board while the principal leads the school and there must be an harmonious relationship between the principal and the board of trustees in order for the school to function effectively and efficiently.

The principals in Phase II of this study indicated satisfaction with their relationship with the board chairpersons and their boards as a whole. Yes, they did experience difficulties at times with individual board members not clearly understanding or appreciating the difference between governance and management. When this occurred, the board chairperson was prepared to deal with the issue(s) and ensure that the board member became better informed on the two roles.

### ***Issues of Conflict between Governance and Management***

Issues of conflict are likely to arise if the boundaries between governance and management are not clearly understood or appreciated by the key stakeholders. The lack of clear definition in the legislation has compounded the issues of conflict and the researcher is of the opinion that, if there had been a clearer and sharper focus on the distinctions between the two, then cases such as *Hobday* and *Thompson* could have been avoided from the outset.

Each person brings to the role of governance and/or management, a set of skills, abilities and experiences that must be harnessed to create a relationship that allows the school to achieve nationally prescribed education goals and the desired prescribed ends. However, it is of concern when any one of the key stakeholders brings with him/her personal and/or political agendas as these have the potential to create conflict and be divisive.

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Conflict must be avoided at all costs as it will be the students' education that suffers in the end because financial resources will be channeled into settling disputes. Relationships take time and effort and the board of trustees, principal and staff must make a commitment to ensuring that the partnership is functioning smoothly.

<p><b>PART TWO: THE RESEARCHER'S CONCLUSIONS on IMPROVING the roles of GOVERNANCE and MANAGEMENT</b></p>
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New Zealand schools need boards of trustees who have a genuine interest in improving the schooling for the students who attend the school and principals who are ".... responsible, respected, well-trained, child-focused male and female educators who are caring, effective professionals." (Palmer 1997:162). For the *Tomorrow's Schools* partnership to work effectively, boards of trustees and principals need to work collaboratively together to achieve nationally prescribed educational goals. There cannot be an "us" and "them" mentality. The partnership must be built on trust, honesty, openness and three-way communication between the board, principal and staff.

If the policy focus of the government is to remain focused on a model of self-management and accountability, then there must be a commitment to enhancing the roles of governance and management within schools. The role of the board of trustees must be relevant to the effective functioning of the school and government must make a commitment ".... To clarify more explicitly which powers and responsibilities properly lie with which actors." (O'Sullivan 1998:188). This clarification can enhance the roles of governance and management for the key stakeholders and improve the education that it provides to the students because the roles of governance and management are clearly understood. This research has highlighted many satisfactions with the educational reforms and (some) dissatisfaction. It is imperative that dissatisfactions associated with the roles of governance and management are addressed and strategies put in place so that these can be eliminated.

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*The Researcher's Recommendations for the Implementation of Successful Governance and Management Practices*

Good governance requires a commitment from the board of trustees to ensure that the governance practices that are implemented "... provide direction, benefit and service to the pupils and the parents and caregivers they represent." (Farnsworth Bishop Associates 1998:6).

Good management requires a commitment from the principal and the board of trustees to ensure that the principal is empowered to implement management practices that will allow him/her the discretion to implement the necessary means to achieve the ends as prescribed.

Throughout this study, the researcher had the opportunity to meet a diverse range of people from low and high decile schools, from town and city. She interviewed board chairpersons who had been involved in boards of trustees since the inception of *Tomorrow's Schools* and board chairpersons who had been involved for a shorter period of time. The researcher interviewed principals who had been in their role prior to *Tomorrow's Schools* and principals who had just started out in their principalship role. The breadth and diversity of opinion aided the researcher to understand more fully, the intricacies of the governance-management interface and the *Tomorrow's Schools* model.

During the course of the study, the researcher was able to develop her own theory on the governance and management interface. The researcher's theory is that the current legislation and administration of *Tomorrow's Schools* does not facilitate the separation of the governance and management roles. The reason for this is because parents and caregivers that are board of trustee members, do not find it easy to separate their role of governance from that of being a parent.

The researcher has made a list of recommendations that she felt would enhance the governance-management function that is currently in operation within schools. From analyzing the data from multiple sources (literature and past studies) and collecting the data using multiple data collection instruments (quantitative and qualitative), the researcher was

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able to triangulate and ensure that her recommendations were valid and reliable in relation to governance and management and the governance-management interface. The recommendations (as they were generated) were written on the poster paper (used in the analysis of Phase II data).

The recommendations are:

- (i) *That resources need to be channeled into schools, so that a governance-management interface can be put in place that meets the unique needs of each school and the community it serves.* The “one glove fits all” approach is not working for everyone. There are many schools who are flying under the self-management model and many who are not.
- (ii) *That the wording of Sections 75 and 76 of the Education Act 1989 be changed to clearly clarify the roles and responsibilities of governance and management.* At present, the wording of these two sections is open for interpretation by principals and boards of trustees. The individual interpretations may not result in effective working relationships. The researcher is of the belief that, if any of the parties to the relationship have personal and/or political agendas, then conflict is likely to arise. The researcher does not believe that you can legislate for good governance; on the contrary, legislation may reduce flexibility for boards of trustees and principals. However, if the definitions were clearer, then both parties would know the limits of their and each other’s authority.
- (ii) *That the major tension that exists between decentralisation and central control is resolved.* The decentralisation was “ .... More a devolution of political rhetoric than it was a devolution of real power.” (O’Sullivan 1998:188). Boards of trustees and principals have to contend with the *Ministry of Education* still maintaining a tight control over many issues. Boards can determine safe-issues, but the *Ministry* still retains the power over curriculum, pay scales, management systems and finances. Other central agencies that are associated with the *Ministry of Education* have powerful influence over the key areas of education; *NZQA, ERO, TRB*.

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Clearly, this is a tense and fragmented environment for teachers. Teacher professionalism struggles to bloom in such a climate. Every school and centre, is to a degree, a stand-alone entity and therefore teachers are professionally isolated. (Te Rehita, December 2000).

These issues of tension, which can lead to conflict, need to be addressed by the *Ministry of Education*.

- (iv) *That an educational expert be part of every board of trustees.* In the Board of Governors' days, there was an educational expert on each board and this person was there as he/she had a benevolent interest in education. He/she wanted to see the education system improve. Some schools in larger centres may have the luxury of educational experts being either elected and/or co-opted onto their boards. The researcher is of the opinion that these people would enhance the governance-management interface because of their experience in the education sector. She does not believe that they would have too narrow a focus and/or try to control the board of trustees as was the concern of all seven board chairpersons in Phase II, when the researcher raised this issue during the on-site visits.
- (v) *That ERO be encouraged to pass on examples of good governance-management practices to schools that need help.* At present, there is one form of accountability and that is "ERO's way." (Principals 0110, 0306 interview transcripts p.1). While educational professionals agree that accountability is needed to ensure a nationally consistent level of education and educational practices, concern is often expressed at ERO's focus during their three-yearly school reviews. If ERO were given the brief of ensuring that schools needing help in a particular area were given the name of a school(s) where good practice was being exhibited, then "reinventing the wheel" does not need to occur. As mentioned in Chapter Seven, New Zealand is a small country and we can use resources more efficiently if we share ideas, policies and examples of good practice.

It is of interest that one of the recommendations made by the Committee appointed by the Minister of Education, Rt. Hon. Trevor Mallard in December 2000 to review

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*ERO's* practices, is for *ERO* to adopt an 'assess and assist' model which will ensure that real improvement for schools occurs. *ERO* Officers will be able to advise schools on how best to meet their obligations. The researcher is of the opinion that this is a positive step in the right direction.

- (vi) *That board of trustee training needs to be re-evaluated to ensure that all boards are not treated the same.* Every board of trustees is different. The board members have different skills, abilities and experiences that they can bring to the governance function of the board. Training for boards on the governance role needs to ensure the governance role is discussed appropriately while meeting the individual needs of each school.

The researcher believes that these recommendations have the potential to enhance the governance-management interface that is devolved from the *Tomorrow's Schools* model and to reduce any possibility of conflict between the key stakeholders.

#### ***Topics Requiring Further Investigation***

The researcher identified a number of issues that surround governance and management and the governance-management interface that require further investigation, as a result of the data gathered throughout this study. It is hoped that others may take up the challenge and seek answers to the issues listed below.

- (i) According to the participants in this study, there is concern about the government's unwillingness to fully adopt the self-managing concept due to the *Ministry of Education* often shifting the "goalposts" for their convenience. Further evidence is needed to validate or refute this finding.
- (ii) That the promise of all schools being on an "even playing field" after the reforms has not eventuated owing to the fact that some schools find it extremely difficult to obtain qualified staff despite having extra resources. This has an indirect link to this study because the equal provision of resources to schools will allow boards of
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trustees to govern and principals to manage more successfully. Every school under *Tomorrow's Schools* should be privileged, and the equal provision of resources to meet a school's needs should be investigated further.

- (iii) The demise of many central agencies during the reform process has caused a significant loss to the education profession. There needs to be further investigation into how far reaching these losses are and what has been done/is being done to cover any shortfalls.
- (iv) Teacher professionals have been affected by the educational reforms. The environment within which teachers work can be tense and fragmented due to employment relationships taking precedence over professional relationships. This places pressure on the board of trustees and the principal as employers. Tense relationships have the potential to affect the teaching and learning being provided and further investigation into these relationships and how to avoid conflict is needed.
- (v) There needs to be more current New Zealand research on the governance and management interface as it is a sadly neglected area of research. The researcher hopes that this study may spark further investigation on the unique relationship between governance and management that has evolved as a result of the educational reforms.
- (vi) Further research into the governance-management interface needs to be undertaken on a larger scale, to determine what the "norm" is for schools. This study was small scale. An in depth study of more schools would allow a better understanding of the governance-management interface.

### ***Reflection on the Methodology Used***

A number of issues were encountered during the implementation of this research.

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**Obtaining Consent from the Human Ethics Committee**

The researcher is of the opinion that this study was conducted systematically and followed the protocols of the Human Ethics Committee. The researcher learnt a great deal about the intricacies of research along the way and has gained professional development from having undertaken the research project.

The application to the Human Ethics Committee is essential when undertaking a research project that involves the study of humans and the researcher fully understands and appreciated that this Committee has protocols for research. Preparing the application took a tremendous amount of time and, while waiting for the recommendations of the Committee, the research was suspended. However, upon answering their questions and providing extra information as per their request, permission was granted to undertake the research. It is vital that researchers ensure that their human ethic applications are thoroughly discussed with their research supervisor to ensure that the Committee has very little (if any) recommendations to make to the research protocol.

**Sample Size**

It was difficult to obtain a larger sample of schools in Phase I because of the time required to process the data. The inclusion of twenty-three schools from a total of thirty-nine meant that the data obtained from these schools was reliable and valid. During Phase II, the researcher had to reduce the sample size to seven as one school withdrew from the study at the beginning of the data collection process. However, the seven schools used in Phase II, were wide in variety and offered a diversity of perspectives that strengthened the study. In hindsight the researcher should have been prepared for withdrawals and had a waiting list of schools who could have been involved in Phase II.

**Questionnaire Data**

Responses to the questions were sometimes left blank and this meant that there was not a 100 percent response rate to all twenty-five statements on the questionnaire.

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The researcher used the *SPSS* programme to process the data and time was needed to code the questionnaires, decide upon how the results were going to be presented and the values assigned to each response. However, this programme provided the researcher with simplicity of results and was able to be interpreted without too much difficulty.

### **Identification and Selection of the Participants**

A particularly difficult problem associated with this study was the identification of all the state secondary schools in the geographical region. The researcher had difficulty obtaining the exact number of schools for Phase I and it took several attempts to obtain the information from the *Ministry of Education*. There was confusion as to the boundaries of the regions being used in this study.

In order to identify the participants for Phase II, the researcher asked participants to indicate at the bottom of the questionnaire if they wished to be involved. In eight schools, both the principal and board chairperson indicated a willingness to be involved. In the other twenty-three schools that participated in Phase I, only one of the participants indicated a wish to be involved in the on-site visits. Hence, the withdrawal of the eighth school prior to the beginning of Phase II, meant there was no opportunity to identify another school, as only one of the two participants wanted to be involved. An eighth school would have strengthened the study's findings further.

### **Personal Bias**

As a senior manager with a reasonably high level of understanding of the governance-management interface, the researcher was aware of bias which could influence the way in which data were reported and received. Every effort was made to record Phase II data accurately so that the "voices" of the participants could be heard.

### **Individual Interviews – the Principals and the Board Chairpersons**

Data obtained during interviews are often fraught with problems for a researcher. The researcher provided the participants with a copy of the questions and the Farnsworth Bishop and Associates governance-management perception exercise prior to the interview

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taking place. The researcher did this as she was concerned that time was an issue. The researcher is of the opinion that, despite doing this, the interviews still assumed a life of their own. The interviews flowed naturally and often went off on a tangent when passions rose over a particular issue.

Although the same format was followed for each interview, the data recorded were different, according to the ideas uppermost in the mind of the participants. Many comments from the principal were supported from the board chairperson and vice versa.

The researcher often had to visit board chairpersons at their place of work and, despite the fact that the interview was confirmed by telephone prior to it being undertaken, many of the board chairpersons had forgotten to bring the information with them. The researcher always had copies of the information on hand in case of emergencies such as this!

Looking for commonalities in the data was a time-consuming process. The researcher sifted through the data from Phase II by using large pieces of poster paper and coloured highlighter pens. It was a mammoth task to identify the themes from fourteen interviews and “boil it all down” so that it could be presented into an acceptable format.

If the researcher was to conduct a similar study in the future she would:

- (i) Ensure that the participants in the study are clearly identified and that a contingency plan exists for the withdrawal of participants.
- (ii) Ensure that as each publication is used in the body of the text, she types up the reference list as she goes. Each publication was written into an indexed exercise book. Time would have been saved if the list had been typed from the outset.

### ***Concluding Remarks***

While the participants in this study all had varying experiences as board members and principals, as a group they represented an experienced core of key stakeholders involved in *Tomorrow's Schools*. Their evidence provides an important insight into the roles and

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responsibilities of governance and management and the ways in which they have adapted the *Tomorrow's Schools* model in order to operate a governance-management interface that suits the needs of their students and the community which the school represents.

The first research question investigated how boards of trustees and principals determine and perceive their respective roles of governance and management. Legislation provides a demarcation of the two roles; however it is not a clear demarcation, as evidenced by the results from Phase I. The schools involved in Phase II of this study [as with many schools] have taken their own interpretations of the legislation and created a continuum of governance, whereby the board is more "hands on" in relation to property and finance and "hands off" in relation to the other *NAGs* to allow the principal the discretion to manage the school as he/she thinks fit. Each school is operating at a different point on the governance continuum and this is due to the relationship that has evolved between the principal and the board of trustees.

Carver's (1997) Policy Governance model formed the theoretical base of this study and the researcher posited this model as one that can be adapted fully or in part in order for trustees to govern and principals to manage. Of the seven schools involved in Phase II of data collection, school 0402 was the school whereby Carver's model has been adopted to the greatest level. This school is exhibiting an example of good governance and management practice.

The second research question determined whether principals could be seen as standing somewhere apart from the board of which they are members. This study provides evidence from Phase I and II results, that the principal cannot be seen as standing apart from the board. Legislation states that the principal is a lawful member of the board with full voting rights. The principal is an employee of the board and is accountable to the board for achieving the ends as prescribed. The principal is an employer in that he/she has staff accountable to him/her in order to carry out the means in order to achieve the prescribed ends. A paradoxical relationship exists and it is one that can be fraught with difficulties if

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the relationship between the principal and the board is not clearly established and understood from the outset. The principal cannot be seen as standing apart from the board.

The final research question sought the ways in which conflicts of governance and management are solved if they arise. The structure of *Tomorrow's Schools*, Sections 75 and 76 of the *Education Act 1989*, the governance-management interface that is in operation within schools, and the principal and/or the board over-stepping their bounds of authority, all have the potential to create conflict. What is needed is an open, honest and transparent relationship between the key stakeholders of *Tomorrow's Schools* whereby an understanding of the roles and responsibilities of governance and management is determined. Conflict cannot be allowed to occur and personal and/or political agendas need to be put aside so that the board can get on with governance and the principal with management. Conflict will disrupt the core business of a school – teaching and learning.

For conflicts to be avoided, the governance-management relationship between the principal and the board of trustees must be based on dualism, not separatism. The key stakeholders of *Tomorrow's Schools* must work together, not apart in isolation. Conflicts will continue to occur if there is not a reappraisal of the issues that the researcher has raised in this study.

### **Final Word**

In conclusion, boards of trustees and principals need to understand that governance is a unique area of educational administration that requires specialized support from each other, the community of “owners” that the board represents, outside agencies and the *Ministry of Education* and its associated agencies. Good governance is an art and in order for the self-management model to show real gains to student achievement, perhaps all the key stakeholders in *Tomorrow's Schools* need to heed the following advice:

In governance boards need to seek to establish a common focus. Trustees must seek to understand the needs and expectations of the principal then, in return ask to be understood. (An adaptation of a quote by S.R.Covey, 1997 in Farnsworth Bishop and Associates 1998:6).

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<http://www.nzcer.org.nz/>

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From Mark Farnsworth (to the researcher) on: 10 February 2000 and 22 March 2000.

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## APPENDIX I

### List of Educational Case Law Cases that are pertinent to the Governance/Management Interface

- 1     *NZPPTA versus Board of Trustees of Kelston Boys' High School*  
[1992] 2 ERNZ 793
- 2     *NZEI versus Board of Trustees of Auckland Normal Intermediate*  
[1992] 3 ERNZ 243
- 3     *Sutherland versus The Board of Trustees of Marlborough Girls' College*  
[1998] 1 ERNZ 60/98
- 4     *Lewis versus The Whanganui Collegiate Board of Trustees*  
[1999] WET 893
- 5     *Richardson versus Board of Governors of Wesley College*  
[1999] AEC 60
- 6     *McArdle versus The Whanganui Collegiate Board of Trustees*  
[2000] WT 32
- 7     *Ramage versus Minister of Education*  
[1998] 2 ERNZ 188
- 8     *Castle versus Rongotai Board of Trustees*  
[1996] ECW 17/96
- 9     *Pamela Porter versus The Board of Trustees of Westlake Girls' High School*  
[1997] AEC 139/97
- 10    *Van Etten versus The Board of Trustees of John Paul College*  
[2000] AEC 173/98

## APPENDIX II

### Letter inviting participation in the study

Dear

My name is Annette Taylor and I am currently on study leave from my position as Deputy Principal at Central Hawke's Bay College, Waipukurau to complete my Masters of Educational Administration at Massey University. I am working on a thesis, which will examine the relationships between governance and management for Principals' and Boards of Trustees' in a range of secondary schools in a large provincial area of New Zealand.

As you are no doubt aware, the Education Act 1989 created a uniform model of governance where the power to operate the school system was devolved to local school communities, Boards of Trustees. Legislation provides Boards with the complete discretion to control the management of the school, as it thinks fit.

On the other hand, the principal must comply with the Board of Trustees general policy directions while having discretion to manage the day-to-day administration, as he/she thinks fit. While this may be seen as a clear demarcation of roles, the distinction between governance and management for some Boards of Trustees is not crystal clear.

The aim of this research is to:

- 1 Investigate how Boards of Trustees and principals determine and perceive their respective roles of governance and management. Is there clear demarcation of roles or is there a spectrum or continuum of shared power?
- 2 Determine whether principal's can be seen as standing somewhere apart from the Board of which he/she is a member. What is the role of the principal and his/her relationship with the Board of Trustees?
- 3 If conflicts of governance and management arise, how are they solved? Explore some of the cases in depth and report on the nature of the cases and the lessons that can be learnt from them.

In order to obtain data for analysis, I am inviting Principals' and Board of Trustees Chairpersons' in the region to be involved in my study. My study will benefit from the possible dual participation of both key stakeholders. I wish to send out a two-page Likert Scale questionnaire to all Principals' and Board of Trustees Chairpersons' who agree to be involved, to obtain individual and school perceptions of the governance/management interface.

2

The questionnaire will analyse collective data, not individual circumstances. Each response will be treated confidentially; there will be complete anonymity in any report that results from the questionnaire. The response sheets will be coded for this purpose.

Associate Professor Dr Wayne L Edwards (06 351 3368) will supervise the research. If you have any queries regarding this research, please contact Wayne or myself. This research is being undertaken in accordance with the Massey University "Code of Ethical Conduct."

If you wish to be involved in this research, please fill in the tear-off slip below and return it to me in the reply paid envelope before

I fully appreciate the constraints on time that Principals' and Boards of Trustees Chairpersons' face.

Yours sincerely,

Annette M Taylor  
Deputy Principal  
Central Hawke's Bay College  
WAIPUKURAU 4176

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Name of School: .....

Please circle Yes or No

**I am interested in more information**

**YES**

**NO**

Signed: .....

Name: .....

Principal/Board Chairperson [Please cross out which title does not apply]

### APPENDIX III

Thank you for requesting more information about my research.

Please find enclosed the following:

- i) An information sheet that outlines the steps in the research process and a statement of participant's rights.
- ii) A copy of the questionnaire with a reply-paid envelope.
- iii) A consent form (Massey University requires that I give this to you).

I recognise and fully appreciate the constraints on time that Principals' and Boards of Trustees chairpersons' face. If you choose to participate in my study, please return the questionnaire and the consent form by **Monday 21 August 2000** in the envelope provided so that I may begin the analysis. I have kept the questionnaire as short and simple as possible.

On the basis of the questionnaire findings, I wish to conduct in-depth interviews of eight schools. If you are willing to be interviewed and wish to receive a summary of the questionnaire findings, please complete the final part of the questionnaire.

I am hopeful that the findings will be illuminating and useful.

Yours sincerely,

Annette M Taylor (Ms)  
Deputy Principal  
Central Hawke's Bay College  
2 Cobham Crescent  
WAIPUKURAU 4176  
(06) 858 6494

Assoc Prof Wayne L Edwards  
Massey University College of Education  
Hokowhitu Campus  
Centennial Drive  
PALMERSTON NORTH  
(06) 351 3368

## APPENDIX IV

### INFORMATION SHEET – Phase I

Thank you for requesting more information about phase one of my research. The information gained from phase one of the research will be used to complete a thesis, which will examine the relationships between governance and management for Principals' and Boards of Trustees' in a range of secondary schools in a large provincial area of New Zealand.

In order for me to obtain data for analysis, the steps involved in phase one will be as follows:

- 1 Sending a two-page Likert Scale questionnaire to the Principal and Board of Trustees Chairperson in the schools that agreed to be involved in the research, to obtain individual and school perceptions of the governance/management interface. The questionnaire will take approximately 15-20 minutes to complete.
- 2 Upon receipt of the responses to this questionnaire, analysis of the data will occur by using a Massey University data analysis programme; SSPS (Statistical Product and Service Solutions). Using this data, trends will be identified and provide the researcher with a better understanding of the issues that surround governance and management for schools in a large provincial area of New Zealand.
- 3 The questionnaire will analyse collective data, not individual circumstances. Each response will be treated confidentially; there will be complete anonymity in any report that results from the questionnaire. The response sheets will be coded for this purpose.
- 4 A summary of the questionnaire findings will be sent to all schools involved in phase one of the research. Schools will be offered an opportunity to take part in phase two, which will involve on-site visits and interviews to further investigate the governance and management interface.

Participants involved in this research have the right to:

- 1 Decline to participate.
- 2 Refuse to answer any particular questions.
- 3 Withdraw from the study at any time.
- 4 Ask any questions about the study at any time during participation.
- 5 Provide information on the understanding that your name will not be used unless you give permission to the researcher.
- 6 Be given access to a summary of the findings of the study when it is concluded.

I fully appreciate the constraints on time that Principals' and Boards of Trustees chairpersons' face.

Annette M Taylor (Ms)

## APPENDIX V

### GOVERNANCE and MANAGEMENT QUESTIONNAIRE

*The information in this questionnaire will be used solely for my research purposes and will not be made available to any other sources. Responses are voluntary and you have the right to refuse to answer any particular question and to withdraw from the study at any time.*

#### Part A

**Please indicate your agreement or disagreement with the following statements by circling the response that most nearly coincides with your own**

**SD= Strongly Disagree   D= Disagree   NS= Not sure   A= Agree   SA= Strongly Agree**

Governance is primarily the responsibility of the Board of Trustees.	SD	D	NS	A	SA
Management is primarily the responsibility of the principal.	SD	D	NS	A	SA
Section 75 of the Education Act 1989 clearly states the role of the Board of Trustees.	SD	D	NS	A	SA
Section 76 of the Education Act 1989 clearly states the role of the Principal.	SD	D	NS	A	SA
A Principal can be seen as standing somewhere apart from the Board of Trustees of which he/she is a member.	SD	D	NS	A	SA
New Boards of Trustees should receive training in governance and management.	SD	D	NS	A	SA
There is a clear delineation between the roles of governance and management.	SD	D	NS	A	SA
Dividing the roles of governance and management goes against the spirit of Tomorrows' Schools and the Education Act 1989.	SD	D	NS	A	SA
The relationship between Boards of Trustees and principals must be a consultative and co-operative process; - involves a spectrum of shared power.	SD	D	NS	A	SA
Boards of Trustees should clearly define and document the scope of its powers, role and responsibilities.	SD	D	NS	A	SA
Boards of Trustees should clearly define and document the scope of the principal's powers, role and Responsibilities.	SD	D	NS	A	SA
A Board of Trustees should operate using "hands-off" management.	SD	D	NS	A	SA
If Boards of Trustees clearly understand the governance/management interface, then this will contribute to the effective management of the school and delivery of high quality educational outcomes.	SD	D	NS	A	SA

**Part B**

Please read the following statements in relation to your school's Board of Trustees and their governance procedures and practices.

Please indicate your response by circling the response that most nearly coincides with your own.

1 Yes	2 Partially addressed	3 Not addressed	4 Not Sure
The Board of Trustees provides a clear vision.	1	2	3 4
The Board of Trustees plans strategically	1	2	3 4
The Board of Trustees knows their responsibility	1	2	3 4
The Board of Trustees carries out this responsibility	1	2	3 4
The Board of Trustees takes timely action over all issues	1	2	3 4
The Board of Trustees attends efficiently to all matters	1	2	3 4
The Board of Trustees assesses its training needs and seeks opportunities for its development	1	2	3 4
The Board of Trustees plans for succession	1	2	3 4
The Board of Trustees promotes positive relationships and establishes clear systems of communication	1	2	3 4
The Board of Trustees is responsive to wishes of Stakeholders and consults on all important policy issues	1	2	3 4
The Board of Trustees undertake self-review	1	2	3 4
The Board of Trustees maintains and develops the quality of all aspects of its operations.	1	2	3 4

**Part C**

Please circle yes or no to the next two questions.

I am willing to be interviewed in relation to this study. Yes No

I wish to receive a summary of the findings of this questionnaire. Yes No

*If there is any further comment you would like to make, please feel free to do so.*

*Thank you for your assistance in completing this questionnaire and supporting my research.*

Annette M Taylor (Ms)  
2 Cobham Crescent  
WAIPUKURAU  
4176

Phone 06 858 6494  
Fax 06 858 6346  
Mobile 021 66 1976  
Email anniemae@xtra.co.nz

## APPENDIX VI

### EXAMINING THE RELATIONSHIP BETWEEN GOVERNANCE AND MANGEMENT FOR BOARDS OF TRUSTEES IN A RANGE OF SECONDARY SCHOOLS IN A LARGE PROVINCIAL AREA OF NEW ZEALAND

#### CONSENT FORM

I have read the information sheet and have had the details of the study explained to me. My concerns have been answered to my satisfaction, and I understand that I may ask further questions at any time.

I agree to participate and I understand I have the right to withdraw from the study at any time and to decline to answer any particular questions.

I agree to provide information to the researcher on the understanding that my name will not be used without my permission.  
*(The information will be used only for this research and publications arising from this research project.)*

I agree to participate in this study under the conditions set out in the information sheet.

Signed: .....

Designation: .....

Name: .....

Date: .....

## APPENDIX VII

### Covering letter for Phase II of the study

Dear

Thank you for agreeing to be involved in phase two of my research, which will involve me coming to interview you about the governance/management interface that operates in your school.

Please find enclosed the following:

- i) An information sheet that outlines the steps in the research process and a statement of participant's rights.
- ii) A copy of the questions that I would like to ask you and the Board Chairperson during the interview.
- iii) A copy of a governance/management perception exercise that is the intellectual property of Farnsworth Bishop and Associates. They have given me permission to use this exercise with you.
- iv) A copy of scenarios that have been created by me to gain further insight into your views on governance and management.
- v) A sheet asking you to indicate a range of suitable dates and times for me to conduct the on-site visits with a reply-paid envelope.
- vi) A consent form (Massey University requires that I give this to you).

I recognise and fully appreciate the constraints on time that Principals' and Boards of Trustees chairpersons' face. Please return the sheet detailing the suitable dates and times and the consent form by **Monday 16 October 2000** in the envelope provided so that I may begin phase two of the research.

I am hopeful that the findings will be illuminating and useful.

Yours sincerely,

Annette M Taylor (Ms)  
Deputy Principal  
Central Hawke's Bay College  
2 Cobham Crescent  
WAIPUKURAU 4176  
(06) 858 6494

Assoc Prof Wayne L Edwards  
Massey University College of Education  
Hokowhitu Campus  
Centennial Drive  
PALMERSTON NORTH  
(06) 351 3368

**APPENDIX VIII****INFORMATION SHEET - Principal**

Thank you for agreeing to be involved in phase two of my research. The information gained from this phase will be matched against the data obtained in phase one of the research and will be used to complete a thesis, which will examine the relationships between governance and management for Principals' and Boards of Trustees' in a range of secondary schools in a large provincial area of New Zealand.

In order for me to obtain data for analysis, the steps involved in phase two will be as follows:

- 1 Attaching to this information sheet;
  - A copy of the questions that I would like to ask the Principal.
  - A copy of the questions that I would like to ask the Board Chairperson.
  - A copy of the governance/management perception exercise that Farnsworth Bishop and Associates use in their training with Boards of Trustees. Mark Farnsworth has given me permission to use this intellectual property.
  - A copy of scenarios created by me to gain further insight into your views of the governance/management interface.
- 2 Once a suitable date and time has been negotiated for the on-site visit to take place, I will confirm the visit by telephone and then conduct the interviews with you and the Board Chair. I would like to interview each of you on your own. However, if you and your Board Chair prefer to be interviewed together, then I respect this request.
- 3 If during the on-site visit I identify other participants', such as the staff representative on the Board and the PPTA Chairperson, who could also contribute to my research, I would like to request your permission to interview them.
- 4 If permissible, I would also like to request the observation of a Board Meeting (if the on-site visit coincides with one) and the observation of Board policies and Board meeting minutes.
- 5 At the conclusion of the on-site visits, a summary of the interview will be provided to you for verification.
- 6 Collation of the on-site visits individual reports into an overview of the issues that surround the governance/management interface. This overview will be matched against the data obtained in phase one and will be reported in the thesis.

Participants involved in this research have the right to:

- 1 Decline to participate.
- 2 Refuse to answer any particular questions.
- 3 Withdraw from the study at any time.
- 4 Ask any questions about the study at any time during participation.
- 5 Provide information on the understanding that your name will not be used unless you give permission to the researcher.
- 6 Be given access to a summary of the findings of the study when it is concluded.

Annette M Taylor (Ms)

### INFORMATION SHEET – Board of Trustees Chairperson

Thank you for agreeing to be involved in phase two of my research. The information gained from this phase will be matched against the data obtained in phase one of the research and will be used to complete a thesis, which will examine the relationships between governance and management for Principals' and Boards of Trustees' in a range of secondary schools in a large provincial area of New Zealand.

In order for me to obtain data for analysis, the steps involved in phase two will be as follows:

- 1 Attaching to this information sheet;
  - A copy of the questions that I would like to ask the Principal.
  - A copy of the questions that I would like to ask the Board Chairperson.
  - A copy of the governance/management perception exercise that Farnsworth Bishop and Associates use in their training with Boards of Trustees. Mark Farnsworth has given me permission to use this intellectual property.
  - A copy of scenarios created by me to gain further insight into your views of the governance/management interface.
- 2 Once a suitable date and time has been negotiated for the on-site visit to take place, I will confirm the visit by telephone and then conduct the interviews with you and the Principal. I would like to interview each of you on your own. However, if you and your Principal prefer to be interviewed together, then I respect this request.
- 3 If during the on-site visit I identify other participants', such as the staff representative on the Board and the PPTA Chairperson, who could also contribute to my research, I would like to request your permission to interview them.
- 4 If permissible, I would also like to request the observation of a Board Meeting (if the on-site visit coincides with one) and the observation of Board policies and Board meeting minutes.
- 5 At the conclusion of the on-site visits, a summary of the interview will be provided to you for verification.
- 6 Collation of the on-site visits individual reports into an overview of the issues that surround the governance/management interface. This overview will be matched against the data obtained in phase one and will be reported in the thesis.

Participants involved in this research have the right to:

- 1 Decline to participate.
- 2 Refuse to answer any particular questions.
- 3 Withdraw from the study at any time.
- 4 Ask any questions about the study at any time during participation.
- 5 Provide information on the understanding that your name will not be used unless you give permission to the researcher.
- 6 Be given access to a summary of the findings of the study when it is concluded.

Annette M Taylor (Ms)

## APPENDIX IX

### QUESTIONS FOR THE ON-SITE VISITS

#### Principal interview

- How long have you been the Principal of this school?
- Have you been a Board of Trustees' member before you became Principal of this school?
- What are your thoughts on the educational reforms brought about by *Tomorrow's Schools*?
- Do you agree that *Section 75* and *76* of the *Education Act 1989* are;
  - i) Permissive rather than prescriptive?
  - ii) Empowering rather than restricting?

- Do you view governance as a simple linear (hierarchical) model?

Ask principal to complete Farnsworth Bishop Associates *Perception Exercise*.

- How do you and the Board of Trustees determine the roles of governance and management in your school?
- Do you see governance as a continuum?

Closed Policy Regime  
(hands on)

Large number of directive  
policies that restrict the  
discretion of management



Open Policy Regime  
(hands off)

Small number of directive  
policies that allow  
management discretion

- Do you view yourself as standing somewhere apart from the Board of which you are a member?
- How would you describe your relationship with the Board?
- If conflicts of governance and management arise, how are the issues solved?

## QUESTIONS FOR THE ON-SITE VISITS

### Board Chairperson interview

- How long have you been the Board Chairperson?
- Have you been involved with any other Boards of Trustees?
- What are your thoughts on *Tomorrow's Schools*?
- Do you agree that *Section 75* and *76* of the *Education Act 1989* are;
  - iii) Permissive rather than prescriptive?
  - iv) Empowering rather than restricting?
- Do you view governance as a simple linear (hierarchical) model?

Ask Board Chairperson to complete Farnsworth Bishop Associates *Perception Exercise*.

- How do you and the Principal determine the roles of governance and management in your school?
- Do you see governance as a continuum?

Closed Policy Regime  
(hands on)  
Large number of directive  
policies that restrict the  
discretion of management



Open Policy Regime  
(hands off)  
Small number of directive  
policies that allow  
management discretion

- Do you view the Principal as standing somewhere apart from the Board of which he/she is a member?
- How would you describe your relationship with the Principal?
- If conflicts of governance and management arise, how are the issues solved?

## **APPENDIX X**

### **GOVERNANCE and MANAGEMENT QUESTIONNAIRE SCENARIOS**

**Please read the following scenarios. What solutions do you suggest?**

A school has a trustee who is keen and basically supportive of the school but he seems to think it is his role to commandeer a part of every meeting to bring up a collection of complaints and suggestions, some trivial, some quite serious, which have come to him from a number of parents. He makes quite a thing of this, often exaggerating the complaint or the number of parents, and is not very careful about checking his facts. The Principal feels that the Board is not a complaints service and the parents should deal directly with the school.

The Board of a school feels that, because they will have to hear complaints and rule on (stand-downs) suspensions, they should draft a set of school rules to try to cover all eventualities. The Principal insists that it is the role of the Principal and professional staff to set and maintain standards of behaviour and that exhaustive rules are bureaucratic and likely to cause discipline problems rather than prevent them.

The staff representative on the Board says he does not find the role easy because the Principal is a powerful personality with whom only a brave teacher would disagree, even in private. At a recent meeting the Principal said the staff mostly supported an issue that the Board was discussing. The staff representative felt the staff had never been asked for their opinion, and he believed they would be against the idea. He was too frightened, or loyal to contradict the Principal at the meeting, but after mulling over it, decided to tell the Board Chair his views the next day. The Principal reacted angrily when the Board Chair said that the staff must be consulted and he would do so. The Principal felt by-passed and accused the staff representative of disloyalty.

A new trustee insists on his right to visit the school at any time, to inspect invoices, to visit classrooms and question teachers. He phones parents and asks them what they think of certain teachers and the Principal makes it quite clear that he is the employer and has a responsibility to make sure things are running properly at the school. The staff is up in arms, Board meetings are becoming miserable and protracted and the Board Chair does not seem able to show the new trustee what his role is. Some of our most experienced trustees have told me they are sick of the wrangling and do not intend to stand again for election. The school cannot afford to lose their expertise and contribution. I have tried to talk to the new trustee but have heard that he is telling people it is time the school had a new Principal.

Recently a trustee took it upon himself to reprimand a teacher who, he alleged, was not teaching effectively.

### Governance/Management Perception Exercise

School Type: Please circle

Secondary  
Intermediate  
Primary - walking principal  
Primary - teaching principal  
Area School

Instructions: 1. Please mark a box, with a tick, on each continuum, which best fits the way your board is governing

2. Please mark a box, with a cross, on each continuum, which best fits the way you would like your board to govern.

## Hands On

**Board members actively involved in actually implementing policies and procedures both informal and formal.**

## Hands Off

**Board members policy regulatory only.  
Management implements policies and procedures  
both Informal and formal.**

## NAG 1 Curriculum

## NAG 2 Strategic Planning

## NAG 2 Self-Review

### NAG 2 Reporting

### NAG 3 Personnel Management

**NAG 4 Finance**

**NAG 4 Property**

**NAG 5 Safe Envir.**

### NAG 6 Administration

### Community Liaison

Other

[illegible]

Revised December 1999

School \_\_\_\_\_

0110 0201 0208 0305 0306 0401 0402

### Teaching Principal

**Yes      No**

## APPENDIX XII

### EXAMINING THE RELATIONSHIP BETWEEN GOVERNANCE AND MANGEMENT FOR BOARDS OF TRUSTEES IN A RANGE OF SECONDARY SCHOOLS IN A LARGE PROVINCIAL AREA OF NEW ZEALAND

#### CONSENT FORM

I have read the information sheet and have had the details of the study explained to me. My concerns have been answered to my satisfaction, and I understand that I may ask further questions at any time.

I agree to participate and I understand I have the right to withdraw from the study at any time and to decline to answer any particular questions.

I agree to provide information to the researcher on the understanding that my name will not be used without my permission.

*(The information will be used only for this research and publications arising from this research project.)*

I agree to participate in this study under the conditions set out in the information sheet.

Signed: .....

Designation: .....

Name: .....

Date: .....

## APPENDIX XIII

### What are your thoughts on the educational reforms brought about by *Tomorrow's Schools*?

#### Principals' Responses

*Tomorrow's Schools* are complex.

Would not like to return to *pre-Picot* as the previous system was far too controlling.

The biggest advantage is the flexibility that it has given schools in relation to resourcing.

The downside is the "haves and the have-nots". Schools should all be privileged. Some schools are difficult to staff and even with extra resources they are not on an even playing field.

Believe that the "withdrawal of the studentship" scheme has had a detrimental effect on the number of people training and the caliber of people training. Workload issues are also putting people off teaching as a career.

One of the good things of the old system was the Board of Governors. This group had an educational professional on it. He or she was there as they had a benevolent interest in education. He/she wanted education to work and sat on the Board out of duty to the community. Believes that Boards of Trustees could prosper even more if there was such a person required to be on each Board. Need people on Boards who "have at heart a fundamental interest in education". Being a Board member should be more than being there to "fix what is wrong in the school" and to "making sure your son/daughter does well". On the whole I think we do get this type of support (ie heart for educational issues).

Empowering of professionals and communities.

Isolating due to competitive model that has evolved due to government policies and laissez-faire approach that has become the culture of central government agencies and a response to the "new right" government and devolutionary trends. Government agencies have felt compelled to follow this approach.

Societal trends whereby people expect the freeing up of the markets, including in education where parents and students expect a high level of choice, have also caused an isolating effect.

Views schools as a business: schools are enterprises that maximize production, utilizing scarce resources available to it. Firms do the same, but they aim to maximize profit.

Schools maximize quality of service.

Does not want to return to *pre-Picot*, but we can do better.

Needs more flexibility and more support.

The bad things of *Picot* are the demise of central agencies and the loss of other specialist services, such as the Curriculum development unit.

Society is more mobile now- people think nothing of making their children's education mobile also.

Local schooling can be viewed as second best- it should not be, but appears to be the case in most rural communities.

Generally supportive of the "self-management" model.

0201

BUT, have a problem with some of the things that the government will not (or can not) let go of. In example, abolition of the direct-resourcing scheme saw this school receive an amount of money to spend as the Board and I see fit. Yet, I have to report back to the Ministry as to how we are spending it. Personnel issues are another example of the government not letting go.

Does not think that the "full-trust" model is in operation.

Understands the need to have audit and control processes, but in some issues Boards have found out how powerless they actually are.

Believes either have "centralized" control or "full devolution." Ministry needs to sort out what they want to do.

Loss of support agencies is a sad thing, especially since it is "user-pays" for some of these services now. Referred to as "tossing away of responsibilities."

Certainly excellent elements of "business-model" that schools could utilize and use to their advantage. Especially when it comes to administration. This school has employed a "business-manager" to do such tasks and let Principal get on with being the professional and instructional leader of the school.

One element of the "business-model" that I am not keen on is the "performance appraisal system" that means teachers have to "score points" to be seen as performing well. This does not fit with the collegial model by which teachers must work to be successful.

The new model has meant that schools have had to become competitive and Principals are spending a lot of time and money on attracting "clients" and marketing.

Would not go back to *pre-Picot*.

Advantages: Autonomy for schools.  
Community involvement.

0206

Disadvantages: The lines that lie between the legislative responsibilities and Board responsibilities are not clear. The Ministry of Education "shifts" the lines at their convenience. The Ministry has a tendency to shuffle "political" hot potatoes and have one foot in each camp. Demise of central agencies. Bring back "Lopdell House". Workload issues, particularly in curriculum and assessment keep on occurring. Does not seem to be any indication that they will slow down either.

Are schools businesses? Certain aspects of schools can be run like a business, in particular Property, Finance and Personnel. However, teaching and learning, which is a school's core business, is not business orientated and we must not lose sight of that.

Agrees with the idea of an educational professional on each Board (as per old Board of Governors).

Would not go back to *pre-Picot*, but believes that there must be clearly defined roles for the Ministry of Education, PRO and NZQA, ie: Coordination needs to be arranged between the three agencies re AUDITS of schools.

Educational change is a certainty, however, we need some solid leadership and stability from the Ministry and Government.

Believe many of the aims and goals set in place in 1988/89 have not come through - look at two things that have been announced in the media in the last 24 hours:

One in four people under the age of 19 are involved in crime

Three youths a week are committing suicide

In 10 years of community-based model of educational administration, we have to ask questions about society impinging on schooling. Stable place in the community these days are schools - no longer is it the home, or sports clubs, or churches or other clubs.

Great loss of the old regional educational boards with the introduction of *Tomorrow's Schools*.

*Tomorrow's Schools* is an excellent concept, but the world has changed. It has changed in the way that families must survive today.

Are schools businesses? Initial reaction to this concept was "it is appalling." But have to accept that this is the model that they wish to have now and "user pays" is part of everyday life, not just particular to schooling.

At the end of the day, schools are accountable to the community. Have to gain a balance between professional leadership and making sure that mums/dads/students are happy with the service provided.

Other part of the business model which is not good is the issue of "competitiveness."

NZ is far too fragmented in the sense that we spend far too many resources on "reinventing the wheel."

Initially *Tomorrow's Schools* gave us flexibility. But we have lost it now due to the way in which school systems are accountable to one organization only - ERO. Only one way of compliance and that is ERO's way.

Principals and Boards of Trustees have a lot of responsibility but very little power. This is a major issue of *Tomorrow's Schools*.

Of course, secondary schools may have had an easier transition to *Tomorrow's Schools* as they had the Board of Governors before *Picot*. May not have been so easy for Primary Schools.

Would not want to go back to pre-*Picot*. Not entirely go back. However, current system needs total review.

Fragmented in terms of structures and disarranged teacher training.

Lost a great deal of essential services

Curriculum Development Unit

Teacher Training

Central Agencies - SPS

Flexibility for schools.

Community involvement in schools/education.

BUT, a flawed system due to the lack of definition of responsibilities on governance and management. Governance issue has never been clearly defined.

Methodology is flawed - although changes have been mooted although nothing has eventuated yet.

Has given schools the opportunity to re look at teaching and learning processes.

Changes left Boards reinventing the wheel- should have given BOT's basic rules to begin with.

Some smaller schools have Trustees not fully conversant with the role of policies/procedures/decision-making processes.

Too many people on Boards with not enough for Trustees to do.... then they start to meddle in management.

Would not like to go back to pre *Picot*, but does not want the BOT setup to remain as it is. Would like to see a governance structure set up within school (similar to old Board of Governors), but given specific duties.

Massive workload has eventuated. And at same time, curriculum changes were implemented.

Community input into education is vital.

Sold educators short in the sense of workload.

Demise of associated agencies has been a shortfall.

Most of government policy is fiscally driven, but perhaps there could have been two.

Principals being appointed to each school, as they do in USA, to share the workload.

Principals' who are successful classroom practitioners, have been lost to administration.

Property is a huge workload.

Legislation needs constant attention- in particular, new Employment Relations Act.

Sometimes entrenched views of teachers impede progress.

Would not like to go back to pre *Picot*.

Schools are businesses

Suggested  $\Delta$  25

not Go back to pre *Picot*.

Advantages

Disadvantages

CODING for ANALYSIS

# Governance/Management Perception Exercise

School Type: Please circle

Secondary

Intermediate

Primary - walking principal

Primary - teaching principal

Area School

Instructions: 1. Please mark a box, with a tick, on each continuum, which best fits the way your board is governing

2. Please mark a box, with a cross, on each continuum, which best fits the way you would like your board to govern.

Hands On

Board members actively involved in actually implementing policies and procedures both informal and formal.

Hands Off

Board members policy regulatory only. Management implements policies and procedures both informal and formal.

NAG 1 Curriculum

NAG 2 Strategic Planning

NAG 2 Self-Review

NAG 2 Reporting

NAG 3 Personnel Management

NAG 4 Finance

NAG 4 Property

NAG 5 Safe Envir.

NAG 6 Administration

Community Liaison

Other

									✓p ✓c xp xc
	xc	✓p xp			✓c				
	✓c xc	✓p xp							
					✓p ✓c xp xc				
								✓p ✓c xp xc	
					✓p ✓c xp xc				
	✓c xc				✓p xp				
		✓p xp			✓c xc		✓p xp		✓c xc
									✓c xc
					xc				✓c

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School

0110

0201

0208

0305

0306

0401

0402

Teaching Principal

Yes

No

# Governance/Management Perception Exercise

School Type: Please circle

Secondary

Intermediate

Primary - walking principal

Primary - teaching principal

Area School

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Hands Off

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APPENDIX XIV

NAG 1 Curriculum

NAG 2 Strategic Planning

NAG 2 Self-Review

NAG 2 Reporting

NAG 3 Personnel Management

NAG 4 Finance

NAG 4 Property

NAG 5 Safe Envir.

NAG 6 Administration

Community Liaison

Other

					XC	*PVC		/P		
		✓P	✓C		*P					
			XC		/P					
			XC	✓C	*P					
				XC		*P		✓P		
		✓P			✓C	✓P				
		*P			XC	*P				
			✓P	✓C						
			*P	XC						
			✓P	✓C						
		✓P		*P		✓C				
		*P				XC				
			✓P	XC	*P	✓C				

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School

0110 0201 0208 0305 0306 0401 0402

Teaching Principal

Yes No

# Governance/Management Perception Exercise

School Type: Please circle

Secondary

Intermediate

Primary - walking principal

Primary - teaching principal

Area School

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APPENDIX XIV

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## Hands Off

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NAG 1 Curriculum  
NAG 2 Strategic Planning  
NAG 2 Self-Review  
NAG 2 Reporting  
NAG 3 Personnel Management  
NAG 4 Finance  
NAG 4 Property  
NAG 5 Safe Envir.  
NAG 6 Administration  
Community Liaison  
Other

								✓c	✓p	
			x	✓c	✓p			x	x	
			✓c		x		✓p			
			✓p	x			x	✓c		
			x			✓c	x			✓p
			x	✓c		x		✓p		x
			x	✓c			✓p	x		
				✓c			x	✓p		
				x				x	✓c	✓p
					✓c		✓p		x	x
					x		x			

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School

0110 0201 0208 0305 0306 0401 0402

Teaching Principal

Yes No

**School Type: Please circle**

Intermediate

Primary - walking principal

Primary - teaching principal

Area School

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**NAG 2 Strategic Planning**

**NAG 2 Self-Review**

**NAG 2 Reporting**

**NAG 3 Personnel Management**

**NAG 4 Finance**

**NAG 4 Property**

**NAG 5 Safe Envir.**

**NAG 6 Administration**

**Community Liaison**

**Other**

								$\sqrt{p}$ $\times p$	$\sqrt{c}$ $\times c$	
$\times c$		$\sqrt{c}$ $\times c$	$\sqrt{c}$		$\sqrt{p}$ $\times p$					
		$\sqrt{c}$ $\times c$		$\sqrt{c}$	$\sqrt{p}$ $\times p$		$\times p$	$\sqrt{p}$		
$C \textcircled{P}$									$\sqrt{p}$ $\times p$	$C \textcircled{C}$
			$\sqrt{p}$ $\times p$		$\sqrt{c}$ $\times c$					
	$\times p$	$\sqrt{p}$ $\times p$		$\sqrt{c}$ $\times c$	$\sqrt{p}$ $\times p$	$\times c$				
$\times c$	$\sqrt{p}$ $\times p$		<del><math>\sqrt{c}</math> <math>\times c</math></del>	$\sqrt{c}$				$\sqrt{c}$ $\times c$	$\sqrt{p}$ $\times p$	

C (S) staff  
C (P) Principal

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School

0110

0201

0208

0305

0306

0401

0402

### Teaching Principal

**Yes**

**No**

# Governance/Management Perception Exercise

School Type: Please circle

Secondary

Intermediate

Primary - walking principal

Primary - teaching principal

Area School

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NAG 2 Strategic Planning

NAG 2 Self-Review

NAG 2 Reporting

NAG 3 Personnel Management

NAG 4 Finance

NAG 4 Property

NAG 5 Safe Envir.

NAG 6 Administration

Community Liaison

Other

						✓p	xp		✓c	
				xp	✓p		✓c		x c	
					✓p	✓c	x c			
					xp		✓c	✓p		
							x c	xp		
			✓p			✓c				
			xp			x c				
			xp	xp		✓c	✓p			
						x c				
			✓p	✓c						
			xp	x c						
					xp	✓c	✓p			
						x c				
							✓p			✓c
							xp			x c
		✓c		xp		✓p				
		x c								

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School

0110

0201

0208

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0306

0401

0402

Teaching Principal

Yes

No

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NAG 2 Strategic Planning

NAG 2 Self-Review

NAG 2 Reporting

NAG 3 Personnel Management

NAG 4 Finance

NAG 4 Property

NAG 5 Safe Envir.

NAG 6 Administration

Community Liaison

Other

							xp	✓c		✓p
	✓c		✓p					xc		
	xc		xp							
	✓c	xc	✓p							
	xc		xp							
					xp		✓p			
					✓p	✓c				
					xp	xc				
		✓c	xc				✓p			
		✓c	✓p	xc			xp			
	✓c		xp							
	xc				✓p		xp			
				✓p	✓c					
			xp	xc	✓p					
	xp									
								✓p		

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School

0110 0201 0208 0305 0306 0401 0402

Teaching Principal

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NAG 2 Strategic Planning  
NAG 2 Self-Review  
NAG 2 Reporting  
NAG 3 Personnel Management  
NAG 4 Finance  
NAG 4 Property  
NAG 5 Safe Envir.  
NAG 6 Administration  
Community Liaison  
Other

										AP	VP
										XC	VC
	VC	XC	VP								
	XC	VC	VP								
										VC	
										VC	
								XC	VP	VC	
								VP	AP		
								VC	XC	XP	
									VP		
									XP	XC	
									VC	VP	
									VC	XP	
								VC	XP	XC	VP
								AP			
								VC	XC	VP	

> NO Px given

> NO Pvx given

Revised December 1999

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School

0110

0201

0208

0305

0306

0401

0402

Teaching Principal

Yes

No

## **Appendix XV**

***ERO's factors characterised as being associated with schools that exhibit sound governance procedures.***

Successfully governed schools exhibit the following governance procedures:

### **I) Vision**

The effective Board, in consultation with stakeholders, provides a clear vision that stakeholders can commit to.

### **II) Planning and Implementing**

The effective Board plans for and enables the school to meet and continue to meet its missions, charter goals and all other obligations.

The effective Board is aware that its primary responsibility is to ensure the successful operation of the school in terms of its mission and in terms of charter and statutory obligations.

The effective board delegates implementation of most charter goals to its employees.

The effective Board takes timely and appropriate action over all issues, including difficult ones.

The effective Board efficiently attends to administrative and organisational matters.

The effective Board assess its own training needs and opportunities are sought to meet them.

The effective Board has clear policy guidelines and induction systems for handling changes to the Board.

### **III) Relationships and Communication**

The effective Board promotes positive relationships and clear systems of communication.

The effective Board is responsive to the wishes of stakeholders and consults on all important policy issues.

A strong partnership between Board and staff facilitates good communication between the Board and the Principal and the staff.

### **IV) Accountability**

The effective Board determines the extent to which its mission, charter goals and all obligations have been achieved.

The effective Board maintains and develops the quality of all aspects of its operation.

Source: Effective Governance. ERO. Nbr:7 Winter 1994. (p16-35)