Teachers for the 21st Century

USING EVALUATION TO IMPROVE TEACHING

Key Topics from the 2013 International Summit on the Teaching Profession

OECD

Teachers for the 21st Century

USING EVALUATION TO IMPROVE TEACHING

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BETTER POLICIES FOR BETTER LIVES

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Introduction

In some countries the concept – not to mention the use – of teacher appraisal sparks discussion just about wherever and whenever it is mentioned. According to what criteria? Who decides? And what should the results of teacher appraisals be used for? However, education stakeholders are beginning to find some agreement in the idea that teacher appraisal can be a key lever for increasing the focus on teaching quality and continuous professional development for teachers, in keeping with the growing recognition that the quality of teaching affects student learning outcomes. Highly visible teacher appraisal also provides opportunities to incentivise, recognise and reward teaching competence and high performance. This, in turn, may help address concerns about the attractiveness of teaching as a career choice and about the image and status of teachers in a number of OECD countries, including teachers' feelings that their work is not sufficiently valued. Since formative appraisal can also help to raise teachers' self efficacy, it is a key component of effective teacher policies.

Effective teacher appraisal can also help schools to become sensitive to individual talent, performance and motivation by allowing teachers to progress in their career and take on new roles and responsibilities based on evaluations of their performance. As more and more parents demand quality education for their children, teacher appraisals provide a way for schools to be accountable for the quality of education in their classrooms and to address underperformance among teachers.

There are large variations in approaches to teacher appraisal, ranging from highly sophisticated national systems to informal approaches left entirely to the discretion of individual schools. Evidence from the OECD *Teaching and Learning International Survey* (TALIS)[1] indicates that teachers who received appraisal and feedback generally had positive views of these processes. Overall, a large majority of teachers (83.2% on average across TALIS countries) who had received appraisal and feedback considered them to be fair assessments of their work, and most of them (78.6%) found that they were helpful in developing their work as teachers (Figure 0.1). These are important findings, showing that representative samples of teachers across countries report largely positive experiences with their own appraisal processes (OECD, 2009).

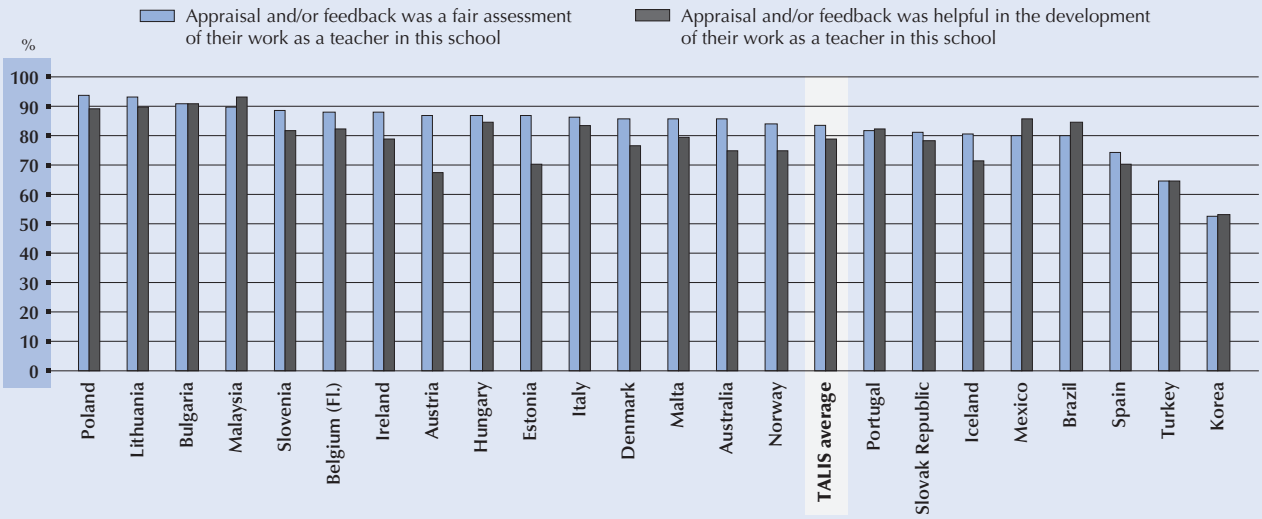
It can be difficult to introduce teacher appraisals into a system or school where no regular appraisals existed previously. There may be resistance to teacher appraisal among certain groups in the school system borne of a lack of evaluation, feedback and sharing of practices among teachers. There can be significant organisational and capacity challenges to implementation, including limited professional expertise among evaluators; schools that are unprepared to conduct appraisals; limited understanding among teachers of the purposes and uses of appraisals; a sense of unfairness by those teachers being appraised; an excessive workload; and a reluctance among teachers to accept the legitimacy of the evaluators. Schools or jurisdictions may also lack the resources needed for quality teacher-appraisal procedures, particularly the time needed for developmental work, observational evaluation and feedback. In fact, data from TALIS show that several countries find it difficult to ensure that all teachers systematically receive effective appraisal and feedback from their employers. Just over half of the teachers in TALIS countries had never received any appraisal or feedback from an external source, such as an inspector, which limits these teachers' possibilities to receive validation of their work by an external entity. Although internal appraisal was more frequent across countries, 22% of teachers indicated that they had never received any appraisal or feedback from their principal, and 28.6% had never received feedback from other teachers or members of the school-management team. Overall, 13.4% of teachers had never received any feedback or appraisal of their work in the school from any source. These teachers are missing out on an opportunity to receive professional advice from their colleagues and supervisors, and may be less likely than others to engage in focused professional learning and continuously improve their practice (see Figure 0.2; OECD, 2009).

Developing teacher-appraisal systems may be costly and challenging to implement, but it is critical to reconcile the demands for educational quality, the enhancement of teaching practices through professional development, and the recognition of teacher knowledge, skills and competencies. The expectation is that engaging in reflective practice, studying his or her own teaching methods, and sharing experience with peers in schools become a routine part of a teacher's professional life.

Figure 0.1

Teachers' impressions of the appraisal and/or feedback they received (2007-08)

Percentage of lower-secondary teachers who agreed or strongly agreed with the following statements about the appraisal and/or feedback they had received

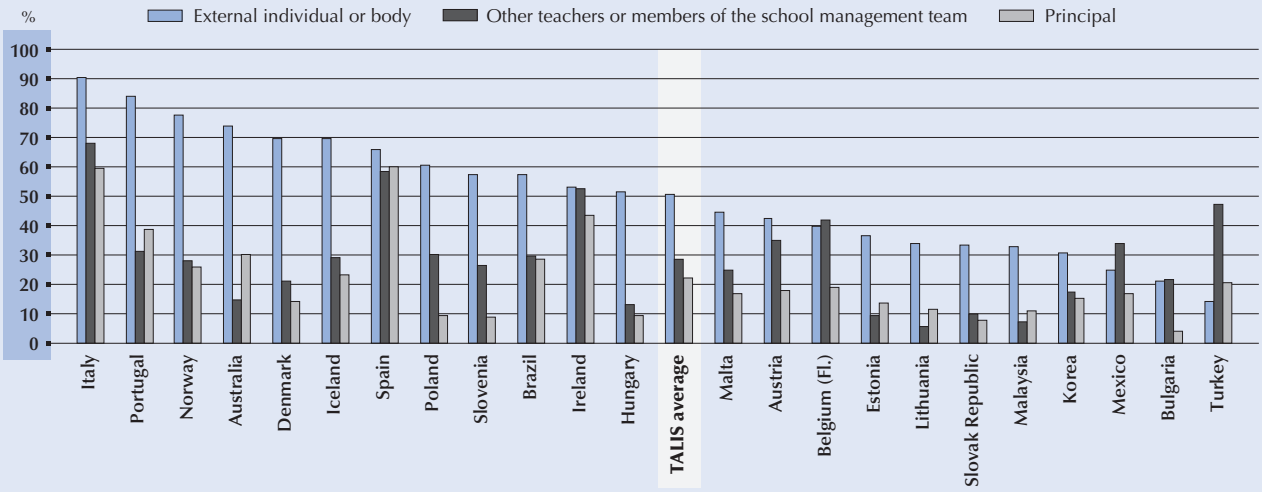


Source: OECD, *TALIS Database*.

Figure 0.2

Teachers missing out on appraisal and feedback opportunities (2007-08)

Percentage of lower-secondary teachers who reported that they had never received any appraisal and/or feedback from the following sources



Source: OECD, *TALIS Database*.

Research highlights the importance of systematic approaches to teacher appraisal that support continuous learning for individual teachers throughout a career and for the profession as a whole. Such appraisal needs to be based on a shared understanding of good teaching and be part of well-aligned procedures for teacher preparation, registration or certification, induction and mentoring, support structures and professional learning opportunities. It needs to be based on designs that are already proven effective, draw on multiple instruments of evaluation, be conducted by well-trained evaluators, offer differentiated appraisal approaches for teachers at various stages of their careers, provide for teachers' active participation in the process, and be followed up by suggestions for improvement and continuous learning opportunities.

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It is also important to consider that a high-quality teaching profession needs to be built around a wide range of inter-related and mutually reinforcing policies:

- making teaching an attractive career choice in order to draw in the best possible candidates;
- ensuring high-quality initial teacher training and providing induction and mentoring programmes once a teacher has entered the profession;
- basing teacher professionalism on an evidence-based understanding of effective learning, providing teachers with a rich repertoire of teaching strategies, and fostering collaborative practice;
- offering effective in-service professional development to update and renew skills and knowledge;
- establishing attractive employment conditions, compensation systems and career structures in order to retain good teachers and provide a stimulating context for professional growth;
- supporting teachers with effective school leaders; and
- engaging teachers as active agents in educational reform and innovation.

These broader policies will not result in sustainable change without effective teacher-appraisal systems; but without a comprehensive and shared view on teacher professionalism, appraisal systems will not succeed either.

Given that teacher-appraisal systems are still a work-in-progress in most countries, it was an appealing idea to gather together key stakeholders in education to explore the various ways countries and jurisdictions are addressing the issue. To this end, the third International Summit on the Teaching Profession, held in Amsterdam in March 2013 and hosted by the Netherlands, the OECD and Education International, brought together education ministers, union leaders and other teacher leaders from high-performing and rapidly improving education systems, as measured by the OECD Programme for International Student Assessment (PISA), to discuss how teacher quality is defined and what standards are set and by whom; what systems are in place for teacher evaluation and how evaluations are conducted; and how teacher evaluation contributes to school improvement and teacher self-efficacy.

This publication underpins the 2013 Summit with available research about effective approaches to teacher appraisal and examples of reforms that have produced specific results, show promise or illustrate imaginative ways of implementing change. The publication is largely based on the OECD *Review on Evaluation and Assessment Frameworks for Improving School Outcomes* (see Box 0.2) as well as analyses from the OECD 2008 *Teaching and Learning International Survey* (TALIS). Countries that are represented at the Summit but did not participate in the OECD review carried out a special survey in order to provide comparable data.

The publication looks at the governance of appraisal systems, including how standards for teacher appraisal are established and by whom; at approaches and procedures for teacher appraisal and developing capacity for implementing them; and at how appraisal results are used and the consequences that may follow. The analysis is complemented with text boxes that illustrate proven or promising practices in countries.

Box 0.1 Approaches to teacher appraisal

Teacher appraisal refers to the evaluation of individual teachers to judge their performance and/or provide feedback to help improve their practice. Countries use a range of different approaches: appraisal that completes a probationary period; appraisal as part of performance management, which may include registration processes; regular appraisals; and appraisals for promotion and reward schemes.

Completion of probation refers to the appraisal of individual teachers after they have completed a delimited period of time, after entering the profession, during which the school leader or leadership team can evaluate the competence and progress of the new teacher, monitor specific aspects of his or her performance, and identify professional-development needs. It is a period of adjustment during which teachers may also benefit from induction and mentoring arrangements. Upon successful completion of the probationary period, teachers may receive a promotion or apply for fully registered teaching status.

...

Performance management refers to the formal teacher-appraisal processes designed to ensure that individual and organisational goals are met. This includes all types of appraisal related to managing and developing a teacher's career. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers. It includes processes such as teacher registration, regular appraisals and appraisals for promotion.

Teacher registration, or certification, processes officially confirm teachers as competent for teaching. Advancement to fully registered teaching status typically occurs upon completion of a probationary period and/or following an appraisal against registration/certification criteria. The process typically involves external evaluators or a national agency responsible for teacher registration. In some countries, teachers have to renew their registration every few years.

Regular appraisal is usually a process internal to the school, regulated by general labour-law provisions requiring teachers' employers to regularly evaluate their employees' performance. In some countries, there are prescriptions as to the way such performance-management appraisals should be implemented; in other countries, school leaders are autonomous in designing appraisals for performance management. The process is generally connected to a discussion and plan regarding the teacher's working conditions, responsibilities, professional development, and career and salary advancement.

Appraisal for promotion is a process that is separate from regular teacher appraisals in some countries. It is often voluntary and takes place in relation to decisions on employment status. Many countries do not have a specific process for this type of appraisal but integrate this function into regular teacher appraisals.

Reward schemes involve teacher appraisals that are explicitly designed to identify a select number of high-performing teachers to acknowledge their teaching competence and performance through rewards or one-off salary increases.

Box 0.2 The OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes

The *OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes* was launched in late 2009 to provide analysis and policy advice to countries on how assessment and evaluation can be embedded within a consistent framework to bring about real gains in performance across the school system. The Review looked at the various components of evaluation and assessment frameworks that countries use with the aim of improving student outcomes. These include student assessments, teacher evaluations, school evaluations, school leader evaluations, and system evaluations. The main objectives were to: synthesise research-based evidence on the impact of evaluation and assessment strategies; identify innovative and successful policy initiatives and practices; facilitate exchanges of lessons and experiences among countries; and identify policy options for policy makers to consider.

Twenty-five systems (24 countries) were engaged in the Review: Australia, Austria, Belgium (Flemish Community), Belgium (French Community), Canada, Chile, the Czech Republic, Denmark, Finland, France, Hungary, Iceland, Ireland, Korea, Luxembourg, Mexico, the Netherlands, New Zealand, Norway, Poland, Portugal, the Slovak Republic, Slovenia, Sweden and the United Kingdom (Northern Ireland).

The Review focused on the policy implications of the available evidence on the impact of evaluation and assessment policies in a wide range of national settings. Evidence analysed included the relevant academic and policy papers published in peer-reviewed journals, detailed information provided by countries on their evaluation and assessment policies, and views and perspectives collected from a wide range of stakeholders in a variety of countries.

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The work was undertaken through a combination of desk-based analysis and country reviews. This was complemented with four meetings of the OECD Group of National Experts on Evaluation and Assessment, the body responsible for overseeing the Review. The work was organised in three phases:

An analytical phase, to draw together evidence-based policy lessons from international data, research and analysis. The analytical phase used several means – literature reviews (11 papers produced), 24 country background reports (CBRs) and data analyses – to analyse the factors that shape evaluation and assessment in school systems and develop an analytical framework. The CBRs were prepared in response to a common set of issues and questions, and used a common framework to facilitate comparative analysis and maximise the opportunities for countries to learn from each other. They were prepared in consultation with the OECD Secretariat and, to the extent possible, included evidence on the impact of policies.

A country review phase, to provide policy advice to individual countries tailored to the issues of interest in those countries. Advice was based on international evidence combined with evidence obtained by a team of experts visiting the country. For each country visited, a team of up to five reviewers (including at least two OECD Secretariat members) analysed the CBR and then undertook an intensive visit of about eight days. Each visit included meetings with a wide variety of stakeholders (e.g. education authorities, professional teacher organisations; parents' organisations; students' organisations; teacher educators; researchers; and groups of students, teachers and school leaders at the schools visited). The 14 review visits involved 28 reviewers external to the OECD with a range of research and policy backgrounds. Overall, the external review teams visited about 90 schools and met with about 2 800 individuals.

A synthesis phase, to prepare a final report blending analytic and review evidence and providing overall policy conclusions. The synthesis report includes detailed information on features of countries' evaluation and assessment frameworks collected through a questionnaire prepared by the OECD Secretariat.

The OECD Review was conducted in co-operation with a range of international organisations to reduce duplication and develop synergies. Social partners were also involved through the Trade Union Advisory Committee to the OECD and the Business and Industry Advisory Committee to the OECD. The work of the Review is available at *www.oecd.org/edu/evaluationpolicy*.

Source: OECD (forthcoming), *Final Synthesis Report from the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes*, OECD Publishing.

Notes

1. The OECD's Teaching and Learning International Survey was implemented in 2007-08, covering lower secondary education; 23 countries participated (OECD, 2009). The results derived from TALIS are based on self-reports from teachers and principals and therefore represent their opinions, perceptions, beliefs and their accounts of their activities. Further information is available at *www.oecd.org/edu/talis*.

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OECD (2009), *Creating Effective Teaching and Learning Environments: First Results from TALIS,* OECD Publishing, Paris. *http://dx.doi.org/10.1787/9789264072992-en*.

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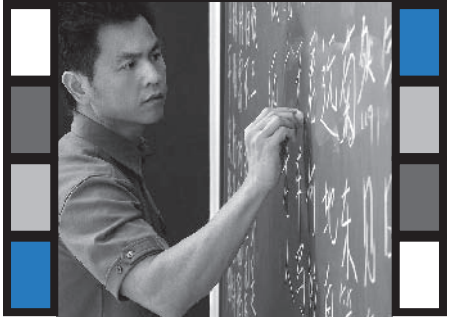

Chapter 1

STANDARDS AND GOVERNANCE OF TEACHER APPRAISAL

This chapter discusses country positions on the purpose of teacher appraisal, the specific standards and criteria against which teacher performance is evaluated, and the mechanisms designed to ensure that appraisal results are used to achieve objectives.

While teacher appraisals can have various purposes, nearly all are intended to improve teaching performance and/or strengthen accountability.

Teacher appraisal for improvement, also referred to as developmental appraisal or formative appraisal, provides feedback that aims to help improve teaching practices, largely through professional development. It is usually conducted by the individual school and may not always be regulated nationally. By identifying individual teachers' strengths and weaknesses, teachers and school leaders can make more informed choices about the specific professional-development activities that best meet teachers' needs in the context of the school's priorities.

Teacher appraisal for accountability, also referred to as summative appraisal, focuses on holding teachers accountable for their performance. As such, this type of appraisal can have a range of consequences for teachers' careers. The appraisal aims to provide summary information about a teacher's past practices and performance, gathered at various points during his or her career, relative to what is considered "good" teaching, and to establish incentives for teachers to perform at their best. This type of appraisal may involve external evaluators, and it usually entails consequences for the teacher, such as career advancement, bonus pay, or the possibility of sanctions for underperformance.

POLICY FRAMEWORKS FOR TEACHER APPRAISAL

Countries are increasingly embracing teacher appraisals. Of the 28 countries surveyed in the OECD *Review on Evaluation and Assessment Frameworks for Improving School Outcomes*, 22 reported having policy frameworks (national or state laws or regulations) in place to regulate one or more types of teacher appraisal. The six education systems that did not have such frameworks are the French Community of Belgium, Denmark, Finland, Iceland, Norway and Spain.

However, the absence of policy frameworks for teacher appraisal does not mean that teachers receive no professional feedback. In Denmark, for example, while teacher appraisal is not conducted systematically at the national level, teachers typically receive appraisal or feedback from their school leaders once a year. In Norway, teacher-appraisal approaches are not regulated nationally, but are designed at the local and/or school level. In Iceland, teacher appraisal is conducted at the discretion of individual schools and school boards.

The types of appraisal regulated by existing policy frameworks vary across countries. The most common teacher-appraisal approaches across the 28 countries for which information was available are shown in Figure 1.1. These are appraisal for the completion of a probationary period (13 countries) and regular school-based appraisals (17 countries). In addition, as part of performance management, a few countries had specific processes for teacher registration (five countries) and appraisal for promotion (five countries) in place. Only three countries had policy frameworks for teacher-reward schemes.

Figure 1.1

Types of policy frameworks for teacher appraisal across countries (2011-12)

		Australia	Austria	Belgium (Fl.)	Belgium (Fr.)	Canada	Chile	Czech Republic	Denmark	Estonia	Finland	France	Hungary	Iceland	Ireland	Israel	Italy	Korea	Luxembourg	Mexico	Netherlands	New Zealand	Norway	Poland	Portugal	Slovak Republic	Slovenia	Spain	Sweden	United Kingdom (Northern Ireland)
Reward scheme							■											■		■										
Performance management	Promotion							■		■						■		■						■						
	Regular appraisal	■	■	■		■	■	■				■	■			■		■		■	■	■		■	■	■	■			■
	Registration	■													■							■							■	
Probation		■				■						■			■	■	■		■		■	■			■	■	■		■	■

Note: Appraisal for promotion refers to appraisal schemes that are designed specifically for the purpose of making decisions about promotion. However, regular appraisal may also influence decisions about promotion, in addition to other decisions.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes.

In addition, a few countries have teacher-appraisal approaches that do not readily fit the categories defined above (hence, they are not included in Figure 1.1). In Luxembourg, for example, in addition to teacher appraisal at the completion of probation, there is also an appraisal process for teachers at ISCED level 1 when a teacher requests to transfer to another school.

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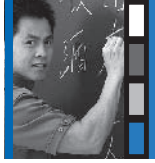

In the Netherlands, there are two types of appraisal on application and entry into the teaching profession that are not related to completion of probation. These appraisals involve administrative checks of whether teachers have the required diploma, no criminal record, and no record of improper behaviour. In addition, the Netherlands reports that existing teaching standards may also be used for registration and reward schemes, but there is no obligation for schools to implement such processes.

In Poland, in addition to regular performance management, there is also a type of appraisal that may be undertaken at the request of the concerned teacher, the local government, the education superintendents, the school board or the parents' council. Such appraisal, which evaluates all aspects of a teacher's performance, is conducted by the school director according to procedures prescribed by law. A negative appraisal leads to the termination of the employment contract; otherwise, the appraisal can influence decisions on professional development and/or salary.

Some countries have more than one process for teacher appraisal at the end of probation and/or for regular appraisals. Canada has two processes related to probation and two for regular appraisals, although they vary across jurisdictions. One of the appraisals related to probation takes place during the probationary period and has an impact on decisions on employment status; the other takes place at the end of the period and for new hires during the first year. For regular appraisal, there is a process for performance management for experienced teachers, which is conducted every five years (or in case of performance concerns) in addition to regular appraisals for professional development.

Governance and appraisal

The implementation of teacher-appraisal systems across schools depends very much on the governance context in each country, particularly on the level of decentralisation and school autonomy. In several countries that do not have central frameworks for teacher appraisal, local authorities and schools have long been in charge of developing local teacher-appraisal policies, without much involvement of the central level. But in the context of increasing concerns about variations in the quality and equity of learning across and within schools, several countries have passed reforms to enhance the quality of teaching in all classrooms; some of these reforms have included a stronger focus on teacher appraisal.

Indeed, national or state-level frameworks for teacher appraisal may be difficult to implement in education systems with a strong tradition of local autonomy. Education authorities need to consider different options to establish the right balance between central guidance and local flexibility. For example, if a school or local authority has already made substantial investments in building capacity for a particular teacher-appraisal framework and method, requiring it to adopt a central appraisal system may be counterproductive (Mead et al., 2012). On the other hand, in the absence of central guidance, there is a risk that schools develop their appraisal systems in isolation and that local standards and criteria may be too limited in relation to national education goals. While leaders at the local and school level typically have a better understanding of the schools' specific needs, involving the central level allows for greater learning and sharing of expertise and good practice.

The challenge in decentralised systems is to hold schools and local authorities accountable for implementing effective quality-assurance policies without stifling the creativity and innovation of local actors. In countries where teacher appraisal is designed at the local level, central authorities may still play an important role in helping to implement the system. This could include developing central teaching standards and requirements regarding the overall mix of instruments and methods to be used (without, however, mandating a single tool or approach to be applied), and following up to ensure that teachers in all schools can benefit from evaluation and feedback.

Balancing improvement and accountability functions

Most teacher-appraisal approaches aim to use results for both formative and summative purposes. However, combining the improvement and accountability functions into a single teacher-appraisal process is not straightforward. When the appraisal is oriented towards improving teaching practices, teachers are usually prepared to reveal their weaknesses, in the expectation that conveying that information will lead to more effective decisions on developmental needs and training. However, when teachers are confronted with potential consequences of appraisal on their career and salary, the inclination to reveal weaknesses can be reduced, thereby jeopardising the improvement function (Santiago and Benavides, 2009).

Also, the approaches and tools used may vary. Teacher-appraisal approaches that aim primarily to serve as a basis for decisions about human resources and accountability need to provide defensible and comparable evidence of teacher performance (Daley and Kim, 2010; Papay, 2012). Given that, some standardisation and elements external to the school should be introduced to ensure a reliable and unbiased basis for decision making. On the other hand, teacher-appraisal approaches that focus on professional development need to be designed in alignment with school contexts and objectives.

Self-evaluations illustrate this point. In order for self-evaluation to be valuable for teachers, and for the profession, it is essential that teachers be able to have confidence in their self-evaluations and for those self-evaluations to be conducted in private. Otherwise, it is unlikely that teachers, even if they were accurate in their self-evaluation (which is by no means assured), would be honest. Just because the self-evaluation is not a valid evaluation for summative purposes, this does not mean it has no value. In fact, self-evaluation has great value in promoting professional development and teacher self-efficacy (e.g. Santiago et al., forthcoming; MacBeath, 1999).

Building frameworks for teacher appraisal

To build a systematic and coherent teacher-appraisal framework, it is important that the approaches to evaluation are adapted to the different stages of a teachers' career. Countries should consider creating a continuum of appraisal approaches linked to professional learning and career advancement (Darling-Hammond, 2012). This could start with appraisal at the end of a probationary period, be enhanced by ongoing formative and school-based appraisals, and be complemented by periodic summative appraisals for accountability purposes.

Providing adequate feedback and support for beginning teachers

As can be seen in Figure 1.1, just under half of the countries for which information was available had appraisal processes at the end of a probationary period for teachers. In several countries, it was not mandatory for teachers to undergo a probationary period at the beginning of their careers. According to findings from TALIS, more than 19.2% of new teachers (i.e. teachers with two years or less of teaching experience) had never received appraisal or feedback from any internal or external source, compared to 13% of experienced teachers (OECD, 2012). In some countries, these figures were considerably higher: 60.3% of new teachers in Italy reported that they had never received appraisal or feedback, 32.1% in Spain and Portugal reported the same, as did 25.6% of new teachers in Ireland and 24.7% in Iceland.

This is problematic because there are indications that at this early stage in a teacher's career, it is particularly important to allow teachers to receive frequent feedback and mentoring (OECD, 2010; OECD, 2012). Completing a probationary period can be considered as a first major step in a teaching career. Box 1.1, based on OECD work on *Improving Schools* (OECD, 2010), summarises research on and experience with establishing probationary periods.

Box 1.1 Probation: Research and experiences

In several higher-performing education systems, beginning teachers are required to pass a period of probation, by the end of which they must have demonstrated their competence to secure their license to teach. While such probationary and induction periods normally last for one or two years (in England and New Zealand, for example), in some systems, such as those in Boston and Chicago in the United States, they may last for as many as three or four years. Regardless of the duration, probation is a mechanism by which those who are judged to be ineffective may be removed from their posts and from the profession, while those who have demonstrated their competence may be given or become eligible for a permanent position.

More generally, a probationary period often takes place alongside or as part of a teacher-induction programme (as it does in England), which includes mentoring support. As such, it creates opportunities for formative as well as summative assessments and for teacher development (Larsen, with Lock and Lee, 2005). However, some studies suggest that the assessment of beginning teachers should not be carried out by the same people who support their induction and early professional development since, in these circumstances, beginning teachers are less likely to admit to areas of weakness and thus to identify their professional development needs (Hobson, 2009; Abell et al., 1995; Heilbronn et al., 2002; Williams and Prestage, 2002).

Source: OECD (2010).

Establishing regular formative appraisals for developmental purposes

Regular formative appraisals should result in meaningful reports with recommendations for professional development. Most countries surveyed by the OECD have some formal or informal mechanisms in place to ensure that teacher appraisals feed into individual and collective professional development activities and continuous learning. In most countries, the same processes are used to fulfil both improvement and accountability functions.

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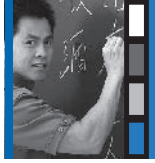


Korea has developed three different approaches with distinct functions: an appraisal for professional development; an appraisal for performance management, which feeds into decisions about promotions; and a performance-based incentive system that is connected to special rewards for teachers taking on specific roles and responsibilities. The appraisal for professional development, which focuses on classroom instruction, was introduced nationwide in 2010 after five years of piloting. It relies on multiple evaluations (classroom observations by peers and school leaders, as well as student and parent surveys), and includes mechanisms to ensure that the results are fed into individual and collective professional development activities (Box 1.2).

Box 1.2 Korea: Using appraisal results for professional development

In Korea's **Teacher Appraisal for Professional Development** programme, once the appraisal is completed, evaluation sheets are collected and drafted into a final report. Results of the peer teacher review are written by the appraisal management committee set up at each school. Upon receiving an appraisal report, each teacher writes a "plan for professional development (including training attendance plans)" and submits it to the appraisal-management committee. The committee brings together the professional development plan and the appraisal results of all evaluated teachers, and drafts a "synthetic report on the Teacher Appraisal for Professional Development" to submit to the principal and vice-principal. The synthetic report must include: an implementation plan and progress of the appraisal; overall appraisal results (excluding results for individual teachers); the general features of the appraisal (appraisal provided by parents, students and peer teachers; strengths and weaknesses of the school's teachers as revealed by appraisal); teachers' demands for training, including autonomous in-service training; fields of training requested by the teachers; the school's plans to provide consulting and training programmes for teachers' professional development the following year; budget estimations; and proposals and requests to be submitted to the local education authority (requests for new training programmes or support for in-service training, for example).

Based on appraisal results, local education authorities grant those teachers considered to be excellent a "study and research year (similar to the sabbatical year given to university faculty)" as an opportunity to participate in professional development activities. Underperforming teachers are obliged to participate in short- to long-term training programmes according to their appraisal results. Regardless of appraisal outcomes, local education offices support teachers with customised self-training programmes, fostering an atmosphere of self-study and self-improvement among teachers. Appraisal reports are shared with the individual teacher and the principal. Aside from that, in keeping with the Act on the Protection of Personal Information Contained by Public Institutions, appraisal results are disclosed to no one else. Students and parents receive generalised results concerning all the teachers appraised in a school.

Source: Kim et al. (2010).

Developing summative appraisals for career-progression and accountability purposes

Another approach involves summative teacher appraisals at key stages in a teaching career to formalise the principle of advancement on merit associated with career opportunities for effective teachers. This type of appraisal, which has consequences for individual teachers, needs to have a strong component external to the school and more formal processes to ensure fairness across schools. It can be a mostly school-based process led by the school leader (or another member of the management group), but it should include an external element, such as an accredited external evaluator, typically a teacher from another school with expertise in the same area as the teacher being appraised.

Appraisal for summative purposes should provide useful information for hiring and tenure decisions, promotion opportunities, or, in some circumstances, responses to underperformance. Summative appraisals can also be a basis for recognising and celebrating teaching excellence, which is essential for making teaching an attractive career choice and for retaining effective teachers (OECD, 2005; Isoré, 2009). While the appraisal can be school-based, it should also involve an accredited external evaluator to ensure fairness across schools.

This kind of appraisal can be organised through a teacher-certification or -registration system, as in Australia (Box 1.3). Such systems allow for establishing a link between teacher-appraisal results and career progression, therefore providing an indirect link to pay levels. This is a desirable option as direct links between teacher performance and pay have produced mixed results, according to some research (Harvey-Beavis, 2003; OECD, 2005).

Another option is to establish a voluntary certification or registration system like the National Board for Professional Teaching Standards (NBPTS) in the United States. Teachers in the United States may voluntarily seek national certification through

this privately run, but largely government-funded, programme. This credential, known as National Board Certification (NBC), is designed to recognise teachers who demonstrate superior knowledge and teaching skills. Nearly all states in the United States allow teachers to take the NBPTS examination as a mechanism for increasing their salary, as National Board Certification is tied to higher salaries (Box 1.3).

Box 1.3 Appraisal systems for registration and certification in Australia and the United States

Teacher registration in Australia

Registration is a requirement for teachers to teach in Australian schools, regardless of school sector. All states and territories have existing statutory teacher-registration authorities responsible for registering teachers with a "statutory licence" to perform the duties of a school teacher as defined in the particular jurisdiction. There are two forms of registration as a teacher: provisional registration and full registration. Usually, a teacher is initially granted provisional registration. This indicates that he or she meets the "graduate" career stage of the Australian Professional Standards for Teachers. Full registration is achieved when a teacher has met the "proficient" career stage of the Australian Professional Standards for Teachers and all other requirements for teacher registration. To be granted full registration, teachers are required to demonstrate that:

- their teaching meets the "proficient" career stage of the Australian Professional Standards for Teachers;
- they have fulfilled the minimum requirement for professional practice in an Australian or New Zealand school setting;
- they continue to meet the elements of suitability for registration; and
- they have met any additional conditions that might apply to their provisional registration.

Although each of the state and territory teacher-registration authorities has its own registration processes, a high level of consistency has been achieved.

Registration decisions are based on a recommendation at the school/workplace level. Evidence is provided that the teacher meets all of the standards at the proficient career stage. The maximum period for meeting the requirements for full registration is five years, with provision for extension on a case-by-case basis. Regulatory authorities will specify a minimum time period of no less than 80 days of teaching and not exceeding the equivalent of one year of full-time teaching in an Australian or New Zealand school, during which the teacher demonstrates that he or she has met the standards to the satisfaction of the regulator. Only then can an applicant apply for full registration.

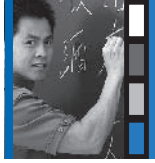
Teacher regulatory authorities formulate and undertake a quality-assurance process to ensure consistency in judgements. This may take the form of an audit of the evidence from a sample of teachers who have been granted full registration. For the purpose of this process, all relevant documentation are made available on request.

In all states and territories, after teachers have initially become registered within their jurisdiction, they must renew their registration periodically, usually every five years.

The National Board for Professional Teaching Standards in the United States

When applying to the National Board for Professional Teaching Standards (NBPTS) (*www.nbpts.org*), teachers in the United States enter an extensive application process that involves providing a portfolio of their work, including a videotape of a lesson they have taught; and the assessment centre exercises, where teachers address a set of questions that relate to their field of expertise. The assessment is undertaken against detailed teaching standards established by the NBPTS. These are based on the NBPTS' five core propositions: teachers are committed to students and their learning; teachers know the subjects they teach and how to teach those subjects to students; teachers are responsible for managing and monitoring student learning; teachers think systematically about their practice and learn from experience; and teachers are members of learning communities. The standards are developed and reviewed by teachers and other experts. Submitted materials are reviewed by trained teachers who are experts in the teachers' content areas. In the United States, the NBPTS has been the chief means of certifying that classroom teachers are performing at high levels; outside the United States, it has been considered as a model for other countries that are interested in standards-based certification systems for teachers (Harris and MacKenzie, 2007; Ingvarson and Hattie, 2008). As of October 2012, the National Board had certified 97 000 teachers nationwide, and more than 6 000 became National Board certified in 2011. The Certification is good for ten years, after which a teacher must reapply.

Sources: OECD (2005), *www.nbpts.org;* Santiago et al. (2011).



Linking formative and summative appraisal

Appraisal for certification/registration should take into account the qualitative assessments produced through developmental appraisals, including the recommendations made for areas of improvement. Developmental appraisals should also be able to identify sustained underperformance. Similarly, results of teacher-certification assessments should inform the professional development of individual teachers.

REFERENCE STANDARDS

A fair and reliable teacher-appraisal model needs reference standards against which teachers are evaluated. The main reference standards for teacher appraisals are usually:

- professional profiles of teachers or teaching standards (general profile of competencies for teachers), including specialised profiles for particular types of teachers (e.g. level of education, subject);
- a set of general and professional duties of teachers, including job descriptions; and
- at the school level, a school development plan, internal regulations and the annual activity plan.

For reference documents to be used consistently in teacher-appraisal processes, they should include a range of appraisal criteria to determine the level of performance of individual teachers for each of the aspects assessed. This usually entails developing indicators and/or standardised forms to record teacher performance. Weighting of the different aspects assessed should also be considered and agreed in order to compute an overall quantitative rating. Essential to good practice in appraisals are clear criteria that are consistently applied by competent (i.e. trained and experienced) evaluators.

As shown in Table 1.1, the types of references used for teacher appraisals vary across countries and depend on the type of teacher appraisal that is being considered. Austria, Ireland and Italy do not have any central reference standards that guide appraisal practices systematically; the Czech Republic and Hungary have only school-based references for teacher appraisals.

For teacher appraisals at the end of probation, most countries use central (national or state) standards or norms as the main reference. Canada and Luxembourg use a description of the general and professional duties of teachers as the main reference. In Australia, in addition to state teaching standards and a description of general duties, the teacher code of conduct is also used as a reference. In France, the relevant description of competencies is determined in a ministerial order (*arrêté*). For primary education in Ireland, the Inspectorate publishes evaluation criteria for probation and there is also an appraisal template that provides for ratings in relation to main aspects of practice. For lower secondary education, a code of practice is being developed by the Irish Teaching Council to serve as a reference.

For regular appraisals in the context of performance management, most countries also use central (national or state) teaching standards or norms as the reference. In Canada, Korea, Mexico and Poland, a description of the general and professional duties of teachers serves as the main reference. In Australia, descriptions of teachers' general and professional duties are used in addition to Australian teaching standards. In Mexico, the teacher code of conduct is also used as a reference. In contrast, the Czech Republic, Hungary and Slovenia, use school-level rules, regulations or development plans as the main reference for teacher appraisal as part of performance management. In Slovenia, national regulations on promotions are also considered. In France, Portugal and the Slovak Republic, school-level development plans or projects are also used as a reference, in addition to nationally defined norms or standards.

For registration purposes, Australia and Sweden use national/state standards as the main reference. New Zealand has specific registration standards that are used as a reference for both registration and performance-management processes. For promotion purposes, only Israel uses national teaching standards as the main reference. Korea uses a description of the general and professional duties of teachers, and Estonia uses a description of special tasks and roles. In the Czech Republic and Poland, teacher appraisal for promotion is based entirely on school-level regulations or developmental plans. For reward schemes, Chile uses national teaching standards, while Korea and Mexico use a description of the general and professional duties of teachers as the main reference. In Mexico, the school development plan or school project is also considered as a reference when appraising teachers for rewards.

Developing a shared understanding of high-quality teaching

While most education systems have requirements for school leaders to appraise their teachers in some form, not all of them have national frameworks or standards for the teaching profession. In some of these countries, such as the French Community of Belgium, Denmark, Finland, Iceland, Norway and Spain, it is difficult for school leaders to regularly review their teachers' practices in the absence of a shared understanding of what constitutes good teaching.

Table 1.1 (1/2)

Reference standards used for different types of teacher appraisal (2011-12)

	Probation	Performance management			Rewards scheme
		Regular appraisal	Registration	Promotion	
Australia	State teaching standards; a description of the general and professional duties of teachers; code of conduct From 2013: National teaching standards	State teaching standards; a description of the general and professional duties of teachers; code of conduct From 2013: National teaching standards; national performance and development framework	National teaching standards; State teaching standards; code of conduct	a	a
Austria	a	None	a	a	a
Belgium (Fl.)	a	National teaching standards	a	a	a
Belgium (Fr.)	a	a	a	a	a
Canada (some provinces / territories)	A description of the general and professional duties of teachers	A description of the general and professional duties of teachers	a	a	a
Chile	a	National teaching standards	a	a	National teaching standards
Czech Republic	a	School internal regulations	a	School internal regulations	a
Denmark	a	a	a	a	a
Estonia	a	a	a	A description of special tasks and roles	a
Finland	a	a	a	a	a
France	National norms and standards (competency framework in form of a ministerial order)	National norms and standards (through decrees and circulars); school development plan or school project	a	a	a
Hungary	a	School internal regulations	a	a	a
Iceland	a	a	a	a	a
Ireland	ISCED 1: Inspectorate's appraisal criteria for probation; appraisal template ISCED 2: none	a	m	a	a
Israel	National teaching standards	National teaching standards	a	National teaching standards	a
Italy	None	a	a	a	a
Korea	a	A description of the general and professional duties of teachers	a	A description of the general and professional duties of teachers	A description of the general and professional duties of teachers

a – not applicable
m – information missing
Source: Synthesis tables completed by countries surveyed by the OECD.

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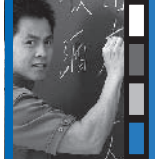

Table 1.1 (2/2)

Reference standards used for different types of teacher appraisal (2011-12)

	Probation	Performance management			Rewards scheme
		Regular appraisal	Registration	Promotion	
Luxembourg	A description of the general and professional duties of teachers	a	a	a	a
Mexico	a	A description of the general and professional duties of teachers; code of conduct	a	a	A description of the general and professional duties of teachers; school development plan or school project
Netherlands	National teaching standards	National teaching standards	a	a	a
New Zealand	National registration standards	National registration standards	National registration standards	a	a
Norway	a	a	a	a	a
Poland	a	A description of the general and professional duties of teachers (as stated in laws and regulations)	a	Developmental plan agreed with the school principal	a
Portugal	School development plan; school-based evaluation parameters; national evaluation parameters for classroom observation	School development plan; school-based evaluation parameters; national evaluation parameters for classroom observation	a	a	a
Slovak Republic	Plan for adaptation education; teacher professional standards	Personal development plan; teacher professional standards	a	a	a
Slovenia	None	School development plan; national regulations on promotion	a	a	a
Spain	a	a	a	a	a
Sweden	National teaching standards	a	National teaching standards	a	a
United Kingdom (Northern Ireland)	Performance Review and Staff Development Scheme (PRDS)	Performance Review and Staff Development Scheme (PRDS)	a	a	a

a – not applicable
m – information missing
Source: Synthesis tables completed by countries surveyed by the OECD.

In countries with decentralised education systems, individual schools or local education systems may develop their own teaching standards and criteria based on local practice. However, to ensure effective teacher appraisal across the whole education system, it is important that all school leaders understand what is meant by "high-quality teaching". The competencies required of teachers should be those that help their students to achieve well-defined learning objectives. Teachers' work and the knowledge and skills that they need to be effective must reflect the student learning objectives that schools are aiming to achieve. There need to be profession-wide standards and a shared understanding of what is considered to be accomplished teaching (OECD, 2005).

Box 1.4 Scotland: System-wide reform of the teaching profession

Following a major review entitled "Teaching Scotland's Future", Scotland has embarked on a systemic reform of the teaching profession. Partnership mechanisms involving national and local government and all stakeholder agencies were established to promote career-long professional growth of educators. As part of a newly introduced scheme of "professional update", operated under the auspices of the General Teaching Council Scotland, it is expected that all teachers will participate in an annual process of professional review and development that will include at least one formal meeting. The process, designed to be supportive but challenging, encompasses elements of performance management but is primarily aimed at professional growth.

This revised professional review system isn't the only reform underway in Scottish schools. A culture of professional enquiry and personal responsibility for career-long professional learning is being promoted throughout Scotland. Teacher training at all levels is being reviewed, including qualifications for entry into the profession, which involves new, collaborative partnerships between universities and schools to help reform undergraduate degrees, and reviews and enhancement of professional standards. There is a new focus on masters-level learning for teachers, and leadership development is also being enhanced throughout the country.

Accountability mechanisms have also been reformed to strengthen the role of self-evaluation, already well established in Scotland. School inspections now have a greater focus on the nature, quality and impact of professional development in each school. All of this is designed to support a major reform of the country's curriculum and the goal of higher student achievement.

Source: Scottish government response to OECD survey.

Box 1.5 Australia and England: Establishing national professional standards for teachers

A particularly significant development in **Australia** has been the creation of the Australian Institute for Teaching and School Leadership (AITSL) and the establishment of a nationally-shared understanding of what constitutes teacher quality. A key element of the reform agenda has been the development of the Australian Professional Standards for Teachers.

The standards define the work of teachers and make explicit the elements of high-quality, effective teaching in 21st-century schools. They provide a framework that describes the knowledge, practice and professional engagement required throughout teachers' careers. In doing so, they help to raise the status of the profession.

The standards are organised into four career stages and guide the preparation, support and development of teachers. The stages reflect the continuum of a teacher's career, from undergraduate preparation through to being an exemplary classroom practitioner and a leader in the profession. The "graduate" career stage underpins the accreditation of initial teacher-education programmes. Graduates from accredited programmes qualify for provisional registration in each state and territory. The "proficient" career stage underpins processes for full registration as a teacher under the requirements of teacher-registration authorities in each state and territory across Australia. The standards at the "highly accomplished" and "lead" career stages inform voluntary certification.

The standards are integral to ensuring quality learning and teaching in Australian schools. The standards provide consistent benchmarks to help teachers assess performance, identify further professional learning opportunities, and offer a way of identifying and recognising teachers who excel against the national standards. The standards enable more fluid and flexible movement of teachers across the country and serve as a quality-assurance mechanism to ensure that Australian teachers and school leaders have the required competencies to be effective educators.

The Standards for Teachers are complemented by the Australian Professional Standard for Principals, which articulate what principals are expected to know, understand and do.

In September 2012, **England** introduced a streamlined appraisal system that gives schools greater autonomy in determining the system that suits them best. For the first time, teacher appraisal is directly linked to standards of competence and conduct. At the same time, the Department for Education produced a short and precise set of teachers' standards that established a clear baseline of expectations for the professional practice and conduct of teachers. The school's governing body (school board) is responsible for agreeing the appraisal policy, but the head teacher is likely to have been involved in drafting it. In some cases, schools may follow a model policy produced by the government, their local authority, their national religious authority (if a church school) or by teachers' unions. Local authorities set arrangements for the teachers they employ who are not attached to a particular school.

Source: Santiago et al. (2011).

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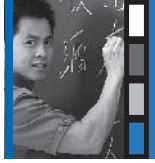

Box 1.6 Finland and Sweden: Working without a nationally-regulated framework for teacher evaluation

Finland's Ministry of Education and Culture has no role in teacher appraisal. The guidelines of teacher appraisal are defined in the contract between the local government employer and the teachers' trade union as a part of labour-market negotiations. Teachers are appraised against the goals and contents of the national core curriculum and, to some extent, against their school's development plan for the year.

Teacher appraisal in **Sweden** is similarly not regulated by law and there are no formal procedures for evaluating the performance of fully-qualified teachers. While teachers may be evaluated collectively as part of school self-evaluation and school inspection, there is no official method to appraise individual teachers.

The main form of feedback for permanent teachers is through dialogue with the school leader. School leaders and teachers may hold "individual development dialogues" that focus on teachers' work, working conditions and training. There is little guidance provided by central authorities on how to appraise teacher performance. Each municipality, in collaboration with the local stakeholders, defines its own appraisal criteria linked to local objectives. Most municipalities have established some teacher-appraisal procedures with the expectation that schools further refine and develop these.

Source: Finnish government response to OECD survey; Nusche et al. (2011).

Box 1.7 Ontario, Canada: Teacher Performance Appraisal for experienced teachers

The Ontario Ministry of Education determines the components of the Teacher Performance Appraisal (TPA) system, which is based on the Ontario College of Teachers' *Standards of Practice for the Teaching Profession*. The components include:

- Commitment to students and student learning: Members are dedicated in their care and commitment to students. They treat students equitably and with respect and are sensitive to factors that influence individual student learning.
- Professional knowledge: Members strive to update in their professional knowledge and recognise its relationship to practice. They understand and reflect on student development, learning theory, pedagogy, curriculum, ethics, educational research and related policies and legislation to inform professional judgment in practice.
- Professional practice: Members apply professional knowledge and experience to promote student learning. They use appropriate pedagogy, assessment and evaluation, resources and technology in planning for and responding to the needs of individual students and learning communities, and refine their professional practice through ongoing inquiry, dialogue and reflection.
- Leadership in learning communities: Members promote and participate in creating collaborative, safe and supportive learning communities, and recognise their shared responsibilities and leadership roles in order to facilitate student success. Teachers maintain and uphold the principles of the ethical standards in these learning communities.
- Ongoing professional learning: Members recognise that a commitment to ongoing professional learning is integral to effective practice and to student learning. Professional practice and self-directed learning are informed by experience, research, collaboration and knowledge.

Source: OECD (2009).

Danielson's *Framework for Teaching* (1996, 2007) contributes substantially to the discussion as it provides both a "road map" to guide novice teachers through their initial classroom experiences, a structure to help experienced professionals become more effective, and suggestions for focusing improvement efforts. The *Framework* groups teachers' responsibilities into four major areas: planning and preparation, instruction, the classroom environment, and professional responsibilities. Each of these areas is further divided into components. For example, planning and preparation includes demonstrating knowledge of content and pedagogy as well as demonstrating knowledge of students and designing instructional goals and corresponding methods. Each of these components consists of several elements to appraise. For example, the teacher's

knowledge of students encompasses such elements as knowledge of characteristics of age groups, knowledge of students' varied approaches to learning, etc. The key components of the framework are:

- ***planning and preparation***: demonstrating knowledge of content and pedagogy, demonstrating knowledge of students, selecting instructional goals, designing coherent instruction, and assessing student learning;
- ***the classroom environment***: creating an environment of respect and rapport, establishing a culture for learning, managing classroom procedures, managing student behaviour, and organising physical space;
- ***instruction***: communicating clearly and accurately, using questioning and discussion techniques, engaging students in learning, providing feedback to students, demonstrating flexibility and responsiveness; and
- ***professional responsibilities***: reflecting on teaching, maintaining accurate records, communicating with families, contributing to the school and district, growing and developing professionally, showing professionalism.

This framework has influenced a large number of teacher-evaluation systems around the world. For instance, Chile's four domains and 20 criteria of assessment were largely inspired by the *Framework* (Avalos and Assael, 2006; see Box 1.8) as were the *Professional Standards for Teachers* in England (TDA, 2007). The four United States districts of Cincinnati, Washoe, Coventry and Vaughn also adopted customised versions of the *Framework*'s competency model (Milanowski, 2004; Borman and Kimball, 2005; Heneman et al., 2006), as did the province of Quebec in Canada (Isoré, 2009).

Box 1.8 The Good Teaching Framework in Chile

Teacher performance standards in Chile are contained in the Good Teaching Framework (*Marco para la Buena Enseñanza, MBE)*. The MBE is a guide to improving teaching practice that can be used both to provide guidance to beginning teachers and to improve the skills of more experienced teachers. It includes 21 criteria grouped into four domains specific to the task of teachers: creating an environment conducive to student learning; teaching for student learning; preparing for teaching (basing content on student learning); and professional responsibilities. In addition to a shared understanding of standards of practice, each criterion is elaborated by performance levels (outstanding, proficient, basic, poor). These are written in behavioural language, which allows both teachers and administrators to translate the standards into actual events in the classroom or in instructional planning.

Source: Chilean Ministry of Education (forthcoming).

Involving teachers in the development of professional standards

For teaching standards to be relevant and adopted by the profession, it is essential that teachers assume a lead role in developing them. Teacher participation also serves to recognise teachers' professionalism, the importance of their skills and experience, and the extent of their responsibilities (Hess and West, 2006). Teachers will be more open to being evaluated if they are consulted in the process. Hence, there is a need for designers of any appraisal system to work hand in hand with teachers' unions, teachers' professional organisations and outstanding teachers from across the system. Australia and New Zealand provide some examples of how this works (Box 1.9).

RESPONSIBILITY FOR TEACHER APPRAISAL

Teacher appraisals generally fall into one of two categories: external or internal. In the former case, the aspects assessed, the instruments used, and appraisal criteria are common across schools, and evaluators are predominantly external to the school where the appraised teacher teaches. In the latter case, the school takes responsibility for designing specific appraisal criteria and instruments and for following-up on appraisal results; evaluators mostly come from the school.

The advantages of internal appraisals are that procedures may be better adapted to particular school contexts and that evaluators are familiar with the environment in which the teacher works. As such, internal appraisals are more likely to win the support of teachers and school leaders in the school and are more appropriate when improvement is the objective.

In contrast, external appraisals may be more appropriate when the goal is greater accountability. National frameworks and procedures involving external partners can help to ensure that standards are consistent across schools. They are particularly important for providing guidance to schools that may not have a tradition of designing their own teacher-appraisal systems. For example, school leaders in several of the countries the OECD visited appeared to be more focused on compliance than on examining the effectiveness of pedagogy.

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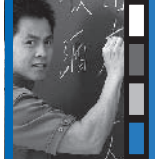

Box 1.9 Involving teachers in developing professional standards

In **Australia**, work on developing the Australian Professional National Standards for Teachers began in January 2009. This was a rigorous national process drawing on existing national and international standards and research. The consultation phase that followed the drafting of the standards was similarly extensive and involved all key education stakeholders, including teachers, teachers' associations, teacher educators, employers, unions and regulatory authorities.

The draft standards were then subjected to a rigorous psychometric validation process conducted through the University of New England. It incorporated two online national surveys and focus group workshops held in every state and territory. Some 6 000 teachers and hundreds of schools across the nation were involved. As such, the standards are informed by teachers' understanding of what is required at different stages of their careers, and accurately represent an analysis of effective, contemporary practice by teachers throughout the country.

Teaching standards in **New Zealand** are well established, with the New Zealand Teachers Council (NZTC), a professional body for teachers, holding the lead role in defining standards for the profession, with the extensive involvement of the teaching profession, employers and teachers' unions. NZTC provides teachers with professional autonomy, a degree of self-regulation and the right to have a say in the development of their profession.

The professional standards embedded in the *Guidelines on Performance Management Systems* and the Primary and Secondary Teachers Collective Employment Contracts generally provide the reference for performance-management processes and the basis for annual attestation for movement up the salary scale. Fully-registered classroom teachers who have been teaching for between three and five years are required to:

- be competent in relevant curricula;
- demonstrate a sound knowledge of current learning and assessment theory;
- demonstrate a sound knowledge of current issues and initiatives in education, including Māori education;
- demonstrate a commitment to their own ongoing learning;
- participate individually and collaboratively in professional-development activities;
- plan and use appropriate teaching programmes, strategies, learning activities and assessments, and demonstrate flexibility in a range of effective teaching techniques;
- make use of appropriate technologies and resources;
- evaluate and reflect on teaching techniques and strategies with a view to improvement;
- manage student behaviour effectively and establish constructive relationships with students;
- develop and maintain a positive and safe physical and emotional environment ;
- create an environment that encourages respect and understanding;
- establish expectations that value and promote learning;
- continue to develop understandings and skills in the appropriate usage and accurate pronunciation of *te reo* Māori;
- demonstrate an understanding of basic Māori protocols when opportunities arise;
- communicate clearly and effectively in either or both of the official languages of New Zealand;
- provide appropriate feedback to students;
- communicate effectively with families, whānau and caregivers;
- maintain effective working relationships with colleagues; and
- support and provide assistance to colleagues in improving teaching and learning.

Sources: Santiago et al. (2011), Nusche et al. (2012).

Table 1.2 below gives an overview of the involvement of internal and external actors in conducting teacher appraisals. While the standards and procedures for teacher appraisals are typically determined at the central level (more on this below), the table shows that appraisals are conducted most often at the school level, i.e. evaluators are usually members of the school-leadership team or are senior teachers. This is especially true in the case of regular appraisals for performance management and promotion. Several countries, including Australia, Austria, Chile, France, Israel, Luxembourg, Portugal and Sweden, engage both internal and external evaluators in teacher-appraisal processes.

Table 1.2

Evaluators involved in teacher-appraisal processes (2011-12)

	Completion of probation	Performance management			Rewards scheme
		Regular appraisal	Registration	Promotion	
External evaluator(s) such as education authority, central agency, inspectorate, teacher organisation, accredited evaluator	Ireland (ISCED 1), Slovenia	Mexico	Sweden	–	Chile, Mexico
School-level evaluator(s) such as school director/principal, peer evaluator, tutor, school board members	Australia, Canada, Ireland (ISCED 2-3), Italy, Netherlands, Slovak Republic	Australia, Austria (ISCED 1), Belgium (Fl.), Canada, Czech Republic, Hungary, Israel, Korea, Netherlands, New Zealand, Poland, Slovak Republic, Slovenia	Australia, Austria (ISCED 1), New Zealand	Czech Republic, Estonia, Israel, Korea, Poland	Korea
Both internal and external evaluators are involved	Austria, France, Israel, Luxembourg, Sweden	Chile, France, Portugal	–	–	–

Note: In Austria, the state/regional authority may be involved in teacher-appraisal processes in ISCED 2-3 if there are complaints.
Source: Synthesis tables completed by countries surveyed by the OECD.

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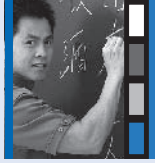

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Chapter 2

PROCEDURES FOR TEACHER APPRAISAL

This chapter considers the features of different approaches to teacher appraisal, i.e. the mix of instruments used in different teacher-appraisal models, including self-appraisal, classroom observation and portfolios, and the elements of performance that are appraised, including planning and preparation, the classroom environment, teaching approaches and contributions to school development. The chapter also examines whether appraisal is voluntary or mandatory, and the frequency with which teachers are appraised.

Teacher appraisals may be mandatory or voluntary, depending on the purpose of the appraisal process. The frequency of appraisal also varies. It can be carried out periodically at regular intervals, at key stages during a career, or on specific occasions, such as at the end of the probationary period or to renew a contract.

Table A.1 in Annex A provides an overview of country practices. Teacher appraisal at the end of a probationary period is usually mandatory. In Ireland, there are two appraisals during the probation period in primary schools, and an appraisal is conducted at least three months before the end of the probationary contract in secondary schools. In Austria, the appraisal is ongoing throughout the one-year probationary period and varies in frequency. In the Slovak Republic, individual schools determine when the end-of-probation appraisal is conducted. In most countries with a specific probationary period, probation lasts one year.

Regular teacher appraisals for performance management are mandatory in all countries that conduct such appraisals, and are usually conducted every few years. In Austria and the Czech Republic, however, appraisals are conducted at the discretion of the school director or the school board. In the Czech Republic, an appraisal may also be conducted in relation to a decision on employment status. In Canada, appraisals may occur at the discretion of the school leader if there are concerns about performance. Regular appraisals for performance management are conducted every year in Korea, Mexico, New Zealand, Poland, the Slovak Republic and Slovenia. They are usually conducted annually in Australia, but there are some variations between states and territories. Education ministers in Australia have agreed to a national framework for teacher performance and development. The framework, which will begin to be implemented in 2013 at a pace and method determined by states and territories, requires a formal review at least once a year. Appraisals for performance management are conducted every other year in Hungary and Portugal, every third year in Israel and the Netherlands (ISCED 2-3), and every fourth year, at least, in the Flemish Community of Belgium, Chile[1] and the Netherlands (ISCED 1). In Canada, experienced teachers are formally appraised every five years. In France, the frequency of appraisal for performance management depends on the status of the teachers and whether they work in the public or private sector. The frequency varies between once a year and once every three years, and may also occur at the initiative of the teacher or in the case of problems. Teachers in France are also appraised by inspectors on an irregular basis (usually every three to four years at ISCED 1 level and every six to seven years at ISCED 2 level).

Appraisal procedures for registration vary among the countries where such processes exist. In New Zealand and Australia, the appraisal is conducted at the end of a "registration period" while in Austria, annual renewal is mandatory. In Sweden, appraisal for registration occurs once at the end of an introduction period and may be conducted again in relation to decisions on employment status, at the discretion of school leaders or at the discretion of the National Agency for Education.

In Chile and Mexico, teachers may voluntarily apply for appraisals that are linked to reward schemes. In Chile, there is also a mandatory, annual appraisal of groups of teachers (i.e. teachers in individual schools), the National Performance Evaluation System (SNED). In Korea, appraisals related to the performance-based incentives system are mandatory and are conducted every year. The period of evaluation for incentives runs from 1 January to 31 December. Incentives are announced at the end of the calendar year and payments are made in the following year.

ASPECTS APPRAISED

Determining the domains to be appraised helps to define the core responsibilities of teachers and the kind of performance that is valued as "good teaching". Danielson's *Framework for Teaching* (1996, 2007) groups teachers' responsibilities into four major areas: planning and preparation; instruction; the classroom environment; and professional responsibilities. Tables A.1, A.2 and A.3 in Annex A show that planning and preparation, the classroom environment and instruction are among the elements countries most frequently mention as key areas for teacher appraisal. Other frequently appraised aspects include the professional development undertaken by teachers, teachers' contributions to school development, and links to external partners or the community. These elements can be seen as part of teachers' broader "professional responsibilities".

Since a teacher's work involves considerably more than the pedagogical activities associated with student learning, it is appropriate that teacher-appraisal models also consider those professional responsibilities that are less directly related to teaching itself. These include working and planning in teams; working on projects between schools; managing and sharing leadership responsibilities; providing professional advice to parents; building community partnerships for learning; and participating in professional development (OECD, 2005). Considering these responsibilities recognises the fact that the demands on schools and teachers have become more complex and teachers' responsibilities have broadened as a result.

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In a number of countries, the aspects appraised include a range of more specific elements, most of which (but not all) are covered by the four categories above. In Chile, teachers' competence in student assessment is appraised as part of regular performance management. In Estonia, appraisal for promotion considers the teachers work efficiency, in addition to fulfilment of qualification requirements. In Korea, student guidance is an important aspect in all types of teacher appraisal. In Mexico, the teachers' length of service is also considered for the reward scheme. In the Netherlands, teacher appraisal (at the end of probation and for performance management purposes) is intended to focus on a range of competencies closely related to the above aspects, including interpersonal competence, pedagogical competence, subject matter and didactical competence, organisational competence, team co-operation, co-operation with external actors, and reflection and development. In New Zealand, a variety of specific elements to be appraised are outlined in the teaching standards in addition to teaching and learning environments, such as professional relationships and values, bicultural partnership, promotion of inclusive learning environments, responsiveness to diverse linguistic and cultural backgrounds, and analysis and use of assessment information. In France, appraisal for performance management also includes an appraisal of teachers' "way of serving" (*manière de servir*), which includes punctuality, attendance, authority and "radiance" (*rayonnement*) as well as teachers' conformity to national programmes and reforms. In Poland, the intention of performance management is to assess "all aspects of teacher performance". In Australia, in addition to aspects related to the organisation of classroom teaching and professional development, appraisal for registration purposes also covers the teacher's professional engagement and general professional competence in relation to the Australian Professional Standards for Teachers.

In some countries, there is also a focus on teachers' knowledge in different areas. In Chile, for the teacher rewards scheme, there is an appraisal of the teacher's knowledge of discipline and curricular content as well as pedagogical knowledge. In Mexico, subject knowledge is considered as part of regular appraisal through the universal appraisal system. In Poland, subject area and didactic knowledge is considered as part of appraisal for promotion. In Portugal, both scientific and pedagogical dimensions are considered as part of regular appraisal. In Slovenia, there is an assessment of teachers' knowledge of legislation, the language of instruction and teaching skills. In the Netherlands, as mentioned above, subject-matter competence is one of the key areas to be appraised.

In some countries there are no central regulations regarding the aspects to be appraised. This is the case for regular appraisal and registration processes in Austria, and for regular appraisal in the Czech Republic and Hungary. In these cases, the specific scope of teacher appraisal is determined by the individual evaluators.

INSTRUMENTS AND INFORMATION SOURCES

A range of instruments and information sources is typically used to appraise teachers. As shown in Tables A.1, A.2 and A.3 in Annex A, the most frequently used instruments are classroom observation, interview/dialogue with the teacher, teacher self-appraisal, and portfolio.

Classroom observation

Teaching practices and evidence of student learning are likely to be the most relevant sources of information about professional performance. Most key aspects of teaching are displayed while teachers interact with their students in the classroom. As a result, teacher appraisal is usually firmly rooted in classroom observation. Almost all countries use classroom observations for regular performance management and many countries also use it at the end of the probation period. Classroom observations are also used for registration in New Zealand and as part of appraisal for promotion in Israel and Korea. In Korea, the performance-based incentive system is also based on observation of performance. Classroom observation is usually undertaken by the school leader or a member of the leadership team; but in Chile, a 45-minute class is videotaped and then evaluated by the national institution responsible for teacher evaluation. In Portugal, classroom observations are an optional element of regular appraisal, but they are required for the award of "very good" and "excellent" marks and for advancement to certain career grades.

Objective setting and individual interviews

Most teacher-appraisal models require the individual teacher to set performance objectives for a given period of time in agreement with the school management. The appraisal then assesses the extent to which the objectives were met. The setting of objectives, as well as the appraisal itself, usually involve individual interviews that foster reflective discussions between evaluators and teachers. In addition to classroom observations, interviews and/or dialogues with teachers are also frequently used across countries, usually for regular performance management, but also at the end of the probation period

and for registration processes. In Israel, a dialogue with the teacher is also part of the appraisal for promotion. In most countries, the interview is conducted by a member of the school leadership team; in Chile teachers are interviewed by a peer in addition to the principal.

Teacher self-appraisal

Requesting that the teacher being appraised evaluates his or her own performance is essential, as self-appraisal encourages teachers to reflect on the personal, organisational and institutional factors that have an impact on their teaching. Self-appraisal needs to be distinguished from informal teacher peer review, which has been shown to be an essential element of collaborative professional development. Teacher self-appraisal is used in most countries in regular appraisal for performance-management purposes. It is also a formal part of end-of probation processes in Israel, of registration processes in New Zealand, and of appraisal for promotion in Estonia and Israel.

Teacher's portfolio

An instrument that often complements teacher self-appraisal is a teacher's portfolio. A portfolio can include lesson plans and teaching materials, samples of students' work and sample commentaries on that work, self-reported questionnaires and reflection sheets. Portfolios are used for all types of appraisal. In Scotland, Singapore, and the German state of Thuringia, portfolios are used as one component of teacher appraisals; they are also used in England, but are not required by government regulations.

The content of a teacher's portfolio can be selected and assembled according to the purpose of the appraisal. Several researchers argue that portfolios provide information about the extent to which teachers are meeting educational standards (Klecker, 2000; Campbell et al., 2000; Tucker et al., 2002). Darling-Hammond (2001) argues that teacher development should take precedence in designing portfolios, and that "narrative reflection" is the best way to foster such development. Beck et al. (2005) observe that portfolios that focus on teacher development enhance professional outcomes. Combined with other evaluation instruments, documents prepared by the teacher may be used for summative appraisals.

Teachers sometimes consider the requirement to develop a portfolio as a burden that takes time away from their core work of teaching. Systems that rely on portfolios should thus encourage teachers to design their portfolios in such a way as to reflect a "natural harvest" of the teacher's work. For example, planning documents could describe a unit or lesson that the teacher is actually teaching; and the video, and accompanying commentary, could capture a lesson in class (Santiago et al., forthcoming).

Teacher testing

In some countries, teachers are subject to testing to assess their general and specialised competencies. In some rare instances, the results of these tests can be used for teacher appraisal. Chile and Mexico use teacher tests for their rewards schemes. Mexico also uses teacher tests for regular performance appraisal through the universal appraisal system, and there are several voluntary examinations that teachers can take for entry into the profession and to evaluate their professional competencies. Luxembourg and Slovenia report using a national examination of teachers at the end of the probation period, while Sweden uses a national examination of teachers for registration purposes.

Student results

Student learning outcomes are the essential criterion for the success of an education system. In some countries, the vast majority of teachers receive the highest or very high ratings of their performance in national teacher evaluation scheme and yet, at the aggregate level, student performance is unsatisfactory. Such mismatches between the messages conveyed to teachers and the performance of the education system in terms of learning outcomes underlines the importance of using student learning outcomes systematically as sources of evidence for teacher appraisal. To some extent, such learning outcomes can be measured through student test scores. Of the countries surveyed by the OECD, the Slovak Republic reported that student outcomes are used for teacher appraisal at the completion of probation, and Mexico reports that student outcomes (results of standardised assessments) are used for regular appraisal in the context of performance management. Mexico also uses student outcomes to evaluate teacher performance as part of its rewards scheme. In Chile, students' standardised assessment results are used to evaluate groups of teachers (teachers in individual schools) as part of the National Performance Evaluation System (SNED). England, Scotland and Singapore reported that they use student results at some point in the overall teacher-evaluation process.

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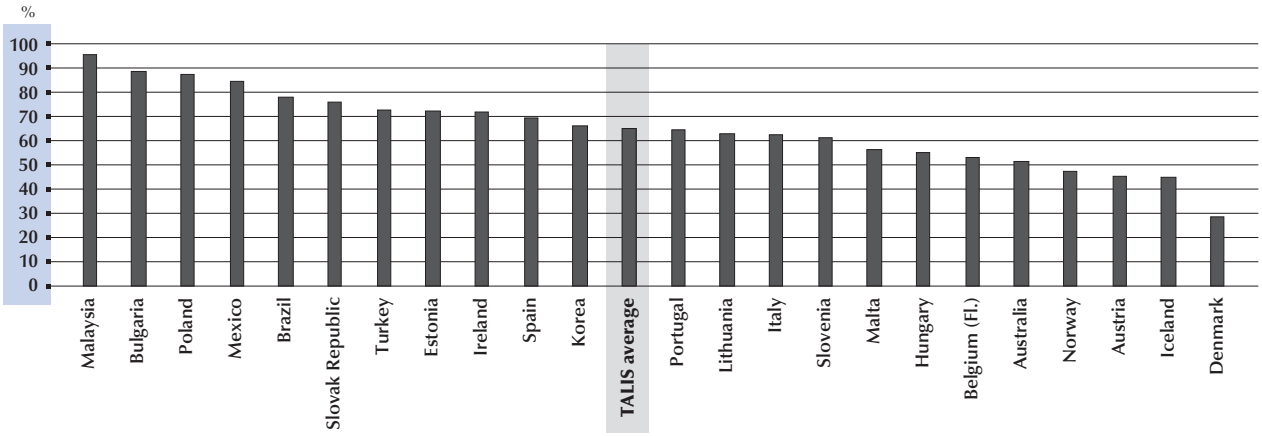
While student results are not formally considered as evidence for teacher evaluations in national appraisal frameworks, in the countries participating in the OECD Teaching and Learning International Survey (TALIS), 65% of teachers reported that they considered student test scores to be an important part of the feedback they received (Figure 2.1).

Teacher-appraisal systems based on student test results are intended to strengthen incentives for teachers to commit themselves to helping all students to meet important, centrally defined standards and fulfil goals within the national curriculum. Student learning outcomes, including student results in standardised assessments, are an appealing measure to assess teaching performance, since the ultimate goal of teaching is to improve student learning. Braun (2005) argues that considering student results is a promising approach for two reasons: first, it moves the discussion about teacher quality towards student learning as the primary goal of teaching; second, it introduces a quantitative and seemingly objective measurement of teacher performance.

Figure 2.1

Student test results as an aspect of teacher appraisal (2007-08)

Percentage of lower-secondary teachers who reported that student test results were considered to be of high or moderate importance in the appraisal and/or feedback they received



Source: OECD, *TALIS Database*.

However, it is difficult to identify the specific contribution a given teacher makes to a student's performance. Learning is influenced by many factors: the student's own skills, expectations, motivation and behaviour; the support students receive from their families and the influence of their peer group; school organisation, resources and climate; and curriculum structure and content. The effect that teachers have on a student's performance is also cumulative: at any given moment, a student is influenced not only by his or her current teachers but also by former teachers. Raw standardised scores thus reflect much more than the impact of a single teacher on student performance (Isoré, 2009).

In this respect, the development of value-added models that control for a student's previous results – and can thus potentially identify an individual teacher's contribution to the student's achievement – represents significant progress (see Box 2.3). However, there is wide consensus in the literature about two points. First, student outcomes should not be the *sole* measure of teacher performance, particularly when career decisions concerning the teacher, including pay, are concerned, because doing so introduces a substantial risk that teachers could be punished or rewarded for results beyond their control (Kane and Staiger, 2002; McCaffrey et al., 2003; CAESL, 2004; Braun, 2005; Ingvarson et al., 2007). Second, using student results as an evaluation instrument is likely to be more relevant for whole-school evaluations than for individual teacher-performance appraisals.

Given that evidence of student learning progress is fundamental, this should not imply that teachers are exempted from providing evidence to demonstrate student progress in their classrooms through, for instance, portfolios. It is also possible to design a system where teachers and school leaders meet and agree specific goals for student learning and for ways to assess student progress towards these goals. Such a system would encourage teachers to work with their colleagues and school leaders to identify measurable learning and performance goals for the entire class as well as for groups of students. For example, a

teacher with many struggling students may have both a class goal and a goal specifically for the struggling students. In this context, it is important that teachers not be penalised for setting high goals that are not always met, because that might result in teachers setting less-challenging goals for their students. Rather, the students' success and progress, even if they fall short of the goals, should be the basis for measuring teachers' contributions to student learning growth (Santiago et al., forthcoming). In New York State in the United States, for example, student learning objectives are used to measure teachers' contribution to students' progress in all subjects. Teachers receive guidance in setting appropriate learning objectives for their students, and districts exercise considerable discretion in approving appropriate assessments and measures to determine student progress. The measure of that progress constitutes 40% of teacher-evaluation scores while other state-approved measures, such as classroom observations, surveys and portfolios, constitute the remaining 60% (Santiago et al., forthcoming).

Box 2.1 Delaware, United States: Incorporating measures of student learning into teacher evaluations

In addition to measuring the usual components of teaching performance, such as planning, instruction, and classroom environment, education authorities in the United States are starting to incorporate measures of student learning. For example, the state of Delaware's evaluation system, the Delaware Performance Appraisal System (DPAS), was initially based on Danielson's *Framework for Teaching* and the four aspects of practice recommended for appraisal: planning and preparation, classroom environment, instruction and professional responsibilities. When the state revised the DPAS (now called DPAS II), it added a fifth aspect, known as Component V, on student improvement.

In addition, Delaware has identified methods for gathering information about student progress as an aspect of teaching performance. Component V calls for teachers to use three measures of student progress: one based on the state standards test, an alternative measure based on an assessment other than the state standards test, and goals for student progress developed by the educator. In the 2011-12 school year, Delaware engaged hundreds of the state's teachers to develop a wide-ranging library of resources that support implementation of DPAS Component V.

Delaware was also an early leader in efforts to refine observation instruments. For each of the aspects appraised, the rubric describes specific teaching competencies, which it calls criteria. The purposed of the rubric is to allow "the teacher and evaluator to develop a common understanding of the teacher's strengths and areas for improvement" and to help "ensure evaluator consistency".

Source: United States Department of Education response to OECD survey.

Surveys of students and parents

Surveys can provide information about how students, parents and others who have continuous contact with a teacher perceive that teacher's performance (Peterson, 2000; Peterson et al., 2000; 2003; Jacob and Lefgren, 2005). Such surveys are rarely used systematically in formal teacher appraisals, however. Across the countries surveyed by the OECD, Mexico reported using student surveys for performance management, while New Zealand and the Slovak Republic reported sometimes using student and parent surveys for regular appraisals for performance management. Parent surveys are also used for regular appraisal in Canada. Poland reported that the opinion of the parents' council is considered for the rewards/promotion scheme. In Korea, a multi-dimensional method, including questionnaires completed by students and parents, is used for regular teacher appraisal for professional development. Of the ten additional countries surveyed for this report, only the United States reported using surveys of students or surveys of parents at some point in the appraisal process.

Other indicators of teacher performance

A number of countries report using appraisal instruments and information sources that do not readily fit the above categories. In France, for example, the instruments used at the end of probation are a report prepared by the teacher's tutor, the opinion of the school leader and, in rare cases, the inspection report. In Italy, the information used at the end of probation concerns formal aspects of a teacher's work, such as attendance at school and participation in training. In the Netherlands, an extensive description of a teacher's competencies is available for both completion of probation and regular performance management. In Austria, the evaluators choose which instruments to use for performance management and registration appraisals. In Portugal, the instruments used for regular appraisal are outlined by each school in the school-development plan. In some countries, including Sweden, Hungary and Estonia, school leaders choose the instruments of certain appraisal processes.

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Box 2.2 Italy: The "Valorizza" (valorisation) experiment to identify and reward teachers

Italy currently has no system to appraise teachers' performance. School heads are not entitled to do so, nor are the local authorities, nor the inspectors, who only act as a last resort in cases of serious misconduct. Equally important, Italy has no data systems in place that would allow for systematic measurement of individual teacher or student performance on which appraisal could be based.

It was in this context that the Ministry of Education launched an experiment in 2010 to base teacher appraisal on the collective experience and views of key stakeholders – principals, teachers parents and students - in the school. Some 33 volunteering schools were invited to join this experiment and, within each school, teachers were invited to volunteer for being evaluated. Each teacher completed a self-evaluation questionnaire, focused on their professional behaviour, attitudes and practices, and provided information on their professional background and career. All parents of the school and the students of the last two grades (12 and 13) were also given an evaluation form to fill in, where they were asked to name up to three teachers whom they considered as the most highly and widely respected for their professional behaviour. The teachers' assembly elected two of its members who, along with the school head, formed the evaluating committee.

Each of the three committee evaluators carefully reviewed the questionnaires and professional background of the candidates and, later, the evaluation forms completed by parents and students. No single element of this evaluation process was given priority over others. The analysis was carried out individually, without prior agreement and without exchanging views with other participants during the evaluation process. At the end, each of the evaluators identified his or her personal list of those teachers they considered most highly and widely respected for their professional behaviour (up to 30% of the candidates). Afterwards, the three evaluators met for the first time and compared their lists; the teachers who had been listed by all three evaluators were selected. Among those candidates who were included in two lists were compared and those who were "comparatively better" were added to the overall list, with the aim that the total would not exceed 30% of the candidates in the school. More than 900 teachers were evaluated; 276 of them were selected as being highly and widely respected for their professional behavior within their school.

It is interesting to note that two-thirds of the selected candidates were independently identified by the three evaluators, and that nearly all in the remaining third were identified by two of the evaluators. These outcomes suggest that key stakeholders in a school share very similar views as to who is highly and widely respected for their professional behaviour, even if those stakeholders may not be able to define or agree upon the exact criteria that characterise that professional behaviour.

Subsequently, the Ministry asked two respected Foundations (Associazione Treellle and Fondazione per la Scuola della Compagnia di San Paolo) to investigate the extent to which the outcomes from the evaluating committee were considered appropriate by the other stakeholders in each school. A questionnaire was given to all teachers (candidates and not) and to the parents and students of the schools in the sample. Once again, an average of two-thirds of the respondents fully agreed with the results.

It is noteworthy that all schools accepted the experiment favourably. In particular, the exercise was perceived to provide recognition of teachers for their professional behaviour, and was seen as evidence of trust in the capacity of school communities to appraise their own members, without having to rely on external experts. In addition, the high level of agreement on the selected candidates helped to avoid conflict and disputes about the evaluation process.

The fact that each stakeholder offered his or her view separately from others, yet there was a high degree of convergence among the perspectives, also suggests a high level of face validity of the process and that a good reputation is a shared opinion, even though it may be based on different criteria or motivations.

As a next step, the Valorizza experiment suggests giving the selected teachers a yearly allowance equal to two to three months of their ordinary salary for three consecutive years and to repeat the Valorizza appraisal process every three years, always on a voluntary basis.

Source: Fondazione Treellle.

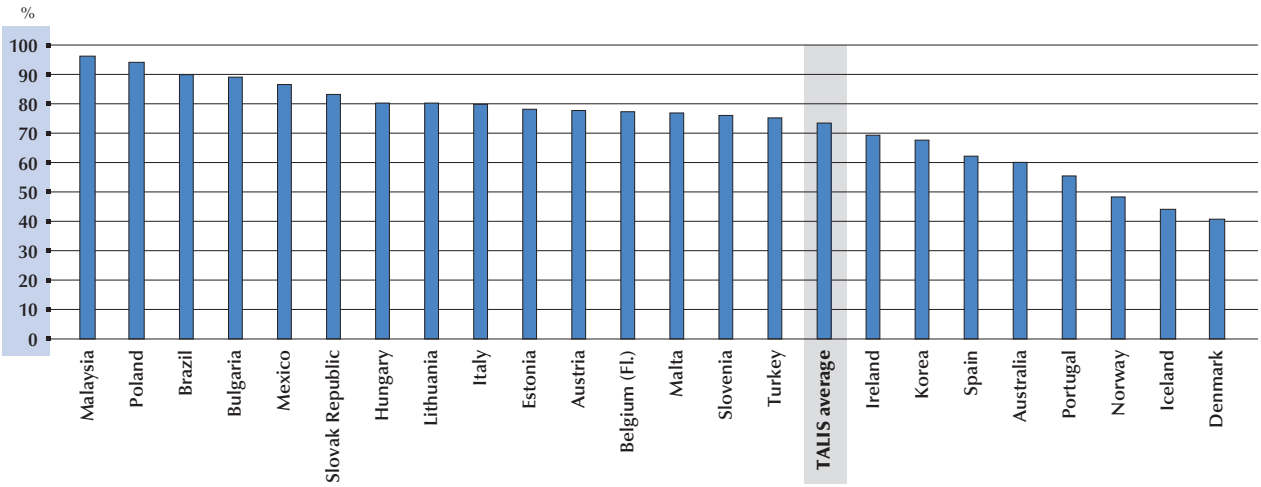
Improving teaching and learning through teacher appraisal

Most countries that have formal policy frameworks for teacher appraisal now include classroom observation as a key instrument for appraisal. However, evidence from TALIS indicates that there are differences across countries in the degree to which teachers regard classroom observations as an important component in their appraisal. On average across the countries that participated in the TALIS survey, 73.5% of teachers reported that they considered the direct appraisal of their teaching in the classroom as moderately or highly important; however, only 40.7% of teachers in Denmark, 44.1% of teachers in Iceland, 58.4% of teachers in Norway and 55.3% of teachers in Portugal shared that view (Figure 2.2).

Figure 2.2

Direct evaluation of classroom teaching as an aspect of teacher appraisal (2007-08)

Percentage of lower-secondary teachers who reported that direct appraisal of classroom teaching was considered to be of high or moderate importance in the appraisal and/or feedback they received



Source: OECD, *TALIS Database*.

In countries where teacher appraisal is more informal and not regulated by central frameworks, school leaders may not be expected to enter classrooms and observe teaching practice with an evaluative focus. Rooting teacher appraisal firmly in classroom observations can be challenging in countries where there are strong traditions of teacher autonomy and little experience in classroom observations with an evaluative focus by school leaders or other teachers. In those countries, the main source of professional feedback for teachers is often a dialogue with the school leader on issues such as working conditions, responsibilities and salaries without, however, systematically including observation of and feedback on actual teaching practice (Nusche et al., 2011a; 2011b; Shewbridge et al., 2011). The advantage of classroom observations, however, is that they are more likely to identify weaknesses in practice that can be addressed through appropriate professional-development activities. Other proxies for teaching quality, such as lessons plans or evidence of communication with parents, are important too, but they cannot substitute for what actually occurs in the classroom (Santiago et al., forthcoming).

In most countries, classroom observations are conducted by personnel within the school, generally school leaders. Several researchers have criticised the practice of conducting annual announced evaluations as they do not provide an authentic picture of day-to-day teaching and often do not involve constructive feedback or coaching for improvement (Klinger et al., 2008; Daley and Kim, 2010; Danielson, 2011; Marshall, 2012; Papay, 2012). In several countries surveyed by the OECD, teachers were observed only once every few years.

For classroom observations to be useful, each school must have the capacity to conduct them effectively. This requires that leadership teams be trained in conducting observations and in engaging in constructive discussions with teachers. Training should include teachers as well, since it is critical for them to understand how their performance will be assessed.

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While high-quality classroom observations appear to be related to better student outcomes, the quality of classroom observations depends on how well trained the observers are (Kane and Staiger, 2012; Kane et al., 2010; Milanowski, 2004 in Santiago et al., forthcoming).

Using multiple sources of evidence for teacher appraisal

Using several appraisal instruments and multiple sources of evidence for teacher-appraisal systems allows evaluators to measure different knowledge and skills to obtain a comprehensive picture of teachers' abilities (Goe et al., 2008; Peterson, 1987; Rockoff and Speroni, 2011). This is particularly important when appraisal results are used for high-stakes decisions, such as promotion and tenure (Sykes and Winchell, 2010).

While teacher-appraisal models that use multiple instruments and evaluators are more likely to provide a solid basis on which to appraise teachers, limited resources make trade-offs inevitable. As explained in Isoré (2009), comprehensive teacher-appraisal procedures imply greater direct and indirect costs at every stage of the process: agreeing on the design of the system requires time for consultations with all stakeholders; training evaluators is expensive and time-consuming; conducting appraisals implies additional work for both teachers and evaluators; and aligning broader school reforms, such as professional-development opportunities, with appraisals requires more resources.

Box 2.3 United States: Measures of Effective Teaching Project

The Bill and Melinda Gates Foundation in the United States funded a three-year study, the Measures of Effective Teaching (MET) Project, to help "build and test measures of effective teaching to find out how evaluation methods could be best used to tell teachers more about the skills that make them most effective". The Foundation released its third and final report from the MET study in early 2013. The study developed and tested a variety of measures of teaching in order to determine how those measures might be used to predict student performance. Over 3 000 teachers in six US states volunteered to have their lessons videotaped. The teachers' effectiveness was assessed using three different types of measures: classroom observation, student-opinion surveys, and progress in student achievement. Teachers' lessons were videotaped and rated by several people who were trained in the use of the observation instrument. The teachers' students were surveyed using the *Tripod Student Perception Survey*. Teachers who participated in the second year of the study were randomly assigned students to control for prior academic performance. At its conclusion, the study had student-improvement data on 1 600 teachers over two years.

The final report draws three conclusions: that effective teaching can be measured; that using multiple measures with balanced weights helps to understand the different aspects of effective teaching; and that a second observer of classroom practice increases the reliability of classroom-observation measures. In short, the report demonstrates that teachers whose students show improvement were likely to get good results in the future, and that teachers who scored well on other measures, such as classroom observations and student surveys, were likely to have students who showed improvements.

The report also considers the implications of using multiple measures to evaluate teacher performance. It constructs different balances among multiple measures and concludes that equal weights create a more accurate assessment of teacher effectiveness than other models in which one measure is given a greater weight over others. Relying too heavily on a single measure makes it more likely that other valued practices are obscured by a measure that does not consider them.

Finally, the report recognises the value of classroom observation in measuring teacher effectiveness. Feedback from observations can be a powerful tool because it offers teachers actionable advice on how to improve classroom practice. But the report makes the point that observations become much more reliable tools when there is more than one observer involved in the process.

Source: *http://metproject.org/downloads/MET_Ensuring_Fair_and_Reliable_Measures_Practitioner_Brief.pdf.*

Box 2.4 China: Using multiple measures to evaluate performance

In China, teachers are appraised against four aspects of their performance: professional integrity or values; capability, including skills and competencies (virtues); diligence; and their own and their students' achievement. The emphasis in these evaluations tends to fall on teachers' professional integrity and students' learning results.

Teachers are evaluated by an elected task force that includes union representatives, party leaders, teachers and other elected officials. This task force looks at teacher self-appraisal and peer and parent reviews to assess a teacher's integrity and capability. For diligence, a teacher's attendance record is reviewed. To assess a teacher's achievement, student outcomes are reviewed, and any awards or certificates the teacher has received, any papers he or she has published, and the teacher's participation in research projects are considered.

The appraisal results inform a variety of decisions about the teacher's future career, including salary and professional titles, and are added to a teacher's portfolio as proof of teaching experience. The Director for Instruction can also use this information to reduce a teacher's workload if he or she is identified as low-performing or even to transfer the teacher to another post.

Source: Chinese government response to OECD survey.

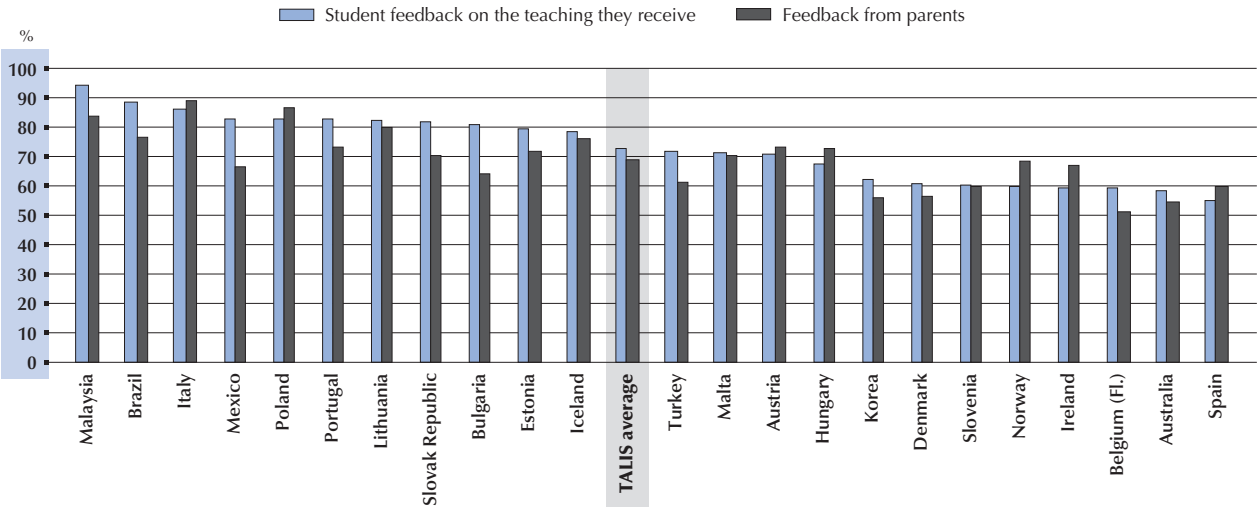
Using stakeholder surveys formatively

Although stakeholder surveys only rarely form part of countries' formal teacher-appraisal frameworks, evidence collected in TALIS indicates that many teachers consider feedback from parents and students an important aspect of their appraisal (Figure 2.3). In some countries, teachers design their own student surveys to obtain feedback on their teaching practices and their students' progress.

Figure 2.3

Student and parent feedback as an aspect of teacher appraisal (2007-08)

Percentage of lower-secondary teachers who reported that student and parent feedback was considered to be of high or moderate importance in the appraisal and/or feedback they received



Source: OECD, *TALIS Database*.

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Student and parent surveys can provide important formative feedback to teachers (see Box 2.5). In most contexts, student surveys are not reported to higher levels of the school administration and are generally used only for improvement purposes by the concerned teacher. Parent surveys are more relevant for whole-school evaluations than for individual teacher-performance appraisals. As explained by Isoré (2009), the sparse evidence on this subject shows that parents value qualities in teachers that may have little to do with student achievement, including "the teacher's ability to promote student satisfaction" (Jacob and Lefgren, 2005), "humane treatment of students" and "effective communication and collaboration with parents" (Peterson et al., 2003).

Box 2.5 Using student feedback to help teachers improve their teaching

The Union of Education **Norway** (the largest union of teachers and school leaders in the country) and the Norwegian Student Organisation have been working together in a national initiative to develop principles and guidelines for teacher appraisal by students. The groups recommend that student surveys should: focus on teaching practice rather than on the teacher as an individual; include students' self-assessment and assessment of peers so as to allow for an analysis of how student effort and motivation influence the learning environment; feature questions on teaching approaches that are relevant for student learning, such as adapted education and feedback to students, as well as questions on the general context of teaching, such as materials and physical conditions; be carried out anonymously so as to ensure students give honest answers; and be analysed by the teacher and students together with the aim of improving the classroom environment and learning outcomes. This exercise should be followed up with a joint report by the teacher and a group of students on their analysis of results and agreed changes to be made. This report, together with relevant data, should be submitted to the teachers' closest supervisor. While not all stakeholders agree with the recommendations that have emerged from this project, most have accepted the general idea that student views are an important source of feedback that teachers can use to improve their practice.

Reflecting the student-centred approach to education in **Sweden**, teachers often conduct surveys among their students with the aim of obtaining feedback on their teaching practices. These surveys are organised at the teachers' own initiative and results are used exclusively by the teacher concerned, often in interaction with the students. Peterson et al. (2000) argue that students respond reliably about teacher quality if questions are formulated in a simple and relevant way. Teachers interviewed by the review team said that students provide useful insights into their strategies for teaching and learning, and that they find this opportunity for feedback important. Student surveys are kept within the classroom and used only to help the teacher improve his or her practice.

Sources: Nusche et al. (2011a), Nusche et al. (2011b).

Note

1. In Chile, the appraisal is conducted every fourth year if the results are satisfactory; otherwise it it is conducted every year or every other year.

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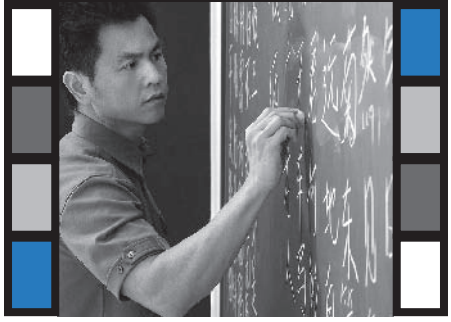

Chapter 3

CAPACITY FOR TEACHER APPRAISAL

This chapter examines the roles that different levels of government and stakeholders can play in designing and implementing teacher-appraisal procedures. It also discusses the skills needed to conduct and use appraisals effectively.

In the countries that have national or state policy frameworks in place for teacher appraisal, the procedures are typically determined by the central education authorities. However, as outlined below, a range of other groups may also be involved in setting the rules and procedures for appraisal processes. (For a comparative overview of the actors involved in teacher appraisal in each country, see Table 3.1.)

THE ROLE OF EDUCATION AUTHORITIES

The public education administrations at the national, state or provincial level play a major role in designing teacher-appraisal systems, since they usually set student learning objectives, agree standards for the teaching profession, and establish the norms that regulate teacher appraisals. In some countries, the education authorities play a direct role in implementing and monitoring teacher-appraisal procedures. This might include designing specific appraisal tools and instruments, determining appraisal criteria, distributing responsibilities for appraisal, and following-up on appraisal results. In some countries, education authorities establish general principles and guidelines only and grant schools considerable autonomy in adapting the teacher-appraisal model to their particular circumstances.

Box 3.1 Teacher appraisal in the United States: A time of experimentation

The diversity of state and local approaches to teacher appraisal in the United States is well documented by the National Council for Teacher Quality. Its website includes a ***policy yearbook*** that summarises state approaches and a ***database*** that allows searches and analytic comparisons of over 100 large school districts.

Despite this diversity, however, the results of teacher evaluations in the United States have been largely uniform and disappointing. The New Teacher Project's report, ***The Widget Effect***, documents that over 99% of the teachers in the districts studied were rated as satisfactory or better on their appraisals; that appraisals were not used to systematically support the development of teacher competencies; and that the final ratings teachers received were not predictive of improvements in student learning on any standard measure.

Over the past decade, there has been a growing desire in the United States to advance teacher-appraisal policy. On the one hand, leaders wanted to develop evaluation systems that were more useful in supporting professional and career development for teachers. On the other hand, they wanted ratings to be aligned with growth in student learning. As policy expectations shifted, five themes emerged:

- Teacher appraisal needs to be based on multiple measures of teacher performance, including observed practice, evidence of student learning (not attainment or proficiency levels, but growth in student learning measured over time), and other measures, such as student and parent engagement.
- Teacher-observation instruments need to focus more closely on instructional practice in order to serve as a basis for instructional improvement.
- Teacher appraisal needs to differentiate teacher performance across three or more levels, because a two-level system (satisfactory/unsatisfactory) focused primarily on minimal competence is insufficient.
- Teacher performance ratings, when informed by multiple measures and supported by classroom observation instruments intended to improve instruction, can serve as a basis for a wide range of career-development decisions, such as professional development, compensation, tenure and advancement.
- Teachers and their unions should be deeply engaged in developing and implementing teacher-appraisal systems.

In recent years, the United States has seen an increasing number of experiments taken up by local education agencies, charter schools and state education agencies to create new teacher-appraisal systems that embrace these themes. This accelerating experimentation has been fueled by local and state initiatives, as well as by federal programmes, such as the Teacher Incentive Fund, Race to the Top, and Elementary and Secondary Education Act Flexibility. Because the United States is a complex and decentralised system, these experiments are diverse and serve as a laboratory for innovation in the field.

Source: United States Department of Education response to OECD survey.

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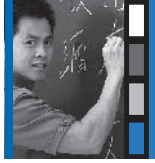

Across the countries surveyed by the OECD, the central or state education authorities or governments are in charge of determining the procedures for teacher appraisal in almost all countries for which information is available (Table 3.1). For the completion of probation, the central/state authorities are responsible for determining the procedures in all countries except in the Netherlands, where this is the responsibility of the employer (the National Council of School Boards) and the school organising bodies. They share this responsibility with the teacher professional organisation (Teaching Council) in Ireland. In Australia as of 2013, a national framework outlines the principles and essential elements of teacher appraisal, with the procedures and probation processes varying among employers. For the purpose of regular appraisal for performance management, the central/state authorities have responsibility for determining the procedures in all countries except in the Netherlands, Poland and Portugal.[1] They share this responsibility with the school level in the Czech Republic, Hungary and Slovenia and with the individual evaluators in France. For registration processes, the central/state education authorities or governments determine the procedures in Austria. In New Zealand, they share this responsibility with the teacher professional organisation. In Sweden, procedures are set by a central agency (the National Agency for Education). For appraisal for promotion and for reward schemes, procedures are set by the central/state authorities in all countries but they share this responsibility with the school director in the Czech Republic and with the teachers' union in Mexico.

Local education authorities are usually not involved in determining teacher-appraisal systems in countries that have formal frameworks for teacher appraisal. Among the countries for which information is available, only Portugal reported that local education authorities or school clusters establish appraisal procedures. In some countries with highly decentralised education systems, such as Norway and Denmark, local authorities may formulate their own policies for teacher appraisal, but they often delegate implementation of those policies to individual school leaders (Nusche et al., 2011; Shewbridge et al., 2011).

The role of inspectorates

The inspectorate rarely assumes responsibility for individual teacher appraisals (see Table 3.1), but it has an important role in improving the quality of both school leadership and teaching. It does this by feeding back to school leaders the results of external school evaluations, which focus on leadership and management, the quality of the teaching and learning processes, and school climate. In general, the inspectorate also has a prominent role in disseminating good practice in teacher appraisal. In some countries, the inspectorate helps to develop teacher-appraisal procedures and conducts individual teacher appraisals with school inspectors assuming the role of evaluators.

The role of professional teacher organisations

In some countries, professional teacher organisations take the lead role in determining procedures for teacher appraisals and participating in teacher-appraisal processes. This involvement is essential for ensuring that appraisal processes are relevant for the teaching profession and for fostering buy-in of these processes by members of the profession. In the United Kingdom, the school principals' union, the National Association of Head Teachers, has joined forces with the National Union of Teachers and the Association of Teachers and Lecturers to produce guidance for schools on how to apply appraisal procedures.

Of the countries surveyed by the OECD, Ireland reported that the procedures for the completion of probation are set by the central education authority at the advice of the national Teaching Council. The professional teacher organisations in New Zealand are involved in teacher-registration processes, while in Mexico, the teachers' union is involved in determining the rewards scheme for teachers.

The role of schools and school leadership

Among those countries that have formal frameworks for teacher appraisal, the individual school usually plays a limited role in determining the procedures for teacher appraisal. In some countries, schools may simply implement centrally established regulations. In these cases, real and recognised pedagogical leadership is necessary so that the appraisal process is used to improve practice, not to add another layer of bureaucratic administration. In other countries, school leaders take full responsibility for the appraisal of individual teachers. For example, in Finland, where there are no national policy frameworks for teacher appraisals, school directors are seen as the pedagogical leaders of the school, responsible for the school's teachers and for implementing measures needed to enhance the quality of teaching. As a result, most Finnish schools have a system that includes annual discussions between individual teachers and school leaders aimed at evaluating whether the teacher fulfilled the objectives agreed during the previous year and determining developmental needs for the following year.

Table 3.1 (1/2)

Responsibilities for determining procedures for teacher appraisal (2011-12)

	Probation	Performance management			Rewards
		Regular appraisal	Registration	Promotion	
Australia	State education authorities or governments; school board or committee	State education authorities or governments	Teacher professional organisation; state education authorities or governments	a	a
Austria	a	Central education authority	a	a	a
Belgium (Fl.)	a	Central government	a	a	a
Belgium (Fr.)	a	a	a	a	a
Canada	Provincial/territorial education authorities or governments	Provincial/territorial education authorities or governments	a	a	a
Chile	a	Central education authority or government	a	a	Central education authority
Czech Republic	a	Central education authority or government; school principal	a	Central education authority or government; school principal	a
Denmark	a	a	a		a
Estonia	a	a	a	Central education authority	a
Finland	a	a	a	a	a
France	Central education authority (by ministerial order)	Central education authority; central government; individual evaluators	a	a	a
Hungary	a	Central education authority or government; schools	a	a	a
Iceland	a	a	a	a	a
Ireland	Central education authority at the advice of the teacher professional organisation (Teaching Council)	a	m	a	a
Israel	Central education authority	Central education authority	a	Central education authority	a
Italy	Central education authority	a	a	a	a
Korea	a	Central education authority	a	Central education authority	Central education authority
Luxembourg	Central education authority	a	a	a	a
Mexico	a	Central education authority	a	a	Central education authority or government; teacher union

a – not applicable
m – information missing
Source: Synthesis tables completed by countries surveyed by the OECD.

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Table 3.1 (2/2)

Responsibilities for determining procedures for teacher appraisal (2011-12)

	Probation	Performance management			Rewards
		Regular appraisal	Registration	Promotion	
Netherlands	Central employer (National Council of School Boards); school organising bodies (competent authorities)	Central employer (National Council of School Boards); school organising bodies (competent authorities)	a	a	a
New Zealand	Teacher professional organisation (The New Zealand Teachers Council)	Central education authority or government	Central education authority or government (The New Zealand Teachers Council is responsible for registering teachers as competent for practice)	a	a
Norway	a	a	a	a	a
Poland	a	School principal; school board or committee	a	Central education authority or government (general framework set by law)	a
Portugal	Central education authority; schools	Central education authority; schools	a	a	a
Slovak Republic	Central education authority (through Act on Pedagogical Employees; Decree of the Ministry of Education)	Central education authority (through the Act on Pedagogical Employees); school principals	a	a	a
Slovenia	Central education authority	Central education authority; school principal	a	a	a
Spain	a	a	a	a	a
Sweden	Central education authority and government	a	Government and central agency (National Agency for Education)	a	a
United Kingdom (Northern Ireland)	Teachers' Negotiating Committee (employing authorities, Department of Education and teacher unions)	Teachers' Negotiating Committee (employing authorities, Department of Education and teacher unions)	a	a	a

a – not applicable
m – information missing
Source: Synthesis tables completed by countries surveyed by the OECD.

Among those countries that have formal frameworks for teacher appraisal, the school level typically plays a limited role in determining the procedures for teacher appraisal. For the completion of probation, in Australia, the employer is involved in determining procedures for appraisal within a national framework, while in the Netherlands, school organising bodies are involved. For regular appraisal for performance management, schools play a part in determining the procedures in the Czech Republic, Hungary and Slovenia; in Hungary schools are legally obliged to set rules for regular appraisal. In Portugal the school clusters may be involved in setting procedures, together with the local school authority. In Poland, the school director and school board hold full responsibility for determining performance management procedures. In the Netherlands, the school organising bodies are involved in setting procedures. In the Czech Republic, the school director is also involved in setting procedures for appraisal for promotion.

CONDUCTING THE EVALUATION PROCESS

As Table 3.2 shows, those who evaluate teachers are selected from a variety of sources.

Central education authorities

While central education authorities often play a prominent role in determining procedures for appraisal, given the difficulty of reviewing the performance of all individual teachers across a country, central authorities tend to be less frequently involved in the actual appraisal process. Hence, central or state education authorities or governments rarely have full responsibility for conducting evaluations; instead they often share the role of evaluator with other agencies or school leaders.

For the completion of probation, the central/state education authorities have full responsibility for conducting the teacher appraisal processes only in Slovenia, and they are involved in the process together with other evaluators in Ireland, Israel and Sweden. For regular appraisal in the context of performance management processes, the central or regional authorities have responsibility for conducting the process only in Mexico. For registration, a central agency (the National Agency for Education) is in charge of the process in Sweden. For rewards schemes, the central education authorities are involved in the evaluation process only in Mexico. In Austria, the central or regional education authorities are involved in appraisal processes only in the case of complaints for regular appraisal and registration. In Portugal, the education administration only intervenes with regard to appeals against decisions of the school body that appraises teachers.

External inspectors

Inspectors undertake classroom observations in many countries, but they usually focus on evaluating overall teaching quality. Only in a few countries are they responsible for appraising individual teachers, school leaders, or teacher-peer evaluators. Among the countries surveyed by the OECD, Austria and France reported that inspectors play a role as evaluators in teacher appraisals for the completion of probation and that they do so in collaboration with the school director. In France, the inspectorate is also involved in regular appraisals of teachers for performance management. Ireland reported that the inspectorate acts as evaluator in teacher appraisals at the completion of probation, but only at the primary-school level.

School leaders

Given their role as the direct supervisor of teachers, school leaders usually play a prominent role in teacher-appraisal processes. In some instances, school leaders appraise both pedagogic competencies and skills used for other duties within the school. In others, school leaders appraise non-pedagogical competencies only. School leaders may also share evaluation responsibilities with peer evaluators, often senior teachers, and/or external evaluators. As Table 3.2 shows, school leaders or managers play a role as evaluator of teachers in the majority of countries and for most appraisal types. For the completion of probation, they are involved as evaluators in all countries for which information is available except Slovenia. School leaders share their responsibility as evaluators with central/state education authorities in Israel and Sweden, with the Inspectorate in Austria and France, and with a teacher-education faculty in Luxembourg. They co-operate with other school-level staff (such as supervisors, peer evaluators, mentor teachers, the school board or school-level evaluation committees) in Australia, France, Italy and the Slovak Republic. For regular appraisal for performance management, school directors have full responsibility as evaluators in Canada, the Czech Republic, Israel, the Netherlands, Poland, the Slovak Republic and Slovenia. They share this responsibility with external accredited evaluators and a local assessment committee in Chile, with the Inspectorate in France and with an external evaluator in Portugal. Other school-level professionals or the school board were also involved in addition to the director in the Flemish Community of Belgium, Hungary and New Zealand. In the Netherlands, the school director as the competent authority represents the school organising body for both completion of probation and regular appraisal for performance management. For registration purposes, the school director is involved in Austria, and a member of the school leadership team holds this responsibility in New Zealand. For appraisal for promotion, school leaders hold the responsibility for conducting the process in the Czech Republic, Israel and Poland. In Israel, while the school leader makes the final decision for the appraisal for performance management and for promotion, he or she may consult with other school staff regarding teacher appraisal. In Korea, the school director shares responsibility for appraisals for promotion and for rewards with peer evaluators.

Teacher peers

In some systems, teacher appraisal is based on reviews by more experienced peers. These evaluators are likely to be "accomplished" teachers who are recognised as having in-depth subject knowledge and pedagogical expertise, and as being highly proficient and successful practitioners who are able to guide and support others in teaching. Peer evaluators may be teachers internal or external to the school of the appraised teacher.

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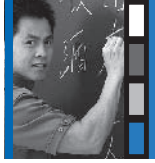


Table 3.2 (1/2)

Evaluators involved in teacher-appraisal processes (2011-12)

	Probation	Performance management			Rewards
		Regular appraisal	Registration	Promotion	
Australia	State education authorities; school principal; supervisor; peer evaluator at the same school	School principal; member of school leadership other than school principal; supervisor; peer evaluator at the same level	Teacher professional organisation	a	a
Austria	a	School principal; ISCED 2-3: state or regional education authority in case of appeal or complaint	a	a	a
Belgium (Fl.)	a	School principal (1st evaluator); school organising bodies (2nd evaluator)	a	a	a
Belgium (Fr.)	a	a	a	a	a
Canada	School principal	School principal	a	a	a
Chile	a	External accredited evaluators; school principal; teacher from another school; municipal evaluation commission (composed of local peer evaluators)	a	a	Central education authority
Czech Republic	a	School principal	a	School principal	a
Denmark	a	a	a	a	a
Estonia	a	a	a	Special commission	a
Finland	a	a	a	a	a
France	General Inspectorate; school principal; supervisor	General Inspectorate; school principal	a	a	a
Hungary	a	School principal; evaluators specified in the school's quality assurance programme	a	a	a
Iceland	a	a	a	a	a
Ireland	Inspectorate of the Department of Education and Skills (ISCED 1); school leadership (ISCED 2,3)	a	m	a	a
Israel	School principal; central education authority	School principal	a	School principal	a
Italy	School principal; school-based evaluation committee	a	a	a	a

a – not applicable
m – information missing
Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

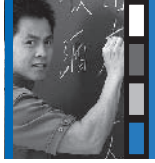
Table 3.2 (2/2)

Evaluators involved in teacher-appraisal processes (2011-12)

	Probation	Performance management			Rewards
		Regular appraisal	Registration	Promotion	
Korea	a	Peer evaluators at the same school	a	School principal; peer evaluators at the same school	School principal; peer evaluators at the same school
Luxembourg	School principal; teacher education faculty of University of Luxembourg	a	a	a	a
Mexico	a	Central education authority	a	a	Central education authority or government
Netherlands	School principal representing school organising body (competent authority)	School principal representing school organising body (competent authority)	a	a	a
New Zealand	School principal	Member of school leadership team; peer evaluator from the same school	Member of school leadership team	a	a
Norway	a	a	a	a	a
Poland	a	School principal	a	School principal	a
Portugal	Teachers from the same school; collegiate body within the school (chaired by principal); trained teachers from other schools	Teachers from the same school; collegiate body within the school (chaired by principal); trained teachers from other schools	a	a	a
Slovak Republic	Mentor teacher; examination committee nominated by the school principal	School principal	a	a	a
Slovenia	Central education authority	School principal	a	a	a
Spain	a	a	a	a	a
Sweden	Central education authority; school principal	a	Central agency (National Agency for Education)	a	a
United Kingdom (Northern Ireland)	School principal or a teacher reviewer designated by the school principal	School principal or a teacher reviewer designated by the school principal	a	a	a

a – not applicable
m – information missing
Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

For the completion of probation, peer evaluators and/or supervisors from the same school are involved in the appraisal process in France and sometimes Australia. In Italy, an evaluation committee of, on average, four teachers takes part in the evaluation process together with the school director. In the Slovak Republic, mentor teachers as well as examination committees nominated by the school director are in charge of the appraisal process for completion of probation. For regular performance management, peer evaluators are involved in many countries including Chile, Hungary, Korea, and New Zealand. In Portugal, peer appraisal is the dominant feature of performance management. In Korea, peer evaluators are involved in regular appraisal, appraisal for promotion and appraisal for rewards. For the rewards scheme in Korea (performance-based incentive system), schools are required to set up a screening committee to decide incentive levels



and set standards for provision; the school head makes final decisions regarding standards to provide incentives after the committee deliberates. Of the countries surveyed for this report, only Singapore and one German state reported using peer review at some stage of the appraisal process.

Other evaluators

For registration processes, some countries use evaluators that do not readily fit the above categories. In Chile, a municipal evaluation committee, composed of trained peer evaluators from the municipality, is involved in the process in addition to the school director and external, accredited evaluators.

Using multiple evaluators

The participation of multiple evaluators is often seen as key to successful teacher-appraisal practices. Several researchers recommend that at least more than one person should be involved in judging teacher quality and performance (Peterson, 2000; Stronge and Tucker, 2003). Danielson and McGreal (2000) explain that the "360-degree evaluation systems", in which many kinds of evaluators participate, support the idea that a teacher's competence may be judged from several different perspectives. Gathering evidence about a teacher's practice from multiple sources helps to ensure accuracy and fairness of the evaluation process, given the complexity of what it means to be a "good" teacher (Danielson, 1996, 2007; Peterson, 2000). For example, school leaders' assessments of teacher performance may be just as accurate as that of highly trained external evaluators, but the former are more aware of variables in the particular school context that may affect a teacher's performance. On the other hand, some studies have indicated that while principals tend to be very good at identifying high- and low-performing teachers, they are sometimes unable to distinguish between teachers in the middle of the distribution and may be influenced by affective or other factors unrelated to performance (Bolino and Turnley, 2003; Jacob and Lefgren, 2005; 2008).

For formative appraisals, there are also advantages to drawing on the perspectives of several evaluators. Peers and colleagues who have the same characteristics, teach the same subject and/or to the same students are more likely to win the confidence of the teacher being evaluated. The teachers may therefore more easily engage in self-reflection about their practices, and express their feelings and concerns during interviews, without fearing potential sanctions. Peers can also provide qualitative feedback based on their own experience (Isoré, 2009). But principals are essential to forge the link between the teacher's self-acknowledged needs for improvement and the professional-development opportunities and needs of the school. They are also more likely to provide informal, continuing feedback to the teacher throughout the year and not only during the formal evaluation process. More generally, they are essential for making performance improvement a priority and for institutionalising teacher evaluation as part of broader school policies (Heneman et al., 2007; Robinson, 2007; Pont et al., 2008).

Teacher-appraisal systems that draw on multiple evaluators require considerable time and resources of both evaluators and those being evaluated. If the appraisal process is to be beneficial, teachers should be given have adequate time to reflect on their own practice. Thus, both teachers and evaluators should be released from some of their duties during the appraisal process (Heneman et al., 2006; Isoré, 2009).

DEVELOPING SKILLS FOR TEACHER APPRAISAL

The effectiveness of appraisals crucially depends on whether evaluators have the knowledge and skills to evaluate teachers reliably in relation to established criteria, and also on whether teachers are prepared to use the results of appraisal in such a way as to improve their performance. To this end, it is important that all those involved in teacher appraisal receive adequate information and training to make the most of the process.

Developing skills and competencies for teacher appraisal across the school system takes time and requires a substantial commitment from both education authorities and the main actors involved in teacher appraisal. The "how" and "why" of teacher appraisal must be explained; consensus about the indicators and norms that define school or teacher quality must be built among stakeholders; evaluators must be trained in the appropriate approaches and techniques; and schools and teachers must be given time to prepare and understand the instruments they will use for evaluating teachers.

Enhancing the capacity of teachers to benefit from their appraisals

Ensuring that teachers' views are reflected in the appraisal process is essential for both engaging teachers in the process and improving their performance (Peterson, 2000; Kennedy, 2005). Teachers must know what is expected from them in order to be recognised as "good" teachers. This requires not only complete transparency in the evaluation criteria and procedures,

but also ensuring that teachers are provided with support and coaching. For example, in the United States, the *Guide to Understanding National Board Certification* explains the certification process, how scores are determined, who is involved, and offers advice to teachers on how to succeed, including what to include in a portfolio and examples and ideas from past candidates and trainers (AFT and NEA, 2008).

It is also important to link the teacher-appraisal system with initial teacher education and professional development. In some countries surveyed by the OECD there were concerns that what teachers learned in their initial preparation was poorly aligned to the standards and criteria of "good teaching" that they were supposed to meet later on. Where national standards for the teaching profession exist, they should be consistently applied in all initial teacher-education programmes. Self-appraisal, appraisal by others, and feedback should be offered in initial teacher training so that teachers are prepared to participate in these processes.

Induction and mentoring programmes for new teachers can further ease the transition between initial education and evaluation processes. As highlighted by the OECD (2010), recent research indicates that beginning teachers can benefit from mentoring programmes, provided they are of high quality. Mentors should be carefully selected, be given adequate time to carry out their tasks, and be well-prepared (Hobson et al., 2009, in OECD, 2010). Developing mentor teachers at the school level can also be a way to distribute school-leadership tasks more broadly. Mentors can play a key role in helping teachers to understand existing teaching standards, self-evaluate their practice, and use feedback to improve their practice (Santiago et al., forthcoming).

Strengthening the capacity of school leaders to conduct regular teacher appraisal

Education systems have increasingly recognised the importance of school leaders who help to guide the pedagogy in their schools, as substantiated in an OECD report (Pont et al., 2008). There are many advantages to having the principal and/or other teachers conduct developmental teacher appraisals given their familiarity with the context in which teachers work, their awareness of the school's needs, and their ability to provide feedback quickly.

But in many countries, school leaders are largely administrators. They may not have been trained in appraising their staff's teaching skills, and they might not have any expertise in the subject taught by the teacher being evaluated. In addition, if there is little external guidance about how to conduct a teacher appraisal and the criteria against which performance should be measured, school leaders might base their judgements on standards that are very different from those applied in other schools.

National authorities should thus provide leadership in developing standards and criteria for evaluation and guidance for school staff, particularly school leaders, in conducting appraisals. In New Zealand, for example, the New Zealand Teaching Council (NZTC) provides resources and support to ensure that principals can undertake effective appraisals and that staff are guided through the processes (Nusche et al., 2012). In addition, school leaders should be offered dedicated training and professional-development opportunities. Across countries surveyed by the OECD, there were few examples of professional development for school leaders or peers dedicated specifically to methods for appraising teachers. However, in several countries, a component regarding teacher appraisal was included in broader school-leadership development programmes (Box 3.2).

Building the skills of peer evaluators

Teachers often learn best from other teachers (Coggshall et al., 2011; Jackson and Bruegmann, 2009), so it is not surprising that peer evaluations are mostly used in appraisals for improvement purposes. In the United States, for example, several districts use the Peer Assistant and Review (PAR) programmes, where expert mentor teachers or coaches support new teachers and experienced teachers who are struggling, and conduct some aspects of the teachers' appraisal. Based on the appraisal, teachers design professional-development plans that are tailored to the strengths and weaknesses identified during the appraisal. They then work with mentor teachers to achieve the goals outlined in the plan. As part of the programmes, a panel of teachers and leaders makes recommendations about personnel decisions based on evidence from the appraisal. Several studies argue that engaging peers as reviewers and coaches creates a more transparent process, and that the approach can help to improve teaching and assist school leaders in deciding which teachers require more assistance, which are eligible for contract renewals or tenure, and which teachers should consider leaving the profession (Goldstein and Noguera, 2006; Klinger et al., 2008; Darling-Hammond et al., 2012). In any teacher-appraisal procedure that uses peer evaluators, teachers' peers must be trained in how to conduct fair and effective appraisals. Box 3.3 provides some examples.

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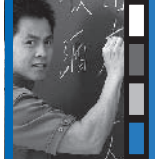

Box 3.2 Supporting school leaders in developing skills for teacher appraisal

In the **Czech Republic**, as part of European Social Fund (ESF) programming, several projects have been developed to improve the capacity for teacher appraisal. In particular, the "On the Road to Quality" project, launched in 2009, aims to develop instruments for teacher appraisal as part of school self-evaluation and to build teachers' capacity for understanding and implementing evaluation approaches. One aspect of the project involved developing a 360-degree feedback tool for middle-management staff in schools. Some of the regional authorities have also developed programmes to strengthen the approaches and methods used for teacher appraisal across schools. For example, in the Moravian-Silesian region, a methodology was developed to support school principals in teacher appraisal, as part of an ESF-funded project ("The Chance").

In **Norway**, where there is little tradition of regular classroom observation by principals, a national education programme for principals was introduced in 2009. The programme was initially targeted at newly employed principals who have been in the position for less than two years. It will then be extended to reach more experienced principals who have not received training in this area. The overall aim of this new initiative is to better equip principals for their role as leaders, particularly for guiding the teaching and learning processes at school. It is expected that as principals become better prepared for pedagogical leadership, they will also become more confident in appraising and providing feedback to their teaching staff. It is hoped that this will make it easier for teachers to accept school leaders in their role as classroom observers and evaluators of teaching performance. The framework defines four main competences for school leaders. While appraising staff is not included as an explicit competence, it is at the core of the first competence area: "the pupils' learning results and the learning environment". Under this heading, the competence framework states that "the head teacher's ability to lead the learning process and guide teachers in this process will be decisive" (Norwegian Directorate for Education and Training, 2008). Many of the skills and attitudes principals should be able to master in this area relate to appraising and guiding teachers' practices: (1) setting goals for teaching work; (2) setting standards for quality in working processes and being able to enforce these; (3) following-up on and giving feedback to individual co-workers; (4) creating pride, aspirations and a desire to achieve results in teachers; (5) guiding and giving feedback to teachers; and (6) challenging teachers and setting definite demands on quality.

Sources: Santiago et al. (2012a); Nusche et al. (2011).

Box 3.3 Building capacity for peer appraisal

Teacher appraisal in **Portugal** relies entirely on peer evaluation. All key roles in teacher appraisal, including performance evaluation, co-ordination, counselling and pedagogical supervision, are exercised by teachers. To enhance capacity for appraisal at the school level, the Ministry of Education entered into a contract with a higher education institution to manage an in-service training system for teacher appraisal. In the first half of 2011, 50 teachers with a master's degree in the field of evaluation were identified from Portugal's five education regions to participate in specialised training on teacher appraisal, including classroom observation. This post-graduate training emphasised classroom observation, as this was seen as the area that could have the greatest impact on improving teaching and learning. Upon completion of the training, this first group of highly qualified teachers was expected to be able to act as multipliers and train the rapporteurs in schools who were evaluating their peers.

One of the strengths of **Chile**'s teacher-evaluation approach (*Docentemás)* is the involvement of so many practising teachers as evaluators. Practising teachers can play two key roles in the evaluation process: as "correctors" of teacher portfolios in one of the correction centres set up by *Docentemás* in various universities; and as peer evaluators who conduct peer interviews and participate in the Community Evaluation Commissions. For both roles, teachers are given intensive preparation and training. The portfolio correctors are trained in a one-week training course where they work together with specialists to identify concrete examples of different performance levels. The training sessions comprise individual and group work in which teachers discuss judgements about proficiency levels. This is followed by a test period where the correctors apply what they have learned, internalise the correction processes, and benefit from group discussion about the results. Peer evaluators are selected and trained by the national *Docentemás* team or the local university in charge of the process. Only teachers who have been previously rated as "outstanding" or "proficient" can apply to become peer evaluators. They receive training in two full-day seminars, during which they learn about the six questions to be asked in the interview and the rubrics to be applied in assigning performance levels. The training also includes exercises and feedback to the participants. At the end of this training phase, there is another selection process; not all of those initially selected will be retained as peer evaluators.

Sources: Santiago et al. (2012b); Santiago et al. (forthcoming).

Developing central expertise for teacher appraisal

To build central capacity to formulate teacher-appraisal systems, it is important that institutions that support teachers and the teaching profession engage with each other and with the research community to ensure that the system is based on scientific advice and evidence. As explained by Isoré (2009), researchers in education and experienced teachers can offer their expertise in defining good teaching practices and in identifying relevant criteria and instruments to evaluate teachers (Ingvarson et al., 2007). Box 3.4 provides an example of how central agencies in Chile are co-operating with experts to develop the national teacher-evaluation system. In addition, conducting a pilot implementation before the full roll-out of a new teacher-appraisal system can help policy makers ensure the validity and reliability of the system, reveal potential weaknesses and flaws, and allow for early feedback from stakeholders involved in the pilot (Isoré, 2009).

Box 3.4 Developing central expertise for teacher appraisal in Chile

In Chile, teacher evaluation relies on the competencies of several agencies at the central level that co-operate regularly to ensure the quality of the process. While the Ministry of Education is responsible for managing teacher evaluations, the Centre for Training, Experimentation and Pedagogical Research (CPEIP) is responsible for technical co-ordination. In turn, CPEIP is obliged to receive independent scientific advice from universities with expertise in the area. The national team responsible for the *Docentemás* teacher-evaluation process consists of 36 members, including professionals, technicians and administrative staff, most of whom have a background in education or psychology. Under supervision of the CPEIP, the *Docentemás* team collaborates in all aspects of the process, including designing assessment instruments and guidelines, arranging the logistics for implementation of the process, selecting and training peer evaluators, correcting teachers' portfolios, developing and maintaining information systems, and preparing results reports. The *Docentemás* team uses feedback from teachers who had previously been evaluated to continuously build the capacity of its own staff. The close collaboration with the *Docentemás* team ensures that the system is based on scientific advice as well as national and international research evidence.

In addition, many universities providing initial teacher training are closely associated with the process. In particular, the portfolio-correction centres are located within universities across the country. According to CPEIP, involving the universities in the process is essential for legitimising the process in the eyes of the profession. It also helps to build capacity and generate institutional learning within the universities themselves, which may help them align initial teacher training with the objectives of the teacher-evaluation process.

Source: Santiago et al. (forthcoming).

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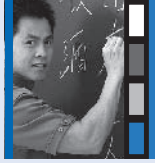

Note

1. In the Netherlands, it is the responsibility of the central employer and the school organising bodies, in Poland it is the responsibility of the school director, school board or committee and in Portugal it is the responsibility of the local school authority or schools cluster.

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Chapter 4

USING THE RESULTS FROM TEACHER APPRAISAL

This chapter discusses how different countries and school systems use the results from teacher appraisals. Depending on how each system is designed, results can affect teachers' career progression, pay and professional development.

Any appraisal of teachers will only be effective if the results of the appraisal are used effectively. That means feeding information on performance back to those who deliver education services, notably teachers and school leaders; designing professional-development activities to improve teaching practices; establishing rewards, support systems and consequences that flow from appraisal results; and developing the channels through which the information gathered during teacher appraisals is used to develop education policy.

Box 4.1 How teacher appraisal influences teaching and learning: A brief overview of research evidence

The research literature on teaching quality largely establishes that teachers matter in student outcomes, in the sense that they are important contributors to students' academic achievement (OECD, 2005). However, the literature is more hesitant in defining the qualities that make a teacher effective and the relative importance of teacher quality *vis-à-vis* other factors that theoretically influence student learning, including family, student and school factors. Not surprisingly, measuring the impact of the appraisal of teachers in terms of student learning is even more difficult. Overall, research seems to show that teacher appraisal has an *indirect* impact on student learning, by influencing teachers' attitudes and practices, which in turn, may shape student learning outcomes.

There are several strands of research analysing the impact of teacher-appraisal systems on teaching and learning. First, there is a body of research that looks at the effects of teacher appraisal on the enhancement of teacher practice and motivation, as perceived by the teachers who are evaluated. If teachers report enhanced practices owing to the appraisal process – and assuming that the corresponding practices are relevant to student learning – then the appraisal system is supposed to be effective at indirectly improving student outcomes. Second, there are a range of quantitative studies that attempt to identify a direct link between teacher appraisal and student learning outcomes. Given the many factors influencing student outcomes, such a link is more difficult to establish and the results of this research appear to be mixed.

The relationship between teacher appraisal and teacher practices and motivation

Several studies have analysed the impact of the voluntary teacher-appraisal process proposed by the National Board for Professional Teaching Standards (NBPTS) in the United States. Several authors (Bond et al., 2000; Lustick and Sykes, 2006) found that teachers applied in the classroom what they had learned from the evaluation process. Teachers seemed to have also gained new enthusiasm for the profession – in terms of how long they plan to stay in teaching – as a result of going through the evaluation process (Vandervoort et al., 2004; Lustick and Sykes, 2006; Sykes et al., 2006; NBPTS, 2007). In addition, the accomplished teachers who went through the evaluation process were more likely to contribute to school leadership by adopting new roles, including mentoring and coaching other teachers who recognise certified teachers as helpful (Petty, 2002; Freund et al., 2005; Sykes et al., 2006). Cohen and Rice (2005) concluded that the NBPTS provides a cost-effective opportunity for professional development through the evaluation process by requiring teachers to create portfolios and reflect on their practices, and by helping them to focus on curricula and accurate assessments of student learning. These studies provide considerable insights into the formative aspects of teacher-evaluation systems.

The relationship between teacher appraisal and student learning outcomes

Measuring the direct effect of teacher appraisal on student learning outcomes is more challenging. Such research needs to control for the broad set of qualitative variables that are likely to influence student learning. These variables encompass teacher characteristics (e.g. age, gender), teacher education and experience, students' family factors (e.g. parents' background, parents' support), school factors (e.g. school policies, school incentives, peer and classroom effects) and student factors (e.g. motivation, cognitive abilities, cumulative experience). The complex realities of education prevent researchers from accurately assimilating these factors as traditional inputs into production functions (Hanushek, 1986). Moreover, because of its qualitative and heterogeneous nature, the output itself – student learning – is not a traditionally measurable "end product", and this makes the decomposition between different factor contributions even more difficult (Hanushek, 1986; Ingvarson et al., 2007). This implies that this type of quantitative study in education requires particular attention to analytical issues or potential misinterpretations of the results.

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There is a body of research that focuses on the variation in the statistical relationship between teachers and student outcomes when teachers pass one particular appraisal process and when they do not. This body of evidence does not assess the effects of teacher evaluation on student outcomes, since it compares two distinct groups of teachers (one subject to evaluation, the other not) instead of comparing the impact of one particular group of teachers on student outcomes before and after the considered evaluation process. Rather, it provides an indication of the capacity of the evaluation process to distinguish proficient teachers from other teachers. These studies are essential since they establish the viability and reliability of an evaluation scheme, which are indispensable for fairness in summative procedures and for the potential link to rewards.

For instance, numerous studies examined the viability of the appraisal process associated with the National Board for Professional Teaching Standards (NBPTS) in the United States because it represents one of the most complex and comprehensive approaches to teacher evaluation and also leads to a formal recognition – the National Board Certification (NBC). A number of authors (Cavalluzzo, 2004; Goldhaber and Anthony, 2007; Vandervoort et al., 2004; Smith et al., 2005) found that students of teachers who have obtained the NBC do better on standardised tests than students of non-certified teachers. This indicates, first, that teacher practices are important for student achievement and, second, that the NBC correctly identifies the teachers who have adopted the best practices. Moreover, Goldhaber and Anthony (2007) and Cavalluzzo (2004) also conclude that student scores particularly improved for minority students and special-needs students, thus suggesting that the NBC properly identifies teachers who adopt the practices that enhance educational equity in addition to overall efficacy. However, other authors (McColskey and Stronge, 2005; Sanders et al., 2005; Harris and Sass, 2007) found that students of teachers who obtained the NBC did not perform significantly better than other students, despite improvements in some grades or areas.

The empirical evidence is also mixed for systems of compulsory teacher evaluation. Milanowski (2004) estimated the relationship between teacher-evaluation ratings and a measure of value-added student achievement for the US district of Cincinnati, which has implemented a comprehensive standards-based teacher-evaluation scheme as a basis for a knowledge- and skills-based pay system. He found significant positive correlations, and concluded that if scores from a rigorous teacher-evaluation system are substantially related to student achievement, then this provides evidence of validity for the use of teachers' scores as a basis for a financial-reward system. Borman and Kimball (2005) studied the teacher-evaluation system of the district of Washoe County, with a two-level model. After controlling for student background and teachers' experience, they assessed the relation between teacher quality as measured by the evaluation system and both overall classroom mean achievement and within-classroom effects on social equality. They found that teachers with high evaluation scores are related to better student learning outcomes across grades and subjects (reading and math). But these teachers do not appear to be reducing gaps in achievement between low- and high-achieving students and students from low-income or minority backgrounds. This is a source of scepticism when looking at the validity of the evaluation system to distinguish between teachers who adopt practices directed towards equity and those who do not.

Research has increasingly emphasised the importance of classroom observations in teacher appraisal. Two recent studies analysing the relationship between teacher appraisal based on classroom observations and student performance report positive results. The Measures of Effective Teaching (MET) project compares five different instruments for classroom observation and analyses their relationship with a range of student outcomes. The analysis is based on the practice of over 1 300 teachers across different school districts in the United States. The study concludes that all five classroom observation instruments were positively associated with student-achievement gains (Kane and Staiger, 2012). With a similar focus, Taylor and Tylor (2012) analyse the effects of the long-running Teacher Evaluation System (TES) in Cincinnati Public schools, which evaluates teachers' professional practice through multiple detailed classroom observations and a review of teacher work products. They find that high-quality teacher evaluation based on classroom observation improved the performance of mid-career teachers both during the period of evaluation and in subsequent years. In particular, students assigned to a teacher after he or she had participated in TES scored about 10% of a standard deviation higher in mathematics than students of similar proficiency taught by the same teacher prior to participation in TES.

Source: Isoré (2009); Kane and Staiger (2012); Taylor and Tyler (2012).

FORMATIVE USE OF RESULTS

A key objective of teacher appraisal is to identify areas for improvement for individual teachers, leading to the preparation of individual improvement plans that take into account the overall school development plan. Pedagogical leadership at the school level plays a key role in ensuring the effectiveness of this link (Pont et al., 2008). The resources made available for professional and school development are another key element. Without a clear link to professional-development opportunities, the impact of teacher appraisal and performance review will be relatively limited. As a result, the appraisal process may not be taken seriously or be met with mistrust or apathy by the teachers being appraised (Danielson, 2001; Milanowski and Kimball, 2003; Margo et al., 2008).

Information collected from countries surveyed by the OECD indicates that all types of teacher appraisal, except explicit reward schemes, may influence future professional-development activities (Table 4.1). Teacher appraisal as part of regular performance management is most often connected to professional-development activities or plans. It systematically influences professional development in Korea, Mexico and Portugal and it is expected/intended to do so in Austria, the Flemish Community of Belgium, Canada, France, Israel, the Netherlands, New Zealand, Portugal and Slovenia. In Chile, it systematically results in a professional-development plan for teachers who have obtained a "basic" or "poor" rating. In the Czech Republic, Hungary, Poland and the Slovak Republic, the link between regular appraisal for performance management and professional development is not prescribed nationally, but may well exist at the school level. Practices vary across schools depending on internal regulations.

Box 4.2 Germany: Looking for untapped potential through teacher appraisal

One function of the teacher-appraisal system in the German state of Hamburg is to identify a teacher's potential to contribute to activities beyond their standard duties as a classroom teacher. In addition to the standard evaluation criteria, assessors have to verify and document whether the teacher has any skills or competencies that are not being used but could be used in school development or management duties within the school. If the statement from the assessor is significant and clear, the end result could be that teachers' skills are used to help in school development and to raise the job satisfaction of high-performing teachers. The appraisal directive requires an annual meeting of all assessors (the school executive board) at which the handling of appraisals and the use of the rating scale is discussed.

Source: German Länder response to OECD survey.

Box 4.3 Denmark: Collaborative evaluation

In Denmark, teacher appraisal is not regulated by law and no national requirements exist to evaluate the performance of teachers. Actual teacher-appraisal practices are determined locally with the possible influence of municipal requirements or guidelines. According to the *Folkeskole* Act, the school principal is responsible for the quality of teaching at the school as well as the overall administrative and pedagogical management of the school, including the professional development of teachers. As a result, the main responsibility of designing, introducing and organising teacher-appraisal procedures within the school lies with the school principal. Actual teacher-appraisal practices in Danish schools seem to be based on a culture where school leaders show confidence in their teachers, appraisal is conducted as a school-teacher or teacher-teacher dialogue, and procedures are defined in collaboration with the teachers.

Work in Danish schools is increasingly organised in a way that encourages teamwork. Schools are increasingly structuring work around teams of teachers (e.g. class team, form team, section team, subject team) that share responsibility for organising their work. This development has led to growing co-operation among teachers and a more formal dialogue between the school leaders and teams of teachers. This also provides a context in which some schools organise teacher appraisal mostly within teams. In this situation teachers co-operate on promoting the quality of the teaching in the school. It is a widespread practice in the *Folkeskole* that planning, learning and knowledge-sharing takes place in teacher teams in school. Other typical activities among teachers include supervising each other within a team and discussing together the progress and development of an individual student.

Source: Shewbridge et al. (2011).

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In Australia, Canada, Ireland, Israel and the Netherlands, appraisal at completion of probation is also expected to influence professional development. Registration systematically influences professional development in Australia and is expected to do so in New Zealand. The promotion scheme in Israel is also expected to inform future professional development. In the Czech Republic, appraisal for promotion influences professional development if it is related to accession to a particular professional status, such as that of pedagogical advisor.

Box 4.4 Netherlands: Peer review

Peer-review systems have also begun in schools in the Netherlands. One such programme is SKOOP, which involves teachers and staff from one school visiting and reviewing their counterparts in another. The methodology is based on a supervisory framework developed by the Dutch Inspectorate of Education. A department or team of tuition or management staff visits another school where they observe lessons and conduct panel interviews in order to form an impression of the school. That impression is then discussed with the school authorities and a written report is produced.

The results to date are encouraging, and it is believed that this type of peer review can make a valuable contribution to the professionalisation of teaching staff, helping them to make full use of their professional autonomy. Teachers are reminded of what being a good teacher actually entails. When the review visit focuses on the indicators used in official school inspections and the assessment of professional competence, it prompts internal discussions about the policies needed to develop and retain high-quality teaching staff.

Source: Dutch Ministry of Education, Culture and Science response to OECD survey.

Box 4.5 The Czech Republic: Encouraging co-operation and exchange among teachers

Exchanges with colleagues can also be an important source of constructive feedback to teachers. In the Czech Republic, teachers in larger schools are typically organised in subject commissions that gather all teachers of a particular subject. This structure facilitates peer exchange and co-operation regarding teaching that subject, such as preparing lessons or teaching particular concepts. The heads of subject commissions usually play an important role in organising classroom observations and/or peer appraisal, looking after new teachers and reporting to the school principal with a view to providing input to the school's self-evaluation. Although not widespread, in some schools there are established systems for peer review with school-wide criteria and a focus on identifying teachers' individual development needs.

Source: Santiago et al. (2012).

SUMMATIVE USE OF RESULTS

Appraisals of teacher performance can also be used to determine career advancement and performance rewards or establish sanctions for underperforming teachers. Recognising and rewarding teaching excellence is essential for retaining effective teachers and for making teaching an attractive career choice (OECD, 2005). In general, teacher appraisals might have consequences at the following levels:

Career decisions

Most countries do not directly link teacher-appraisal results to pay but, instead, to career progression, thereby establishing an indirect link with salaries. As shown in Table 4.2, most teacher-appraisal results are related to the speed at which the teacher progresses in his or her career. In addition, teacher appraisal can be used to make decisions at key points in a teacher's career. For example, the results of an appraisal can be used to make tenure decisions at the end of the probationary period, for contract renewal and during stages of registration, and they could influence the decision to appoint a teacher to a given school post.

Table 4.1

Influence of teacher appraisal on professional development (2011-12)

	Completion of probation	Performance management		
		Regular appraisal	Registration	Promotion
It systematically influences professional development activities	United Kingdom (Northern Ireland)	Australia, Chile,[2] Korea, Mexico, Portugal,[2] United Kingdom (Northern Ireland)	Australia	Czech Republic[3]
It is expected/ intended to influence professional development activities	Australia, Canada, Ireland, Israel, Netherlands, New Zealand	Austria, Belgium (Fl.), Canada, France, Israel, Netherlands, New Zealand, Slovenia	New Zealand	Israel
It may influence professional development activities, depending on school policies and practices	Slovak Republic	Czech Republic, Hungary, Poland, Slovak Republic	–	–
It does not influence teacher professional development	France,[1] Italy, Luxembourg, Slovenia	–	Sweden	Estonia, Korea, Poland

1. France: But a negative appraisal may result in a second year of stage.
2. Chile, Portugal: It systematically results in a professional development plan for teachers who have obtained a low rating only.
3. Czech Republic: It influences professional development if connected with promotion to particular professional status.
Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The Table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table 4.2

Influence of teacher appraisal on career decisions (2011-12)

Appraisal may influence:	Completion of probation	Performance management			Reward scheme
		Regular appraisal	Registration	Promotion	
Decisions about access to a permanent position or a fixed term contract	Australia, Israel, Italy, Luxembourg,[1] New Zealand,[2] Sweden	Mexico, Portugal (non-permanent teachers)	Australia, New Zealand, Sweden	–	–
Decisions about the speed of career progression and/or about promotions	Canada, France, Ireland (ISCED 1), Slovak Republic, United Kingdom (Northern Ireland)	Australia, France, Hungary, Portugal (permanent teachers), Slovenia, United Kingdom (Northern Ireland)	–	Czech Republic, Estonia, Israel, Korea, Poland	–
Decisions about career advancement depending on local/ school policy	Netherlands	Netherlands, New Zealand, Slovak Republic	–	–	–
It does not influence career advancement	Slovenia	Austria, Belgium (Fl.), Chile, Israel	–	–	Chile, Korea, Mexico

1. Luxembourg: It influences decisions about the terms of the contract.
2. New Zealand: Teachers need to pass probation and achieve registration to continue in the teaching career.
Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

In the Flemish Community of Belgium, teacher appraisal does not influence career decisions or career advancement. In all other countries that reported having formal frameworks for teacher appraisal, there is at least one type of appraisal that influences career decisions or advancement. Naturally, all countries that have introduced appraisal processes that are explicitly dedicated to evaluating teachers for promotion use the appraisal results for this purpose. However, many countries that do not have specific processes for teacher appraisal for promotion use the results of other appraisal processes to inform decisions about a teacher's career advancement. Appraisal for the completion of probation most typically

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influences decisions about access to a permanent position or fixed term contract. This is the case in Australia, Austria, Israel, Italy and Luxembourg. It influences the speed of the new teacher's future career in Canada, France, Ireland and the Slovak Republic, and it may influence career decisions (depending on school policies) in the Netherlands. Regular appraisal for performance management influences decisions about access to a permanent position or fixed term contract in Mexico and for non-permanent teachers in Portugal. It influences decisions about career progression or promotion in France, Hungary, Portugal (for permanent teachers) and Slovenia. It may influence decisions about career advancement in the Netherlands, New Zealand and the Slovak Republic. Registration processes may also influence decisions about the teachers' position or contract type. In Australia, it determines eligibility to seek employment as a teacher; in New Zealand, appraisal for registration is a necessary step towards progression to the status of "registered teacher".

Salary increases and performance rewards

In some cases, teacher appraisal influences a teachers' base salary or salary progression. This impact is sometimes difficult to disentangle from career progression (see above). In addition, teacher-appraisal results might also be used as the basis of rewards for teachers. Typical rewards include: a one-off monetary prize (bonus pay); time allowances and sabbatical periods; opportunities for school-based research; public recognition or awards; changes in work responsibilities; support for post-graduate study; or opportunities for in-service education. In some instances, the rewards acknowledge groups of teachers and are distributed at the school or grade level rather than individual level. Evidence of the impact of "bonus" pay is mixed; such payments can be contentious and potentially divisive (OECD, 2005).

Obviously, in countries that have specific rewards schemes in place, the results of appraisal processes influence salary levels and the distribution of pay allowances. But as shown in Table 4.3, other appraisal approaches may also be connected to rewards.

Table 4.3

Rewards connected to teacher appraisal (2011-12)

Appraisal may impact on:	Completion of probation	Performance management			Reward scheme
		Regular appraisal	Registration	Promotion	
Salary levels or pay allowance	France,[1] Netherlands,[2] Slovak Republic,[1,2] United Kingdom (Northern Ireland)	Australia,[1] Chile,[3] Czech Republic,[2] France,[1] Hungary, Netherlands,[2] New Zealand,[1] Poland,[2] Portugal,[1] Slovenia, United Kingdom (Northern Ireland)	New Zealand[1]	Czech Republic, Poland[1]	Chile, Korea, Mexico
Public recognition or award	–	Czech Republic	–	Estonia	–
Work responsibilities, professional development/ study opportunities	Netherlands	Belgium (Fl.),[2] Czech Republic,[2] France, Netherlands	–	Czech Republic	–
No impact on salary or rewards	Australia, Canada, Ireland, Israel, Italy, Luxembourg, New Zealand, Slovenia, Sweden	Austria, Canada, Israel, Korea, Mexico	Australia, Sweden	Israel, Korea	–

1. Appraisal results only impact on pay levels to the extent that they make the teacher progress in the career and salary scale.
2. Depends on local and/or school policy.
3. Teachers with satisfactory appraisal results may take an additional appraisal which may give them access to salary increases between 5% and 25% of the base salary.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Appraisal for the completion of probation is rarely connected to monetary or non-monetary rewards. It has an impact on salary levels in France and an impact on opportunities for professional development and innovative tasks in the Netherlands. Depending on school policies, it may also have an impact on salary levels in the Netherlands and in the Slovak Republic (only to the extent that it can allow teachers to progress on the career scale).

Regular appraisal for performance management appears more likely to influence salary levels or pay allowances across countries. This is the case in Chile, the Czech Republic, Hungary, Portugal and Slovenia. It may also affect salaries in the Netherlands and Poland, depending on school policies. In Australia, France, New Zealand and Portugal, it only affects salaries to the extent that it moves teachers along the salary scale. Performance management affects public recognition or awards in the Czech Republic, and work responsibilities or opportunities for professional development in the Flemish Community of Belgium (depending on school policies), the Czech Republic (depending on school policies), France and the Netherlands.

Sanctions for underperformance

Some countries provide for sanctions for ineffective teachers beyond the standard consequences. For example, if underperformance persists following a number of appraisals, sanctions might include removing the individual from teaching duties (for teachers with civil servant status, this might mean transferral to other functions within the school or to another career within the civil service), or simply terminating the contract. But early identification of underperformance is usually accompanied by a plan for in-service training to improve practice. As seen in Table 4.4 below, countries have a range of responses to underperformance. Underperformance at the end of probation typically results in failure to pass the probation, extension of the probation period or the termination of the teacher's employment. In Australia, Canada, Ireland (ISCED 1), Luxembourg, the Slovak Republic and Sweden, it may also have an impact on the future contract, career or salary. In Australia, Ireland (ISCED 1), Israel and Luxembourg it may lead to further examination, appraisal or compulsory training. Underperformance in regular appraisal for performance management most frequently leads to compulsory training and further appraisal. In many countries, it may also have an impact on contract, career advancement or salary levels. In Australia, Austria (in extreme cases only), Canada (at the discretion of the evaluator), Chile and New Zealand, underperformance may lead to transfer, suspension or dismissal of the teacher. Underperformance in registration processes may have an impact on contract, career advancement or salary levels in Austria (in rare cases only), Australia, New Zealand and Sweden, and lead to further appraisal or compulsory training in Australia. Underperformance in appraisal for promotion purposes can have an impact on contract, career or salary in the Czech Republic, Israel and Poland. In Estonia and Israel, it also leads to further appraisal and/or compulsory training.

Table 4.4

Responses to teacher underperformance (2011-12)

		Performance management		
	Completion of probation	Regular appraisal	Registration	Promotion
Failure to pass probation/extension of probation	Australia, Canada, France, Ireland, Israel, Italy, Luxembourg, New Zealand, Slovak Republic, Slovenia, Sweden	–	–	–
Impact on contract, career and/or salary[1]	Australia, Canada, Ireland (ISCED 1), Luxembourg, Slovak Republic, Sweden	Australia, Canada,[3] France, Israel, New Zealand, Portugal, Slovak Republic	Australia, New Zealand, Sweden	Czech Republic, Israel, Poland
Further appraisal, compulsory training	Australia, Ireland (ISCED 1), Israel, Luxembourg, New Zealand, United Kingdom (Northern Ireland)	Australia, Belgium (Fl.), Chile, France, Israel, Korea, New Zealand, Portugal, Slovenia, United Kingdom (Northern Ireland)	Australia	Estonia, Israel
Transfer, suspension, dismissal	Australia, France, Ireland (ISCED 2-3),[2] Israel, Italy, Netherlands, United Kingdom (Northern Ireland)	Australia, Austria,[2] Canada,[3] Chile, New Zealand, United Kingdom (Northern Ireland)	–	–
Depends on local/ school policy	–	Czech Republic, Hungary, Netherlands	–	–
No response	–	Mexico, Poland	–	Korea

1. Impact on contract, career and/or salary includes: permanent contract not granted, salary increment withheld, deferral of promotion, registered teacher status not granted or withdrawn.
2. Applied only rarely/in exceptional cases.
3. At the discretion of the evaluator.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

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ENSURING THAT TEACHER APPRAISAL FEEDS INTO APPROPRIATE PROFESSIONAL DEVELOPMENT FOR TEACHERS

A clear and transparent chain between the performance assessment and continuing professional-development opportunities is essential for improving teaching practice (Ofsted, 2006). Identifying individual teachers' strengths and weaknesses helps to determine which professional-development activities meet the teacher's own needs as well as the school's priorities. It is important for teachers to see appraisals as the basis for improvement and growth in their profession, regardless of their current level of performance (Isoré, 2009).

However, more than 40% of the teachers participating in TALIS reported that they did not receive suggestions for improving their practice, and 44% agreed with the statement that teachers' work was reviewed merely to fulfil an administrative requirement. Also, according to school leaders' reports in TALIS, only 56.6% of teachers were in schools where identifying a specific weakness in a teacher's performance will always or most of the time lead to a professional-development plan for the teacher. These results are worrying, because linking professional growth opportunities to evaluation results is critical if evaluation is going to play a role in improving teaching and learning (Goe et al., 2012).

Ideally, teacher appraisal should give teachers tailored feedback, which should then followed with opportunities for continuous learning in the areas identified (Hill and Herlihy, 2011). In order for a vibrant programme of professional development to be established, and to thrive, it should be based on a culture of professional inquiry. There should be a recognised and explicitly stated norm that recognises the complexity of good teaching, and insists on the professional obligation of every teacher to be engaged in a career-long quest for better practice. This culture must include adequate opportunities for professional development. All teachers, including those who are highly effective, need opportunities to learn and grow in the teaching profession (Randi and Zeichner, 2004); and those opportunities should be adapted to teachers' needs and career stages, as well as to overall school-development goals.

There is also a need to envisage teachers' learning as something broader than participation in in-service training courses. According to Timperley (2011), the term "professional development" is now often associated with the delivery of some kind of information to teachers meant to influence their practice; whereas "professional learning" refers to a more internal process in which teachers create professional knowledge through interaction with this information in a way that challenges previous assumptions and creates new meanings. Such professional-learning cultures need to be supported and sustained by effective pedagogical leadership that provides adequate levels of challenge and support to teachers.

Box 4.6 Northern Ireland and Finland: Using appraisal to guide professional development

In Northern Ireland, all teachers employed in grant-aid schools, including those employed on part-time or temporary contacts, must participate in the Performance Review and Staff Development (PRSD) scheme. The PRSD is a performance-management scheme that aims to support the professional development of teachers. It is separate from teacher-capability procedures.

Some fundamental principles underpin the PRSD, including professionalism, confidentiality, sensitivity, openness and transparency, equity and fairness, and trust and confidence. The PRSD requires a commitment by all those involved in the process to recognise that the fundamental purpose of the process is to promote and sustain professional development and continuous improvement in schools. It also requires participants "to accept and support an approach to performance review which is negotiated and agreed, evidence based and professionally focused, recognising teachers' commitment, strengths and good practice". Further, it requires those involved in the process to "appreciate the need for a proper balance being struck between the personal autonomy of teachers and the legitimate ambitions of the schools in which they work".

In Finland, most teachers have an individual development plan. It is often drawn from the school-level development plan, which covers all school personnel or, in some cases, all education personnel under the local municipality. A Finnish teacher's individual development plan is developed in co-operation with school leader affects the professional development a teacher receives; however it is not directly connected with career advancement.

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Approximately 70% of schools in Finland have a school-level development plan, which generally contains the following elements:

- teacher and organisation competencies;
- induction training for new teachers;
- specific areas of personnel training;
- general principles on continuing professional development (CPD);
- an analysis of training needs of school staff;
- general roles and responsibilities for professional development (for local government, school networks, school and teacher);
- a description of the general networks in which the school participates; and
- general principles for attending any type of in-service training.

Even with such a high participation rate in school and teacher development plans at a school level, the Finnish Ministry of Education launched a "Capable Programme" in 2010 to drive educational institutions to take greater responsibility for their own staff development activities. The goal of the programme, which is expected to run until 2016, is that staff-development systems become embedded into normal routines of schools and the networks in which they collaborate.

Source: Responses from governments of Northern Ireland and Finland to OECD survey.

Box 4.7 Ontario, Canada: Using evaluation for teacher-directed professional-development plans

Each teacher must develop or review and update a professional development plan (ALP) each year. The ALP includes the teacher's professional growth objectives, proposed action plan, and timelines for achieving those objectives. The ALP is teacher-authored and -directed and is developed in a consultative and collaborative manner with the principal. Teachers who move from the new to the experienced teacher appraisal process must develop an ALP in their first year as an experienced teacher. Each year thereafter, teachers, in consultation with their principal, must review and update their ALP as necessary from the previous year. They must take into account their learning plan from the previous year, their learning and growth over the year, and the summative report of their most recent performance appraisal. In an evaluation year, the teacher and principal must meet to review and update the teacher's ALP as part of the performance appraisal.

Source: OECD (2009).

ESTABLISHING A TEACHER-CAREER STRUCTURE AND LINKING APPRAISAL TO CAREER PROGRESSION

In many countries surveyed by the OECD, there is no clearly designed career structure for teachers and there are few opportunities for teachers to assume greater responsibilities, receive recognition for high-quality performance or be promoted. The organisational structure of schools in many OECD countries is usually flat, with few promoted posts and few explicit means of giving teachers significant leadership responsibilities. This is likely to undermine the potentially strong relationship between teacher appraisal, professional development and career development.

Findings from TALIS confirm a weak link between teacher appraisal and career advancement. Across countries that participate in TALIS, only 16.2% of teachers indicated that the appraisal and/or feedback they received led to a moderate or large change in the likelihood of their career advancement; and only 26.7% reported that it led to changes in work responsibilities that made their job more attractive (OECD, 2009).

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Some countries link teacher assessments with opportunities for promotions to school-leadership positions. But the practice of linking outstanding teacher performance to such vertical promotions may not meet the needs of most teachers, for two main reasons. First, a good teacher is not necessarily a good manager or leader, and the skills required for teaching a classroom and managing a school are not the same. Second, this practice may have adverse effects on teaching quality within a school because, paradoxically, the best teachers are rewarded by being removed from classroom teaching. To resolve this dilemma, some education systems have attempted to build career options for excellent teachers who wish to remain in the classroom (see Boxes 4.8 and 4.9).

Box 4.8 Singapore: Developing teachers' careers through evaluation

Singapore encourages teacher development its performance-management system called Enhanced Performance Management System (EPMS). EPMS, which was fully implemented in 2005, is part of the career and recognition system under the "Education Service Professional Development and Career Plan" (Edu-Pac) for teachers to develop their potential to the fullest. This structure has three components: a career path, recognition through monetary rewards, and an evaluation system. Edu Pac recognises that teachers have different aspirations and provides for three career tracks for teachers: the Teaching Track, which allows teachers to remain in the classroom and advance to a new level of Master Teacher; the Leadership Track, which provides opportunities for teachers to take on leadership positions in schools and the Ministry's headquarters; and the Senior Specialist Track, where teachers join the Ministry's headquarters and become a "strong core of specialists with deep knowledge and skills in specific areas in education that will break new ground and keep Singapore at the leading edge".

The EPMS is competency-based and defines the knowledge, skills and professional characteristics appropriate for each track. It is developmental in nature and supports teacher improvement and performance. The process involves performance planning, coaching, and evaluation. In performance planning, the teacher starts the year with a self-assessment and develops goals for teaching, instructional innovations and improvements at the school, professional development, and personal development. The teacher meets with his/her reporting officer, who is usually the head of a department, for a discussion about setting targets and performance benchmarks. Performance coaching takes place throughout the year, particularly during the formal mid-year review, when the reporting officer meets with the teacher to discuss progress and needs. In the performance evaluation held at the end of the year, the reporting officer conducts the appraisal interview and reviews actual performance against planned performance. The performance grade given influences the annual performance bonus received for the year's work. During the performance evaluation phase, decisions regarding promotions to the next level are made based on "current estimated potential" (CEP). The decision about a teacher's current CEP is made in consultation with senior staff who have worked with the teacher, and is based on observations, discussions with the teacher, evidence of portfolio, and knowledge of the teacher's contribution to the school and community.

Source: Singaporean government response to OECD survey.

Box 4.9 Australia: Advanced Skills Teaching positions

Teachers in Australia can volunteer to be appraised, to be recognised for the quality of their teaching, by applying for Advanced Skills Teaching positions (ASTs). The processes vary among systems and sectors.

These positions offer higher pay and are generally associated with further responsibilities and specific roles in schools. In some cases, teachers do not have to be at the top of the salary scale to apply for these positions. Advanced Skills Teaching positions recognise advanced teaching skills with a formal position and additional pay; and offer a better match between teachers' skills and the roles and responsibilities needed in schools. They also reward teachers who choose to remain in the classroom rather than move into management positions.

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AST positions embody two key concepts. First, they recognise the need to introduce career diversification given the greater variety of roles in schools – e.g. departmental head, team leader, and manager of curriculum development and/or personnel development. Second, they reflect the need to reward teachers for developing their skills, performance and responsibilities in what is a competency-based professional career ladder. As they access AST positions, teachers are expected to have deeper levels of knowledge, demonstrate more sophisticated and effective teaching, assume responsibility for co-curricular aspects of the school, and assist colleagues. Appropriately, access to AST positions involves formal evaluation processes that are more summative in nature.

Some examples:

- **New South Wales** introduced the Highly Accomplished Teacher (HAT) position in July 2009. The HAT position is an initiative of the Smarter Schools National Partnership on Improving Teacher Quality. A HAT is an excellent teacher who models high-quality teaching for his/her colleagues across the school and leads other teachers in developing and refining their teaching practice to improve student learning outcomes. HAT positions are classroom-based positions with a reduced teaching load to enable them to mentor other teachers, including student teachers, beginning and more experienced teachers; work with university partners; and take a role in the school's leadership team. HATs are appointed through a selection process based on merit that requires, as a prerequisite, application to the NSW Institute of Teachers to be considered for accreditation at Professional Accomplishment or Professional Leadership. These positions are two-year appointments and are limited to 100 positions over the life of the National Partnerships.
- The **Northern Territory**'s Highly Accomplished and Lead Teacher (HALT) status requires applicants to participate in an "inquiry process" over 12 months, based on the Australian Professional Standards for Teachers. The assessment of performance is undertaken by assessment panels and moderation committees and includes observations of classroom practice. This process is being incorporated into the national certification process.
- In **Tasmania**, the Advanced Skills Teacher position recognises outstanding classroom teachers and leading staff members. It is targeted at teachers recognised as exemplary practitioners who are accorded additional responsibilities within their school. It is a promotion available to any permanent teacher who satisfies the application process and is similar to a salary increment. Positions are advertised by individual schools on a needs basis.

The school system in **Victoria** includes one promotional appointment for those teachers who want to remain in the classroom. The Leading Teacher programme is intended to serve the dual purpose of recognising outstanding classroom teachers and providing schools with a staff member to lead various in-school programmes and projects. Schools advertise for Leading Teacher positions on a needs basis: the position is usually associated with a specific anticipated responsibility. The Victoria Department of Education and Early Childhood Development aims to appoint 10% to 15% of full-time teachers as Leading Teachers.

Source: Santiago et al. (2011).

USING TEACHER APPRAISAL RESULTS TO SHAPE INCENTIVES FOR TEACHERS

Appraisal of teacher performance can be used to recognise and reward teaching competence and performance. However, the notion of developing a closer relationship between teacher performance and rewards is often controversial and potentially divisive. Research on this issue has produced mixed results. However, there is some agreement that the design and implementation of performance-based rewards are crucial to their success. As explained in Harvey-Beavis (2003), there is a wide consensus that many attempts to introduce performance-based rewards programmes have been poorly designed and implemented (Mohrman et al., 1996; Ramirez, 2001). Problems in developing fair and reliable indicators, and training evaluators to apply these indicators fairly, have undermined attempts to implement programmes (Storey, 2000). One problem is that goals are often not clearly defined because of a large number of criteria; this limits teachers' understanding of the programme and makes implementation difficult (Richardson, 1999). Explanations of how, and on what criteria, teachers are assessed may be difficult to articulate, and thus it is almost impossible to give constructive feedback and maintain teacher support for the programme (Chamberlin et al., 2002).

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ENSURING THAT UNDERPERFORMANCE IS DETECTED AND ADDRESSED

Teacher appraisal should provide a mechanism to identify weaknesses and ensure that underperformance is adequately addressed. However, results from TALIS indicate that the use of teacher appraisal to address underperformance is not widespread. On average, in most countries that participate in TALIS, principals frequently reported the results of a teacher appraisal that identifies weaknesses to the teacher concerned and engaged in discussions on how to improve performance. However, principals reported underperformance to an outside body far less frequently: 51.0% of principals across TALIS-participating countries indicated that they would never report a teachers' underperformance to another body to take action. TALIS data also show that that a substantial number of teachers across countries felt that sustained underperformance is not adequately addressed: only 23.1% of teachers agreed or strongly agreed that the school principal in their school takes steps to alter the monetary rewards of a persistently underperforming teacher; and only 27.9% of teachers agreed or strongly agreed that teachers in their school will be dismissed because of sustained poor performance.

To ensure that all students are taught by capable teachers, teacher appraisal should be able to identify incompetent teachers and address their weaknesses. However, some argue that appraisal to identify underperformance should be a separate process from appraisal for professional development, as evaluating to identify underperformance may create tension and fear among teachers, which may jeopardise the formative function of appraisal and inhibit teachers' creativity and motivation (Klinger et al., 2008).

THE INFLUENCE ON TEACHER SELF-EFFICACY

Research on teacher self-efficacy goes back to the seminal work of Bandura, who defines self-efficacy as "a judgement of one's capability to accomplish a given level of performance" (Bandura, 1986, p. 391). In recent years, the concept has taken a central role in education research regarding both students and teachers. Teachers with high self-efficacy expect to succeed in teaching and to handle students well, and this influences their interpretation of successes and disappointments, the standards they set, and their approaches to coping with difficult instructional situations (Bandura, 1997; Ross, 1998). Strong self-efficacy beliefs can prevent stress and burnout; and teachers' self-efficacy beliefs and their job satisfaction are linked to instructional practices and student achievement (e.g. Ashton and Webb, 1986; Ross, 1998).

Box 4.10 Lessons on teacher appraisal

Governance

- Clarify the purposes of teacher appraisal and ensure that they are aligned with national education objectives.
- Establish teaching standards to guide teachers' professional development and appraisal.
- Establish a coherent framework for teacher appraisal.

Procedures

- Use multiple instruments and sources of evidence.
- Provide support for effective classroom observations.
- Avoid using student feedback for summative appraisal.

Capacity

- Strengthen pedagogical leadership to enhance internal school appraisal processes.
- Build the capacity of evaluators and those being evaluated for effective teacher appraisal.
- Develop central expertise to continuously monitor and improve appraisal policies and practices.

Use of results

- Ensure that formative teacher appraisal feeds into professional development and school development.
- Use the results of summative teacher appraisal for career-advancement decisions.
- Ensure effective use of results by addressing the challenges of implementation.

Teachers' self-efficacy can have numerous implications for education in the classroom as it indicates not only aspects of productivity but also how teachers act in the classroom. Given the many findings on the positive impact of self-efficacy on various organisational factors, teachers' self-efficacy should also affect school culture and the operation of effective schools. Teachers with a high level of self-efficacy may be more likely to adapt to and moderate dynamics in schools whose students come from different backgrounds or present particular challenges (OECD, 2009).

TALIS 2008 looked at the relationship between teacher appraisal and feedback and reported feelings of self-efficacy. The report found that Belgium (Fl.), Brazil, Bulgaria, Hungary, Ireland, Italy, Mexico, Portugal and Spain reported higher levels of self-efficacy if they had received appraisal and feedback on their work as teachers in their school. In addition, teacher appraisal and feedback that emphasised innovative teaching practices is significantly associated with increased teacher self-efficacy in 11 TALIS-participating countries. TALIS also found that teachers who use more diverse teaching practices and who participate more actively in professional learning communities also report higher levels of self-efficacy, receive more feedback and appraisal on their teaching, and report being more involved in professional-development activities outside of school (Vieluf et al., 2012).

The appraisal and feedback that a teacher receives is just one of many factors that can influence his or her feelings of self-efficacy. According to TALIS data, teachers with high levels of self-efficacy are also associated with a number of other positive behaviours and practices that could influence the quality of their teaching and their students' achievement.

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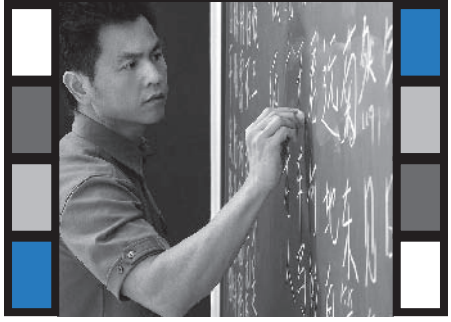

Chapter 5

TOWARDS A COHERENT APPROACH TO EVALUATION AND ACCOUNTABILITY

This chapter provides a broader framework and key policy lessons for designing a coherent approach towards assessment and accountability – of which teacher evaluation should be an integral part.

The different social, economic and educational structures and traditions in countries affect the feasibility of introducing evaluation and assessment policies. Nevertheless, the OECD *Review on Evaluation and Assessment Frameworks for Improving School Outcomes* has shown that there are some trends that are common to many countries. Notably, there is an increased prominence of assessment, evaluation and accountability in education policy, larger and more varied uses of evaluation and assessment results, an increase in the development and use of education indicators, greater reliance on education standards as a reference for evaluation, and a growing emphasis on accountability as a purpose for evaluation and assessment. Key challenges include ensuring that evaluation and accountability are part of education frameworks, building capacity for evaluation and for using feedback, ensuring links to the classroom, securing a balance between the improvement and accountability functions of appraisals, and aligning evaluation and accountability with the goals for student learning.

Design a coherent framework for evaluation and accountability with the student at the centre.

Most would agree that authentic evaluation, which leads to better education practices at all levels, is central to establishing a high-performing education system. What is often underestimated is the importance of coherence among different evaluation initiatives. Coherence hinges on collaborative processes to conceptualise and develop frameworks for evaluation and accountability that integrate such components as student assessment (see Box 5.1), teacher appraisal (covered in the preceding chapters), school evaluation (see Box 5.2), school leader appraisal (see Box 5.3), and the broader evaluation of the education system. This, in turn, can help to provide a shared vision for evaluation and communicate how each component can produce results that are useful for classroom practice and school improvement. It can also help to clarify responsibilities among different actors for the different components and allow for better networking and connections among them. Not least, it can also create the conditions for better communication among the different levels of education governance, including evaluation agencies and local education authorities.

Include a balance of components, such as measures of student outcomes, system-level indicators with basic demographic, administrative and contextual information, and research and analysis to inform planning, intervention and policy development.

The challenge is to ensure that policy and practice are informed by high-quality measures, and not driven by their availability. It is neither feasible nor desirable to develop indicators across all the objectives of the education system. A systematic review of the availability and quality of key indicators and performance measures is therefore important. This kind of mapping has proved to be crucial for reminding all stakeholders of the full spectrum of national priorities and goals and ensuring transparency in the use and interpretation of measures.

Promote national consistency while allowing for local diversity.

Frameworks for evaluation and accountability will need to find the right balance between national coherence and local diversity. It is important to agree on general principles concerning school evaluation, teacher appraisal, student formative assessment and the evaluation of school leadership while allowing for some flexibility of approach within the agreed parameters to better meet local needs and to nurture innovation. Such principles can address: how to combine the accountability and improvement functions; the scope in relation to the national agenda; aspects to be assessed; reference standards; the role and nature of externality; and the extent of transparency. The principles should contain clear goals, and a range of tools and guidelines for implementation. In decentralised systems, it is also important to encourage the different actors to co-operate, share and disseminate good practice, thereby facilitating system learning and improvement.

Engage the non-public sector.

There is a range of possible approaches to better integrate the non-public sector in the overall framework for evaluation and accountability. Some countries require the non-public sector to comply with the approaches followed within the framework, especially for those sectors or schools that receive public subsidies. Another possibility is for the non-public sector to be part of protocol agreements that specify general principles concerning school evaluation, teacher appraisal and the evaluation of school leadership. At the system level, and in order to monitor their performance, non-public schools could be compelled to adhere to public administrative data collections and be part of common performance reporting for schools in all sectors.

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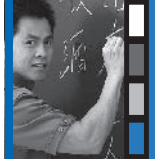

Fill the gaps to achieve a balanced framework for evaluation and accountability.

Teacher-appraisal processes need to be sufficiently systematic to ensure that all teachers are appraised and subsequently receive feedback, are offered professional-development opportunities, and have prospects of career advancement. Greater incentives may be needed for schools to engage in systematic self-evaluation that involves all schools agents, and follow-ups that lead to school improvement. School self-evaluation should be complemented with requirements for external school evaluation, an exercise to be led by dedicated structures that have the capacity to support school development. Other areas that could benefit from greater policy attention in many countries are school-leadership appraisals and the evaluation and analysis of results at the system level.

Establish connections between different components of the framework.

Developing an effective framework for evaluation and accountability should involve: making connections between the different evaluation components (e.g. school evaluation and teacher appraisal); ensuring that the several elements within an evaluation component are sufficiently linked (e.g. teaching standards and teacher appraisal; external school evaluation and school self-evaluation); and establishing processes to guarantee that evaluation procedures are consistently applied (e.g. consistency of teachers' marks). To be effective, school evaluation should encompass monitoring the quality of teaching and learning, possibly including an external validation of school-based processes for teacher appraisal, holding the school leader accountable, as necessary.

Give a role to independent evaluation agencies.

The effectiveness of evaluation and assessment hinges on agencies that are authoritative voices in the areas they cover, are highly credible for their expertise and technical capacity, and are good at providing advice for implementing evaluation and assessment procedures in the country. Those agencies should provide: technical leadership (e.g. in developing evaluation instruments and guidelines); effective approaches to monitoring the education system and the teaching and school-leadership professions; results-based innovations; capacity development for evaluation and assessment across the system; and technical support for school agents to implement evaluation and assessment procedures at the local level.

Prioritise and sustain efforts to improve the capacity for evaluation.

Developing an effective framework for evaluation and accountability involves considerable investment in competencies and skills for evaluation at all levels, including providing support for school agents to understand evaluation procedures, training evaluators so that they can to undertake their responsibilities effectively, and preparing school agents to use the results of evaluation. Evaluation is most effective for improving education practices when it engages the skills and commitment of practitioners. Capacity building through adequate initial teacher training and professional development should be a priority, along with formulating training and skills requirements for key people engaged in assessment, evaluation and accountability. There also needs to be strong capacity, at the national level, perhaps through expert bodies, to steer evaluations.

Engage and respect the professionalism of stakeholders.

Developing evaluation policy is more likely to yield consensus and compromise among parties if the process encourages co-operation among the different stakeholders. Regular interactions over time help to build trust and raise awareness about the concerns of others, thereby fostering compromise. Experimenting with policies and using pilot schemes may also be effective for overcoming disagreements among stakeholders and for assessing the effectiveness of policies before implementing them generally. Education practitioners should be given opportunities to express their views and concerns on evaluation and accountability initiatives as they are implemented. Bureaucratic demands on schools should be limited, and sufficient resources should be provided to implement evaluation policies.

Emphasise the improvement function of evaluation and assessment and links to the classroom.

Evaluation and assessment procedures need to be linked to improvements in teaching. Actions that are likely to reinforce such links include: emphasising teacher appraisal for the continuous improvement of teaching practices; ensuring teaching standards are aligned with student learning objectives; involving teachers in school evaluation, particularly by conceiving school self-evaluation as a collective process with responsibilities for teachers; ensuring that teachers are seen as the main experts in not only instructing but also in assessing their students, so that teachers "buy in" to student assessments and accept them as an integral part of teaching and learning; building teacher capacity for student formative assessments; and building teachers' ability to assess against educational standards. The common element of these strategies is that they build on teachers' professionalism.

Maintain sound knowledge management.

Evaluation and accountability processes produce data that is used for public information, policy planning and improving practices across the system. Thus, coherent information-management systems should be developed to make the best use of this material. Such systems would include protocols to harmonise, standardise, and share the data among key stakeholders.

Clearly communicate the purpose and results of the evaluation.

Evaluations are only as effective as their communication strategies. It is essential to clearly communicate long-term goals for student achievement as the rationale for proposed evaluation and accountability policies. Individuals and groups are more likely to accept changes that are not necessarily in their own best interests if they understand the reasons for these changes and can see the role they should play within a broad national strategy. This involves disseminating research findings on alternative policy options and information on the costs of reform vs. inaction. Such communication is critical for winning broad support for reforming the teacher and school evaluation systems.

Box 5.1 Lessons on student assessment

Governance

- Develop a coherent framework for student assessment.
- Develop clear goals and criteria to guide student learning and assessment.
- Establish safeguards against an overemphasis on standardised assessment.
- Reinforce formative-assessment practices in classrooms and schools.

Procedures

- Promote innovative assessment formats that capture valued key competencies.
- Build on innovative approaches developed in the vocational education and training (VET) sectors.
- Tap into the potential of information and communication technologies to develop sophisticated assessment instruments.
- Ensure that assessment instruments are inclusive and responsive to different student needs.

Capacity

- Build students' capacity to engage in their own assessment.
- Promote teachers' professionalism in assessments.
- Build teachers' assessment skills through professional learning, moderation, tools and guidance.

Reporting and use of results

- Provide adequate reporting to students and parents.
- Ensure transparency and fairness in the summative use of assessment results.
- Support the short-cycle use of formative assessment results to improve teaching and learning.

Box 5.2 Policy directions for school evaluation

Governance

- Frame school evaluation in relation to student learning objectives.
- Ensure that school evaluations aim to improve teaching, learning and student outcomes.
- Raise the profile of school self-evaluation.
- Consider moving to a differentiated approach to external school evaluation.
- Align external school evaluation with school self-evaluation.

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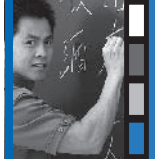

Procedures

- Develop nationally agreed criteria for school quality to guide school evaluation.
- Promote an evidence-based school-evaluation culture.
- Promote the availability and use of appropriate self-evaluation resources.
- Ensure transparency in external school evaluation procedures.
- Promote peer learning among schools.

Capacity

- Ensure the credibility of external evaluators and enhance their objectivity and coherence.
- Strengthen school leaders' capacity to establish an effective self-evaluation culture within the school.
- Engage all school staff and students in school self-evaluation.

Reporting and use of results

- Optimise the feedback of nationally collected data to schools for self-evaluation and improvement.
- Promote the wider use of the results of external school evaluations.
- Ensure a systematic follow-up to external school evaluations.
- Report contextual information with school-performance measures.

Box 5.3 Lessons on school-leader appraisal

Governance

- Promote the systematic appraisal of school leaders in the assessment and evaluation framework.
- Ensure linkages between school-leader appraisal and other elements of the evaluation and assessment framework.
- Clarify the purposes and governance of school-leader appraisal.
- Develop a common leadership framework or leadership standards.

Procedures

- Promote the appraisal of pedagogical/learning-centred leadership.
- Promote the appraisal of school leaders' competencies for monitoring, evaluation and assessment.
- Consider distributed leadership as an important aspect to be appraised.

Capacity

- Build capacity for effective school-leader appraisal.
- Promote school-leader appraisal as an opportunity for peer learning.

Use of results

- Ensure school-leader appraisals inform professional development.
- Develop a career structure and career-development opportunities to reward successful school leaders.

Effective Teacher Evaluation: Transforming a Game into a Game-Changer

Reflections on the 2013 International Summit on the Teaching Profession

Most of us were lucky enough to have some great teachers: teachers who inspired us, who opened up new worlds for us, and whom we remember as people who changed the course of our life or deepened the meaning of it. But what makes a teacher great? And who gets to decide? This was the subject of intensive discussions among ministers and union leaders in the third International Summit on the Teaching Profession that was held on 13-14 March 2013 in Amsterdam.

Everyone agreed that the quality of an education system cannot exceed the quality of its teachers, and that the quality of teachers cannot exceed the quality of the work organisation in schools and the ways in which teachers are supported. That is why the appraisal of teachers needs to look beyond teachers as individuals and take a systemic approach – starting from what is happening in classrooms, taking into account the learning environment and context of schools, and extending the perspective to the policies and practices in the education system as a whole.

Appraising individuals will always be a contentious exercise. As one of the speakers put it, in the end we all want maximum autonomy for ourselves and maximum predictability for everyone else; that is, we want to work in ways we believe are best, and we want others to work in ways we believe are best too. However, interestingly there was only one lonely voice in the summit hall calling for teachers to be left in peace to get on with their work, without being subject to any evaluation or accountability. In contrast, most participants, including ministers, union leaders and teachers, agreed that teachers need and want feedback to improve their practice, and that appraisal systems are effective mechanisms to provide such feedback.

This given, it was surprising to learn how many teachers are left alone in classrooms, with no appraisal and little feedback. According to the OECD Teaching and Learning International Survey (TALIS), one in five teachers never received feedback from any internal or external source. Teachers may not get feedback because appraisal systems are costly to design and maintain, in money and time, but more often, because there is no consensus on the purpose of appraisal, no consensus on the processes and criteria for measuring teacher performance, and no consensus on the governance of appraisal. Those were the questions with which ministers and union leaders struggled.

As one union leader put it, many approaches towards teacher appraisal reflect a long-gone past. When teaching was mainly about explaining prefabricated content, governments used to tell their teachers exactly what to do and exactly how they wanted it done, using prescriptive methods of administrative control, evaluation and accountability. In contrast, today's school systems require teachers to be high-level knowledge workers capable of engaging students from diverse backgrounds and helping them to develop complex ways of thinking and working that computers cannot imitate. They need to attract the greatest talent into teaching, develop that talent effectively, and get the most talented teachers into the most challenging classrooms. But that cannot happen if schools are organised like an assembly line, with teachers working as interchangeable widgets. Today's school systems need to offer a very different work organisation, with the status, professional autonomy, and the high-quality education that go with professional work, with differentiated career paths for teachers and with effective systems of teacher appraisal geared towards professional development. As one minister put it, this is about advancing from a rule-based work organisation towards a liberated profession.

Ministers and union leaders discussed how education systems can get the balance right between central guidance and local flexibility, holding schools accountable for implementing effective teacher appraisals without stifling the creativity and innovation of local actors. There was agreement that governments need to be clear – and honest – about what they are trying

to achieve with teacher appraisal. Is the purpose professional improvement? Then the appraisal has to provide meaningful feedback. Improvement is mostly a matter of skill and will, and we tend to underestimate the skills involved in teaching. Is the purpose accountability? Then there needs to be clarity about the consequences for a teacher's career and, as one union leader stressed, whatever measures are chosen should not be so highly consequential to deter teachers from venturing into new territory and innovating within the profession.

Much of the discussion focused on how to evaluate teachers. Everyone knows there is plenty of excellent teaching, but few can describe how exactly that looks like and, surely, those who cannot define good teaching are unlikely to develop good teachers. There was agreement that standards and a shared understanding of high-quality teaching are the essential foundation of appraisal systems. There was also agreement that quality teaching should aspire to comprise the kind of teaching that contributes to producing the full range of skills and outcomes that are valued by school systems and nations, not just some of them.

In discussions about the substance of standards for the profession, participants always mentioned planning and preparation, including knowledge of content and pedagogy, knowledge of students, coherent teaching plans, and knowing how to assess student learning. Instruction was also central, comprising teachers' ability to communicate effectively, use appropriate discussion techniques, engage students in learning, provide feedback, and demonstrate responsiveness. Creating a climate of respect and rapport, establishing a culture of learning, and managing student behaviour were also frequently mentioned.

However, it was also clear that many countries seek to go beyond what is happening in classrooms. They embrace a wider mission of teachers that includes the ability to work in teams, managing and sharing leadership responsibilities, providing advice to parents, and building community partnerships in the standards of appraisal systems.

Most participants also agreed that for teaching standards to be adopted by the profession, teachers must have a lead role in developing them, and the profession needs to own its professional standards as other professions do. As one speaker said, if we develop policies that are antithetical to teachers' own perceptions of what makes effective teaching, education systems are unlikely to deliver improvements in learning outcomes. Just as important, there was agreement that the appraisal of teaching quality needs to be multidimensional to reflect the many facets of teaching; and as such, multiple sources of evidence and multiple stakeholders must be involved.

If the question of what makes good teaching sparked considerable debate, the discussion about what instruments should be used to evaluate teaching was even more lively. Divorcing the kind of instruments that are used for appraisal from the kind of teaching that should be valued was seen by many as one of the greatest pitfalls of current appraisal systems. Everyone acknowledged that the essence of teaching is displayed in the classroom. That is why almost all countries use classroom observations as part of their appraisal processes. Most teacher-appraisal models also require teachers and school leaders to agree on performance goals against which teachers are then evaluated. Having teachers evaluate their own performance was considered essential too, as self-appraisal encourages teachers to reflect on factors that impact on their teaching. In some countries, students, parents and other teachers are surveyed for their views on teachers' performance. These perspectives can have a significant impact since behaviour is often influenced by what peers and leaders think, do and consider acceptable. As one minister put it, appraisals need to go beyond teachers talking to other teachers and government officials; they must include other stakeholders' perspectives. Participants also presented evidence that the main players in a school tend to share similar views as to who is highly respected for their professional behaviour, even if they may not be able to define exact criteria that characterise that behaviour. Norway's teachers' union and student organisation have worked together to develop principles and guidelines for meaningful teacher appraisal by students. In Sweden too, teachers often conduct surveys among their students to obtain feedback on their teaching practices.

Yet everyone acknowledged that in some places, the vast majority of teachers get high performance ratings on all of those things, while at the country level, student performance is unsatisfactory. Such mismatches between the messages conveyed to teachers and the actual performance of education systems underline why it is so important to build student outcomes into the critical path of teacher appraisal instruments. Many countries already do so: two-thirds of the teachers surveyed by TALIS said that student test scores are an important part of the feedback they received.

Still, while everyone recognised that it is conceptually important to incorporate student learning growth into the appraisal of teachers, the summit exposed many practical problems that available instruments entail. Some participants suggested that there are more practical ways to leverage knowledge on student learning outcomes than census-based student testing regimes and that further developing those alternatives should be a priority. There was concern that undue focus on those outcomes that can be easily measured may detract attention from outcomes that are important but more difficult to quantify.

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There was also concern that the link between what teachers do and what students learn is difficult to establish, since student learning outcomes are shaped by many teachers and contextual factors. While this was, unsurprisingly, one of the most controversial issues discussed at this summit, participants agreed that there is an urgent need to advance a shared vision of what the learning outcomes of education should be and how they should be measured. They agreed, too, that these outcomes should be broadly conceived and comprise cognitive, interpersonal and intra-personal skills, and that due consideration needs to be given to the short- and long-term impact of those outcomes. As the rapporteur put it, such a shared vision will need to guide the collaboration of government and teachers' union leaders in the ambitious task of improving schools, and all policies and initiatives to support improvement in education systems need to be aligned with that shared vision. Although measurement remains imperfect, perfection is often the enemy of the good. As one speaker noted, there is now considerable knowledge about effective teaching practices available, and it is time to start acting on that knowledge.

Of course, the effectiveness of appraisals depends critically on the knowledge and skills that evaluators have to assess teachers – and on the extent to which teachers are prepared to use the results for improvement. As one minister noted, education administrations and schools are people organisations and should behave as such in their approach to management. That means extending appraisal and quality-assurance systems to include social accountability for the governance and leadership of the education sector, including assessing the soundness and effectiveness of education policies and, in particular, accountability for whether societies and governments are investing educational resources effectively.

There was agreement that appraisal needs to become everybody's business. Public policy is the basis for designing appraisal systems and establishing the norms that regulate them. Inspectorates can offer important insights on leadership and management, the quality of teaching and school climate. In some countries, professional teacher organisations take the lead in helping schools apply appraisal procedures. In many countries, teacher appraisal increasingly also draws on experienced peers, seeking, as one of the speakers put it, to improve teaching by teachers for teachers. These peer evaluators are usually accomplished teachers who are recognised for their knowledge and pedagogical expertise. And, as always, the most successful appraisal practices involve multiple evaluators and reflect teachers' views.

The third session of the summit addressed perhaps the most divisive question: What do we do with the results from teacher appraisals? Clearly, appraisal is only effective if the results are used effectively. That means feeding information on performance back to teachers and school leaders; designing professional-development activities to improve teaching practices; establishing rewards, support systems and consequences that flow from appraisal; and also developing channels through which the information gathered feeds into policy development.

A clear and transparent link between performance appraisal and professional-development opportunities is key for improving teaching practice. Participants noted that, without this link, appraisal processes will not be taken seriously or will be met with mistrust by teachers. Teachers need to see appraisals as the basis for professional growth, regardless of their current level of performance. Such formative appraisal plays the most important role in most appraisal systems. However, many countries use teacher appraisal to determine career advancement and rewards. Indeed, recognising and rewarding teaching excellence was widely seen as central for retaining effective teachers and for making teaching an attractive career choice. However, most countries do not directly link teacher-appraisal results to pay; instead, the link is indirect, made through career diversity and progression. Results are also often used to make decisions at key points in a teacher's career, such as at the end of the probationary period or when a contract is up for renewal. And they can influence decisions to appoint a teacher to a given post. In some instances, rewards acknowledge groups of teachers and are distributed at the school or grade level rather than given to individuals. Numerous participants were of the view that the percentage of underperforming teachers was likely to be small, so that it would be unwise to focus teacher-appraisal efforts on the objective of identifying those teachers.

All this being said, it became evident that in many countries there is still no clearly designed career path for teachers, and the organisational structures of schools are often flat, with few posts available to which to be promoted. This undermines the link between appraisal, professional development and career progression. Indeed, across countries, only 16% of the teachers surveyed by TALIS said their appraisal led to real career advancement; and only 27% reported that it led to changes in work responsibilities that made their job more attractive.

Finally, many participants spoke about the importance of trust as an essential condition for effective appraisal and school improvement. There was a time when the public turned to teachers to make judgements about educational quality. Now the public seeks to make judgements about the quality of teachers. On the one hand, teachers need to trust the appraisal system and the individuals carrying out the appraisals. On the other hand, teachers need, as one teacher put it, to earn the trust in their work. Effective appraisal is the foundation for both. At the core of educational improvement is learning – learning by

students, by teachers, by administrators and by policy makers. But as the rapporteur noted, no one learns very much when fear rules; thus it is important to be sure that appraisal regimes do not inadvertently create a climate of fear among teachers.

The bottom line is that effective teacher-appraisal systems are complex and costly to run and teacher evaluation can only be one component of system improvement. But if countries succeed in making teaching an attractive career choice that invites the best candidates; if they provide high-quality initial teacher education and good mentoring; if their teachers work with professional autonomy in a collaborative culture and with effective school leaders; if countries offer teachers effective in-service professional development and attractive career structures; and if they engage teachers as active agents in the design and implementation of educational reform and innovation, then effective teacher appraisals can make the crucial difference.

Countries have set themselves a busy agenda to move forward to the 2014 Summit:

Belgium wants to focus on improving teacher-training programmes and the recruitment of teachers, and to provide better support to teachers during the initial phase of their careers. The professionalisation of management will also be given high priority.

Canada wants professional development to be seen as an organic approach based on data, best practices and indicators that identify the needs of individual teachers, all of which are linked to student success.

China seeks to improve the mechanisms and standards of teacher evaluation as well as the professional standards for teachers and principals, implement qualification examinations for school teachers and pilot regular registration, and build on the development of quality teacher-training resources.

Estonia wants to agree on teacher professional standards within the next twelve months, develop approaches towards continuous professional development for teachers and principals that build trust and encourage teachers, and increase the role of teachers in collaborative leadership in schools and teachers' communities.

Germany seeks to strengthen its focus on teacher education, combine school evaluation with effective support systems for principals and teachers, and develop collaborative teaching-learning strategies for underachievers.

Iceland wants to make progress in building a coherent system of teacher pre-service education that can underpin a strong sense of teacher professionalism, continuous professional development that sustains improved learning, and systematic evaluation of schools, teaching and learning.

Japan seeks to reshape its approach to teacher appraisal to strengthen teachers' motivation, develop the appraisal skills of school leaders, and provide an environment in which teachers can autonomously enhance their capabilities.

The Netherlands strives for more active support for and coaching of young teachers and beginning professionals, to strengthen the profession and focus on teacher quality in the context of professional learning communities.

New Zealand stakeholders are committed to working together to raise the status of the teaching profession by nationally recognising and celebrating quality teachers and school leaders and sharing their practice.

Norway seeks to use its well-established social partnership to examine a comprehensive and coherent teacher policy, map and analyse existing standards, criteria and descriptions of good teaching and, based the outcomes, discuss the purpose, composition, status and role of the various stakeholders.

Poland wants to enhance teacher professional networks for sharing best practices and feedback, and integrate information from evaluation and other sources to improve its usefulness for teachers, school leaders and other stakeholders.

Sweden will redouble its efforts to raise the status of the teaching profession and invest in the most promising teachers with more university courses, meeting places, peer learning, mentoring and coaching by teachers and school leaders. The country also aims to better disseminate high-quality teaching methods developed by and for teachers and based upon research and best practice.

Switzerland wants to define a national monitoring system without "naming and shaming", halve the rate of students who do not meet standards, and strengthen the link between education and the economy.

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The United States seeks to develop multiple indicators of student learning that can be used to improve practice, support the implementation of common core state standards by emphasising more effective use of time and professional collaboration, better curricula and resources, and will work to roll out a plan for early childhood education aimed to improve equity in educational opportunities.

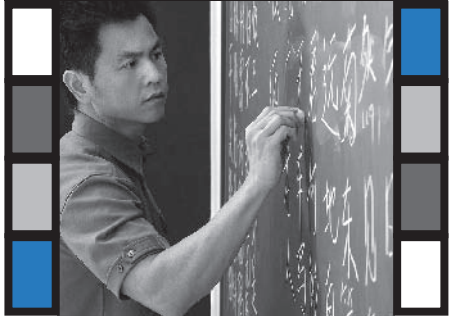
Hong Kong-China seeks to better align different school-based support measures, enhance the established practices of education reform, and strengthen teacher professionalism.

As countries strive to reach these goals, the Summits provide an important opportunity for governments to improve their dialogue with unions on professional issues without getting side-tracked by national industrial disputes.

As the rapporteur concluded,

> *"Perhaps in thirty years, looking back, observers will describe this global collaboration as an important contribution to a Renaissance of Education. They might say that in 2011 a group of visionary government and teacher union leaders, with the support of international organisations like the OECD and Education International, decided to get together to have serious and honest conversations about how to substantively rethink the practice of education. They might say that these leaders agreed to engage in this deep and sustained collaboration because they recognised larger challenges in their times: the challenge of poverty and social inequality and the consequent social exclusion it produced, challenges to democratic governance, economic challenges, challenges to sustainable forms of interaction with the environment, and these leaders concluded that to successfully address those challenges it was important to build on the invention of Comenius, the public school, and get this institution to do things it had not done previously, things like develop a range of skills and dispositions among students that enabled them to be authors of their own destiny and committed stewards of a sustainable and inclusive order. These leaders coming together understood that to transform these institutions they would have to reach a consensus, among teacher organisations and governments, about the extent and depth of these transformations of the practice of education, and of the ways to bring these transformations about, and they concluded that to reach this consensus, to stay the course in pursuit of such ambitious goals, they would have to adopt the discipline of meeting from time to time, to have open, honest and sometimes difficult conversations about how to create that consensus."*

Andreas Schleicher
Special Advisor on Education Policy to the Secretary-General
Deputy Director, Directorate for Education and Skills



Annex A
Selected comparative data on education from OECD sources

Table A.1 (1/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
AUSTRALIA	Regular appraisal	All teachers	Annual under the national framework as implemented from 2013	Teacher employers, for most jurisdictions, within a national framework	School director; member of school leadership other than school director; supervisor; peer evaluator at the same level	Teacher standards and individual goals	Teacher standards; planning and preparation; instruction; classroom environment; professional development; links to the community
	Registration	All teachers	Mandatory periodic time (varies between jurisdictions)	Nationally consistent framework	Local school; school director; member of school leadership other than school director; supervisor	Australian Professional Standards for Teachers	As described in the Australian Professional Standards for Teachers (within the domains of professional knowledge, practice and engagement)
AUSTRIA	Regular appraisal	All teachers (except teachers on probation)	Mandatory non-periodic; at the discretion of school principal or school board[1]	Central education authority	School principal; second evaluator in the case of a dispute/appeal in the appraisal process or a complaint about a teacher: state or regional education authority	None	At the discretion of evaluators (may include planning and preparation; instruction; classroom environment)
	Contract renewal	Teachers on fixed-term contracts in public and government-dependent private schools only	Mandatory periodic (annually)	Central education authority	School director. Second evaluator in the case of a dispute/appeal in the appraisal process or a complaint about a teacher: state or regional education authority	None	At the discretion of evaluators (may include planning and preparation; instruction; classroom environment)
	Contract renewal/ completion of probation for certain teachers on fixed-term contracts	Teachers on fixed-term contracts (ISCED level 2 [academic programmes] and 3)	Mandatory (ongoing) during probationary period (1 year)	Central education authority; state education authorities state education authorities	School principal; inspectorate	None	Planning and preparation; instruction; classroom environment; professional development; contribution to school development
BELGIUM (Fl.)	Regular appraisal	All teachers	Mandatory periodic (at least every 4 years)	Central government	First evaluator: school principal; second evaluator: school organising bodies	National teaching standards	Planning and preparation; instruction; classroom environment; professional development; links to the community
BELGIUM (Fr.)	None	a	a	a	a	a	a
BRAZIL	Completion of probation; some other approaches of teacher appraisal are used at the municipal and state level; for public schools, completion of probation is compulsory	Teachers on probation; all teachers of public schools are required to complete a probation period of 3 years to become permanent teachers	Before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); the frequency and the form of appraisal can vary among municipalities and states	Central authority, state authority and local authority	The evaluator can vary among municipalities and states; there is no standard evaluation established nationally	Regional/local teaching standards	Each state, municipality and even school can select the aspects that will be appraised

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

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Table A.1 (2/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Multiple sources of evidence of teachers' practice; professional discussions; and, in some cases, classroom observation	No	Yes, it systematically results in a professional development plan	No	Varies by jurisdiction and employer	None	Further appraisal; compulsory training; salary increment withheld; permanent contract not granted; dismissal; suspension; transfer (varies by jurisdiction and employer)	AUSTRALIA
Multiple sources of evidence of teachers' practice; professional discussions; and classroom observation	No	Yes, it systematically results in a professional development plan	Yes, appraisal determines eligibility to seek employment as a teacher	No	Full registration	Further appraisal; compulsory training; registration suspended or withdrawn	
At the discretion of evaluators (may include classroom observation; dialogue with the teacher)	No	Yes, it may result in a professional development plan for some teachers (teachers underperforming)	No[1]	No	None	Transfer (rarely applied) Suspension/dismissal (only in very severe cases)	AUSTRIA
At the discretion of evaluators (may include classroom observation; dialogue with the teacher)	Yes (2 levels: pass; fail)	No	No	No	None	Contract renewal/ permanent contract not granted (rarely applied)	
Classroom observation; dialogue with evaluators; teacher portfolio	Yes (3 levels)	No	Yes, appraisal results influence decisions on a) access to contract; b) renewal of a fixed-term contract; or c) access to a permanent position	No	None	Failure to pass probationary period (rarely applied)	
Classroom observation; teacher self-appraisal; teacher portfolio; dialogue with the teacher	Yes (2 levels: pass; fail)	Yes, it is expected to influence professional development activities	Yes, the job description can be adapted based on appraisal results	No	None, but school principals may at times reward teachers with a change in work responsibilities	Further appraisal; compulsory training	BELGIUM (Fl.)
a	a	a	a	a	a	a	BELGIUM (Fr.)
Each state, municipality and even school can select which instruments and information sources will be used		Yes, for all teachers	Yes, appraisal determines promotion	No	Outcomes can vary among states, municipalities and schools		BRAZIL

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

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Table A.1 (3/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
CANADA	Regular appraisal once every 5 years or in case of performance concerns	All teachers	Mandatory periodic; experienced teachers formally appraised once every 5 years; at the discretion of school director in case of performance concerns	Provincial/territorial education authorities or governments	School principal	A description of the general and professional duties of teachers	Planning and preparation; instruction; classroom environment; professional development; contribution to school development
	Appraisal for professional development	All teachers	Mandatory periodic	Provincial/territorial education authorities or governments	School director	A description of the general and professional duties of teachers	Planning and preparation; instruction; classroom environment; professional development; contribution to school development
	Appraisal of teachers during probation (for formative and summative purposes)	Teachers on probation	In relation to decision on employment status	Provincial/territorial education authorities or governments	School principal; superintendent	Provincial teacher standards or competencies	Instruction (engages students; applies creativity and innovation); classroom environment (inclusive learning environment); professional responsibilities
CHILE	Regular appraisal	Teachers active in the classroom in public schools only	Mandatory periodic (4 years if results are satisfactory, 1 or 2 years if results are unsatisfactory)	Central education authority or government	External accredited evaluators; school principal; teacher from another school; Local Assessment Committee (composed of peer evaluators of the same local education authority [municipality])[1]	National teaching standards	Planning and preparation; instruction; classroom environment; competencies for student assessment
CHINA	Completion of probation; performance management; scheme for rewarding excellence; teacher peer review; different types of teacher appraisals: 1) school-based appraisal that evaluates teachers as "qualified" or "excellent" on annual basis; 2) appraisal that is organised by school each semester and that impacts teacher's bonus (which is mainly based on students' learning results and teacher's moral behaviour (i.e. if there are parents' complaints). 3) non-periodical appraisal sponsored by local authorities that selects and rewards those teachers with outstanding performance; 4) parents' and/or students' appraisal using questionnaires that provide feedback on instruction to teachers	All teachers	Mandatory periodic; mandatory non-periodic	Local authority; school leader; teachers in the school; teachers' unions; varies depending on location; usually district authorities formulate the framework for evaluation and schools decide on their appraisal scheme	School leader; other teachers; students; usually an evaluation task force elected by teachers (in a smaller school) or by teachers' union (in a larger school); the task force consists of head of teachers' union, party secretary and the elected representatives; "leader for teaching research" is responsible for collecting and evaluating teachers' self-appraisal forms from subject teachers in certain schools	Central teaching standards; regional/local teaching standards; a description of professional duties of teachers (e.g. job description); school internal regulations; teachers usually report their performance to the evaluation task force or, in larger schools, report to a group of teachers in a grade or in a subject first; a certain proportion of "excellent" teachers are then elected by ballot on the basis of their reporting	Planning and preparation; instruction; other: in general four aspects: integrity (virtues), capability, diligence, achievement (students' learning results, awards for teaching, participation in research projects, publication of articles, etc.); students' learning results and integrity are regarded as the most important aspects, especially the students' learning results, but efforts are underway to change that

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

1. Chile: Only teachers who have been previously rated as «outstanding» or «proficient» can apply to become peer evaluators.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

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Table A.1 (4/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Classroom observation; dialogue with the teacher; peer collaboration; parent survey	Varies across provinces/ territories	Yes, it is expected to influence professional development activities	No	No	None	At the discretion of the evaluator; withdrawal or inaccessibility to the priority list; termination of employment	CANADA
Classroom observation; dialogue with the teacher; peer collaboration; parent survey	Varies across provinces/ territories	Yes, it is expected to influence professional development activities	Yes, appraisal results influence the speed at which a teacher progresses in the career structure; appraisal results will/ will not give access to a priority list, intended to grant contracts	No	None	Withdrawal; inaccessibility to the priority list	
Classroom observation; dialogue with the teacher; peer collaboration; parent survey	Varies across provinces/territories (e.g. 2 levels: pass, fail; performing in a satisfactory manner, performing in a non-satisfactory manner)	Yes, it is expected to influence professional development activities	Yes	No	Recognition; professional learning; employment opportunities	Compulsory training; contract not renewed; permanent contract not granted; loss of certification	
Teacher self-appraisal; third party reference report by the school leader; dialogue with the peer evaluator; teacher portfolio; classroom observation (class recording)	Yes (4 levels)	Yes, it systematically results in a professional development plan for teachers obtaining a «basic» or «poor» performance rating	No	Yes, teachers with a satisfactory appraisal result may opt for an additional appraisal; in case of a second satisfactory performance, teachers receive salary increase between 5% and 25% of the base salary on a fixed-term basis (between 2 and 4 years)	None	Compulsory training; dismissal	CHILE
Classroom observation; teacher self-appraisal; student surveys; parent surveys; peer review/consultation; additional information: integrity: self-appraisal, peer review, praise or complaints from parents, etc.; capability: related to instruction, self-appraisal with related credentials; diligence: record of attendance and absenteeism; achievement: students' learning results, awards, certificates, publications, etc.		No	No	a	Opportunities for school-based research; public recognition/award		CHINA

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

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Table A.1 (5/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
CZECH REPUBLIC	Regular appraisal	All teachers[2]	In relation to decision on employment status; at the discretion of the school principal	Central education authority or government; school principal	School principal	School internal regulations	Varies across schools depending on school internal regulations and may include: planning and preparation; instruction; classroom environment; professional development; links to the community
	Appraisal for promotion	All teachers[2]	In relation to decision on employment status; at the discretion of the school principal	Central education authority or government; school principal	School principal	School internal regulations	Professional development; contribution to school development; additional tasks and responsibilities depending on a teacher's professional status as defined through the Act on Pedagogical Employees (e.g. pedagogical advisor)
DENMARK	None	a	a	a	a	a	a
ESTONIA	Appraisal for promotion	All teachers	Voluntary	Central education authority	Special commission	A description of special tasks and roles	Professional development; work efficiency; fulfilment of qualification requirements
FINLAND	Performance management; the basics of teacher appraisal in general are established in the contract between the employee and employer (local government employers and teacher trade union)	All teachers	The bases of teacher appraisal are covered in the contract between the local government employers and the teacher trade union; practices are agreed at the local level	Local authority; teachers' unions	School leader; other: to some extent teacher self-evaluation forms the basis for the discussion of performance between school leader and teacher	Teachers are appraised against the goals and contents of the national core curricula; to some extent against school year plan (development plan)	There are no specific criteria but the terms and conditions are based on the contract between the local government employers and the teacher trade union
FRANCE	Regular appraisal	Public schools: permanent teachers Private schools: teachers as salaried employees	Mandatory periodic;[3] voluntary (at the initiative of teachers themselves); in case of underperformance	Central education authority (for appraisal procedures and rubrics at ISCED levels 2 and 3); central government (per decree for appraisal consequences and career advancement); individual evaluators are in charge of choosing certain instruments	General inspectorate; school principal	National norms and standards (through decrees and circulars); school development plan or school project	Instruction; classroom environment; contribution to school development (teacher commitment); work ethic (presence at school; punctuality; authority; interpersonal skills); compliance with curriculum and reforms

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

2. Czech Republic: The policy framework is specified through the Act on Pedagogical Employees.

3. France: (1) Civil servants in public schools and salaried employees in private schools: Annually by school directors (ISCED levels 2 and 3) and at irregular intervals by inspectors (on average every 3-4 years at ISCED level 1 and every 6-7 years at ISCED levels 2 and 3). (2) Salaried employees with a permanent contract: every 3 years.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (6/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Varies across schools depending on school internal regulations and may include classroom observation; dialogue with the teacher; teacher portfolio	No	Varies across schools depending on school internal regulations and may include a professional development plan	No	Varies across schools depending on school internal regulations and may include a pay allowance provided for good performance (e.g. annually for activities with the class)	Varies across schools depending on school internal regulations and may include support for post-graduate study, extra opportunities for professional development, public recognition	Varies across schools depending on school internal regulations and may include salary increment withheld; further appraisal; compulsory training; permanent contract not granted	CZECH REPUBLIC
Teacher portfolio	No	Yes, it systematically results in a professional development plan, if connected with a certain professional status (e.g. pedagogical advisor)	Yes, appraisal results influence the speed at which a teacher progresses in the career structure	Yes, a pay allowance is provided for good performance (e.g. annually depending on activities with the class)	Support for post-graduate study; extra opportunities for professional development (non-mandatory)	Salary increment withheld; permanent contract not granted	
a	a	a	a	a	a	a	DENMARK
Evaluation of documents provided as part of teacher self-appraisal; judgement of the teacher's work by school leaders	No	No	Yes	Yes	Public recognition	Further appraisal	ESTONIA
Objective setting and interview/dialogue with the teacher; teacher self-appraisal		Yes, for all teachers	a	Yes, a pay allowance is provided for good performance	Every teacher has individual development plan; development plan is drawn in co-operation with school leader (principal) and teacher; basis for development plan is drawn in the contract between the local government employer and the teacher trade union		FINLAND
Classroom observation; dialogue with the teacher; teacher self-appraisal (preparatory questionnaire); evaluation of documents provided by the teacher and students	Yes (ISCED level 1: range of scores and descriptive ratings depending on the authority [e.g. poor; fair], ISCED levels 2 and 3: range of scores)	Yes, it is expected to influence professional development activities	Yes, appraisal results influence the speed at which a teacher progresses in the career structure and salary scale	Yes (to the extent that it allows the teacher to progress on the career structure and salary scale)	Horizontal or vertical promotion	Further appraisal; permanent contract not granted; deferral of promotion	FRANCE

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

2. Czech Republic: The policy framework is specified through the Act on Pedagogical Employees.

3. France: (1) Civil servants in public schools and salaried employees in private schools: annually by school directors (ISCED levels 2 and 3) and at irregular intervals by inspectors (on average every 3-4 years at ISCED level 1 and every 6-7 years at ISCED levels 2 and 3). (2) Salaried employees with a permanent contract: every 3 years.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (7/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
GERMANY (Baden-Wurt)	Completion of probation; performance management	All teachers; teachers who are older than 50 are only appraised if they want to be	Mandatory periodic; every 5 years; before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract)	State authority	School inspector; school leader	Regional/local teaching standards; a description of professional duties of teachers (e.g. job description)	Planning and preparation; instruction; classroom environment; completion of professional development; contribution to school development; links to the community
GERMANY (Bavaria)	Completion of probation; performance management; scheme for rewarding excellence	Permanent teachers	Mandatory periodic; every 4 years; before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); other: in special circumstances	State authority	School board; school leader	Central teaching standards; regional/ local teaching standards; a description of professional duties of teachers (e.g. job description); teacher professional goals	Planning and preparation; instruction; completion of professional development; contribution to school development; links to the community
GERMANY (Berlin)	Appraisals are carried out in accordance with the "implementation provisions for civil servants in the school and the school supervision service"	All teachers	Mandatory periodic; every 5 years; before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); voluntary; other: 1) periodically every 5 years (as from the age of 50 appraisals may be forgone in agreement with the teacher to be appraised); 2) before the termination of the provisional civil service status; 3) for managerial positions under provisional civil service status (§ 97 Land Civil Service Act); 4) in case of transfer; 5) at the teacher's request	State authority; teachers unions	School leader	A description of professional duties of teachers (e.g. job description)	Planning and preparation; instruction; completion of professional development; contribution to school development; other: diagnosis and performance assessment; education; social, advisory and intercultural competencies; participation in school-related processes
GERMANY (Brandenburg)	Completion of probation; performance management	All teachers; teachers on probation	Before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); voluntary; other: teacher appraisals are conducted before decisions on employment status, e.g. when teachers apply for sabbatical leave, promotion, career change or in the case of complaints about the teacher	State authority	School inspector; school leader	Central teaching standards; regional/ local teaching standards; a description of professional duties of teachers (e.g. job description); school development plan; school internal regulations; teacher professional goals	Planning and preparation; instruction; completion of professional development; contribution to school development; links to the community

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

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Table A.1 (8/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Classroom observation; teacher testing		No	Yes, appraisal determines promotion; yes, appraisal influences the speed at which teachers progress	No	Extra opportunities for in-service professional development; changes in work responsibilities		**GERMANY (Baden-WurT)**
Classroom observation; objective setting and interview/ dialogue with the teacher; teacher testing		Yes, for all teachers	Yes, appraisal determines promotion; yes, appraisal influences the speed at which teachers progress	Yes, a pay allowance is provided for good performance	Extra opportunities for in-service professional development; changes in work responsibilities		**GERMANY (Bavaria)**
Classroom observation		Yes, for teachers identified as underperforming only	Yes, appraisal determines promotion	No	Changes in work responsibilities		**GERMANY (Berlin)**
Classroom observation; objective setting and interview/ dialogue with the teacher; other sources of information are: reviewing the written exams of students that were developed and assessed by the teacher; considering the performance in additional positions in the school body/ hierarchy as well as considering the findings concerning performance in other service-related activities		Yes, for all teachers	Yes, appraisal determines promotion; yes, appraisal influences the speed at which teachers progress	No	Extra opportunities for in-service professional development; changes in work responsibilities; other: in case of inadequate performance, teachers can be asked to do a compulsory training; in addition, a warning or even termination of employment can be issued		**GERMANY (Brandenburg)**

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

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Table A.1 (9/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
GERMANY (Bremen)	Completion of probation; appraisals for promotion and regular appraisals according to defined intervals (the latter are not conducted at present; feedback procedures and peer reviews are carried out within the context of quality management in schools; these are not used for official appraisals but for professional development	All teachers	Before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); as the result of a complaint; appraisal intervals depend on the teacher's status (employee or civil servant) civil servant	State authority	School leader; other: the school supervisory board is involved in these processes, if necessary	Regional/local teaching standards	Planning and preparation; instruction; completion of professional development; contribution to school development; links to the community
GERMANY (Hamburg)	Completion of probation; periodic appraisals, which are conducted every 4 years; an appraisal interview is required one year before the appraisal is conducted; appraisals conducted for specific reasons (completion of probation; beginning of a civil service career; transfer to other workplaces that will last more than 12 months; change of assessor; job application; beginning of leave that will last more than 12 months [e.g. sabbatical or maternity leave])	All teachers; permanent teachers; teachers on fixed-term contracts; teachers on probation; specific appraisal procedure for teachers on probation that is based on the regular appraisal system	Mandatory periodic; every 4 years; before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); other	State authority; teachers' unions	School leader; other: members of the school executive board, defined by Hamburg's School of Law § 96 (Abteilungsleitung, stellvertretende Schulleitung), are responsible for the first appraisal; the head of the school has to conduct a second appraisal	Central teaching standards; a description of professional duties of teachers (e.g. job description); schools have to guarantee that their school development plans and internal regulations as well as their teachers' professional goals are considered in every appraisal	Planning and preparation; instruction; classroom environment; completion of professional development; contribution to school development; links to the community; other: categories and criteria are: a) class/education activities (performance; professional competence; teamwork and communication); b) activities beyond class/contribution to school development; assessor also has to determine whether appraised teacher has potentials that aren't used yet but can be used for school development or management duties
GERMANY (Hessen)	Completion of probation; teacher peer review	All teachers	Before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract)	State authority; regional/provincial authority	School inspector; School leader	Central teaching standards; regional/local teaching standards; a description of professional duties of teachers (e.g. job description); school development plan; school internal regulations; teacher professional goals	Planning and preparation; instruction; classroom environment; completion of professional development; contribution to school development; links to the community

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

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Table A.1 (10/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Classroom observation; objective setting and interview/ dialogue with the teacher		Yes, for teachers identified as underperforming only	Yes, appraisal determines promotion; yes, appraisal influences the speed at which teachers progress	No	a		**GERMANY (Bremen)**
Classroom observation; student results; every school is responsible for defining sources; sources can be: consideration of class books; annual scheduling and planning of instruction; participation in school working groups or conferences; school activities (e.g. concerts, contests, school celebrations)		Yes, for all teachers	Yes, appraisal determines promotion	No	Extra opportunities for in-service professional development; changes in work responsibilities; other: every significant appraisal is supposed to be the basis of the teacher's individual development		**GERMANY (Hamburg)**
Classroom observation; objective setting and interview/ dialogue with the teacher; peer review/ consultation		Yes, for all teachers	Yes, appraisal determines promotion; yes, appraisal influences the speed at which teachers progress	No	Extra opportunities for in-service professional development; changes in work responsibilities		**GERMANY (Hessen)**

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

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Table A.1 (11/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
GERMANY (Mecklenburg-W Pomerania)	Completion of probation; performance management	Permanent teachers; teachers on probation	Before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); as the result of a complaint; voluntary; other: to establish the successful completion of a probationary period following promotion to a higher pay scale or to a managerial position within schools	State authority	School leader	Regional/local teaching standards	Planning and preparation; instruction; contribution to school development; links to the community
GERMANY (Lower Saxony)	Completion of probation	All teachers; depending on the appraisal's occasion (e.g. end of probation, application for a higher position, application for a teaching position abroad, before taking on new responsibilities, in case of significant doubts about the qualification, ability and professional performance)	Before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); as a focus on teachers new to the profession; as the result of a complaint; other	State authority; regional/provincial authority; teachers' unions	School inspector; school leader; other: if necessary, expert advisors or trained moderators can be consulted	Regional/local teaching standards; a description of professional duties of teachers (e.g. job description)	Planning and preparation; classroom environment; completion of professional development; contribution to school development; links to the community; other: general skills and knowledge as well as professional skills with regard to the job requirements
GERMANY (N. Rhine-Westphalia)	Completion of probation	Permanent teachers	Before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); as a focus on teachers new to the profession; voluntary	State authority	School inspector; school leader	Regional/local teaching standards; a description of professional duties of teachers (e.g. job description); teacher professional goals	Planning and preparation; instruction; classroom environment; completion of professional development; contribution to school development; links to the community
GERMANY (Rhineland-Palatinate)	Completion of probation; teacher registration or certification	All teachers	Before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); as a focus on teachers new to the profession; as the result of a complaint; voluntary	State authority; intermediate agency (e.g. school inspectorate)	School leader; other: school supervision	Regional/local teaching standards	Planning and preparation; instruction; classroom environment; completion of professional development; contribution to school development; links to the community
GERMANY (Saarland)	Completion of probation; performance management	All teachers; teachers on probation	Mandatory periodic; every 5 years; before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); other	State authority	School inspector; school leader	Central teaching standards; regional/local teaching standards; a description of professional duties of teachers (e.g. job description); school development plan; school internal regulations; teacher professional goals	Planning and preparation; instruction; classroom environment; completion of professional development; contribution to school development; links to the community

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

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Table A.1 (12/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Classroom observation; objective setting and interview/ dialogue with the teacher; student results		Yes, for teachers identified as underperforming only	Yes, appraisal determines promotion	No	Public recognition/ award; changes in work responsibilities		**GERMANY (Mecklenburg-W Pomerania)**
Classroom observation; objective setting and interview/ dialogue with the teacher		Yes, for all teachers	Yes, appraisal determines promotion	Yes, appraisal affects the base salary	Extra opportunities for in-service professional development; public recognition/award; changes in work responsibilities		**GERMANY (Lower Saxony)**
Classroom observation; objective setting and interview/ dialogue with the teacher; teacher testing		Yes, for all teachers	Yes, appraisal determines promotion; yes, appraisal influences the speed at which teachers progress	No	Extra opportunities for in-service professional development		**GERMANY (N. Rhine-Westphalia)**
Classroom observation; objective setting and interview/ dialogue with the teacher; teacher testing		Yes, for all teachers	Yes, appraisal determines promotion	No	Extra opportunities for in-service professional development; changes in work responsibilities		**GERMANY (Rhineland-Palatinate)**
Classroom observation; objective setting and interview/ dialogue with the teacher		Yes, for all teachers	Yes, appraisal determines promotion; yes, appraisal influences the speed at which teachers progress	No	Extra opportunities for in-service professional development; changes in work responsibilities		**GERMANY (Saarland)**

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

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Table A.1 (13/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
GERMANY (Saxony)	Completion of probation; performance management	All teachers; teachers on probation	Before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); voluntary	State authority	School leader	Central teaching standards; regional/ local teaching standards; a description of professional duties of teachers (e.g. job description); school development plan; school internal regulations; teacher professional goals	Planning and preparation; instruction; classroom environment; completion of professional development; links to the community
GERMANY (Saxony -Anhalt)	Completion of probation; performance management	All teachers; teachers on probation	Before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); as a focus on teachers new to the profession; voluntary	State authority	School inspector; school leader	Central teaching standards; regional/ local teaching standards; a description of professional duties of teachers (e.g. job description); school development plan; school internal regulations; teacher professional goals	Planning and preparation; instruction; completion of professional development; contribution to school development; links to the community
GERMANY (Schleswig-Holstein)	Completion of probation	Teachers on probation	Before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract)	State authority	School inspector; school leader	Regional/local teaching standards; a description of professional duties of teachers (e.g. job description)	Planning and preparation; instruction; completion of professional development; contribution to school development
GERMANY (Thuringia)	Completion of probation; performance management	All teachers; teachers on probation; teachers who are older than 55 are only appraised if they want to be	Mandatory periodic; every 4 years; before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); voluntary	State authority	School inspector; school leader	Central teaching standards; regional/ local teaching standards; a description of professional duties of teachers (e.g. job description); school development plan; school internal regulations; teacher professional goals	Planning and preparation; instruction; completion of professional development; contribution to school development; links to the community
HUNGARY	Regular appraisal	All teachers	Mandatory periodic (every 2 years)	Central education authority or government; schools[4]	School principal; evaluators specified in the Quality Assurance Programme of the school	School internal regulations	Varies across schools depending on school internal regulations, but typically a wide variety of aspects
ICELAND	None	a	a	a	a	a	a
IRELAND	Registration	All teachers in state-recognised primary and post-primary schools	m	m	m	m	m

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

4. Hungary: The Law on Public Employees *(1992. évi XXXIII törvény, 40§)* requires schools to define appraisal procedures.

5. Hungary: According to the general advancement scheme for public employees.

6. Hungary: According to the general advancement scheme for public employees. School leaders have a modest per capita monthly sum to reward teachers' performance. School leaders decide on its distribution among teachers normally for 1 year. There is no quota, but funds are limited.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (14/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Classroom observation; objective setting and interview/ dialogue with the teacher		Yes, for all teachers	Yes, appraisal determines promotion; yes, appraisal influences the speed at which teachers progress	No	Extra opportunities for in-service professional development; changes in work responsibilities		**GERMANY (Saxony)**
Classroom observation; objective setting and interview/ dialogue with the teacher		Yes, for all teachers	Yes, appraisal determines promotion; yes, appraisal influences the speed at which teachers progress	No	Extra opportunities for in-service professional development; changes in work responsibilities		**GERMANY (Saxony -Anhalt)**
Classroom observation; objective setting and interview/ dialogue with the teacher; student results		No	Yes, appraisal determines promotion	No	Extra opportunities for in-service professional development; changes in work responsibilities		**GERMANY (Schleswig-Holstein)**
Classroom observation; objective setting and interview/ dialogue with the teacher; teacher portfolio; portfolios can be used as well (optional)		Yes, for all teachers	Yes, appraisal determines promotion; yes, appraisal influences the speed at which teachers progress	No	Extra opportunities for in-service professional development; changes in work responsibilities		**GERMANY (Thuringia)**
Teacher self-appraisal; judgement by the school principal	No	Varies across schools depending on school internal regulations, but typically yes	Yes, appraisal results influence the speed at which a teacher progresses in the career structure and salary scale[5]	Yes, appraisal results affect the base salary[6]	Varies across schools depending on school internal regulations	Varies across schools depending on school internal regulations and decision by school principal as employer-related responsibility	**HUNGARY**
a	a	a	a	a	a	a	**ICELAND**
m	m	m	m	m	m	m	**IRELAND**

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

4. Hungary: The Law on Public Employees *(1992. évi XXXIII törvény, 40§)* requires schools to define appraisal procedures.

5. Hungary: According to the general advancement scheme for public employees.

6. Hungary: According to the general advancement scheme for public employees. School leaders have a modest per capita monthly sum to reward teachers' performance. School leaders decide on its distribution among teachers normally for 1 year. There is no quota, but funds are limited.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (15/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
ISRAEL	Regular appraisal	All teachers[7]	Mandatory periodic (every 3 years)	Central education authority	School principal	National teaching standards	Planning and preparation; instruction; classroom environment; professional development; contribution to school development; links to the community
	Appraisal for promotion	Permanent teachers in public and government-dependent private schools only (senior level only)7	In relation to decision on employment status	Central education authority	School principal	National teaching standards	Planning and preparation; instruction; classroom environment; professional development; contribution to school development; links to the community
ITALY	None	a	a	a	a	a	a
JAPAN	Performance management; scheme for rewarding excellence	Permanent teachers	Mandatory periodic	School board	School board; school leader	Central teaching standards; regional/ local teaching standards; a description of professional duties of teachers (e.g. job description)	Planning and preparation; instruction; classroom environment; contribution to school development; links to the community; other
KOREA	Regular appraisal for professional development	All teachers (for professional development)	Mandatory periodic (annually)	Central education authority	Peer evaluators at the same school	A description of the general and professional duties of teachers	Planning and preparation; instruction; classroom environment; student guidance
	Regular appraisal for promotion	Teachers in public schools only (for performance management/ promotion)	Mandatory periodic (annually)	Central education authority	School principal; peer evaluator at the same school	A description of the general and professional duties of teachers	Planning and preparation; instruction; classroom environment; professional development; links to the community; student guidance
LUXEMBOURG	Appraisal for transfer to another school	All teachers at ISCED level 1 only[8]	In relation to decision on employment status (teacher's request to change school)	Central education authority	Inspector	A description of the general and professional duties of teachers (e.g. job description)	Planning and preparation; instruction; classroom environment

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

7. Israel: Teacher appraisal in Israel has only been introduced recently and at this stage concerns ISCED level 1 and part of ISCED level 2 only. The central policy framework for teacher appraisal for performance management does not apply to ultra-orthodox religious schools.

8. Luxembourg: For further information, see *www.men.public.lu/legislation/lois_rgd_recents/090326_rgd_concours_instituteurs.pdf.*

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (16/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Classroom observation; dialogue with the teacher; teacher self-appraisal; teacher portfolio	Yes (5 levels)	Yes, it is expected to influence professional development activities	No	No	None (under discussion)	Further appraisal; deferral of promotion	ISRAEL
Classroom observation; dialogue with the teacher; teacher self-appraisal; teacher portfolio	Yes (5 levels)	Yes, it is expected to influence professional development activities	Yes, appraisal results influence decisions about promotion	No	None (under discussion)	Further appraisal; deferral of promotion; salary increment withheld	
a	a	a	a	a	a	a	ITALY
Objective setting and interview/dialogue with the teacher; teacher self-appraisal		Yes, for all teachers	Yes, appraisal determines promotion; yes, appraisal influences the speed at which teachers progress	Yes, appraisal affects the base salary; yes, a pay allowance is provided for good performance	Changes in work responsibilities; other		JAPAN
Classroom observation; student surveys; parent surveys	Yes (5 levels)	Yes, it systematically results in a professional development plan	No	No	Sabbatical periods; extra opportunities for professional development	Compulsory training	KOREA
Observation of performance	Yes (4 levels)	No	Yes, appraisal results influence the decision about promotion	No	None	None	
Dialogue with the teacher; classroom observation	Yes (2 levels: pass; fail)	No	No	No	None	Further appraisal	LUXEMBOURG

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

7. Israel: Teacher appraisal in Israel has only been introduced recently and at this stage concerns ISCED level 1 and part of ISCED level 2 only. The central policy framework for teacher appraisal for performance management does not apply to ultra-orthodox religious schools.

8. Luxembourg: For further information, see *www.men.public.lu/legislation/lois_rgd_recents/090326_rgd_concours_instituteurs.pdf*.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (17/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
MEXICO	Regular appraisal as part of performance management [SLED][9]	Teachers at ISCED level 3, public central level schools only[10]	Mandatory periodic (annually)	Central education authority or government	Peer evaluator at the same school	A description of the general and professional duties of teachers; school development plan or school project	Planning and preparation; professional development; contribution to school development
	Universal appraisal system for diagnosis and professional development[12]	All teachers at ISCED levels 1 and 2	Mandatory periodic (annual)	Central education authority	Central education authority	A description of the general and professional duties of teachers; code of conduct	Planning and preparation; professional development; knowledge of subject
	National Exam of Teaching Knowledge and Skills for entry to the profession	All teachers in public schools (on permanent and fixed-term contracts)[13]	Voluntary in relation to decision on employment status (e.g. renewal of contract, conversion or awarding of a permanent contract)	Central education authority; state education authorities or governments; teacher professional organisation (Independent Federalist Evaluation Unit [OEIF])[14]	Central education authority or government	A description of the general and professional duties of teachers; code of conduct	Instruction; planning and preparation; specific intellectual abilities; regulations; management and teaching ethics[15]
	National Continuous Training Exams for In-service Teachers (ENAMS) for diagnosis of teacher competencies[16]	Teachers in public schools only	Voluntary (once per year)	Central education authority	Central education authority; external accredited evaluator (National Assessment Centre for Higher Education [CENEVAL]);[17] school board	None	ISCED level 1: pedagogical knowledge related to the competency-based curriculum and the Comprehensive Reform of Basic Education (RIEB)[18] ISCED levels 1, 2 and 3: subject area knowledge in line with the teacher's educational level; service and position
NETHERLANDS	Regular appraisal	All teachers	Mandatory periodic (ISCED level 1: every 4 years; ISCED levels 2 and 3: every 3 years)[21]	Central employer (National Council of School Boards); school organising bodies (competent authorities)[22]	School principal representing school organising body (competent authority)	National teaching standards	Organisational; pedagogical and subject matter competences; interpersonal competences; teamwork; links to the community; professional development

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

9. Mexico: *Sistema en Línea para la Evaluación Docente.*

10. Mexico: Schemes for the performance management of teachers in schools at ISCED level 3 managed by state education authorities or autonomous agencies are not reflected in the information provided.

11. Mexico: Teachers receive the results of their appraisal in writing (e.g. published online).

12. Mexico: The Universal Evaluation System *(Evaluación Universal de Docentes)* is being gradually implemented as of 2012, initially covering primary education. It is intended that lower secondary education will be covered in 2013, while pre-primary and special education will be considered in 2014. Private schools will also be covered.

13. Mexico: Teachers can take the examination to apply for a permanent post or to obtain an additional permanent post (permanent posts in Mexico can be defined on an hourly basis and are typically associated with half-day duties).

14. Mexico: *Órgano de Evaluación Independiente con carácter federalista.*

15. Mexico: These aspects are defined through the National Exam of Teaching Knowledge and Skills. In some cases, additional aspects are tested.

16. Mexico: *Exámenes Nacionales de Actualización para Maestros en Servicio.*

17. Mexico: *Centro Nacional de Evaluación para la Educación Superior.*

18. Mexico: *Reforma Integral de la Educación Básica.*

19. Mexico: The ENAMS includes 15 standardised multiple-choice tests depending on the teaching area. The number of tests varies depending on national educational priorities.

20. Mexico: Teachers know their test scores as performance feedback. The score may be used in the National Teaching Career Programme (*Programa Nacional de Carrera Magisterial* [PNCM]), see Table A.3.

21. Netherlands: As convened in the terms of employment, made up by central employers in primary education (CAO-PO 9.5.4) or secondary education (CAO-VO 16.2.4).

22. Netherlands: There are central regulations that act as a framework. Within this framework, the school organising bodies (competent authorities) are responsible. The National Council of School Boards acts as a central employer and is in charge of setting the terms of employment.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (18/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Teacher self-appraisal; student surveys; classroom observation by peer evaluator at the same school	No[11]	Yes, it systematically results in a professional development plan	Yes, appraisal results influence decision about access to a permanent position	No	None	Permanent contract not granted	MEXICO
Teacher testing; student outcomes (standardised assessment results)	No	Yes, it systematically results in a professional development plan	No	No	None	None	MEXICO
Teacher testing	Yes (2 levels: acceptable; not acceptable)	No	Yes, appraisal results influence decision about access to a permanent position	No	None	Permanent contract not granted	MEXICO
Teacher testing[19]	No[20]	Yes, it systematically results in a professional development plan	Yes, appraisal results influence decisions about promotion	No	None	None	MEXICO
Extensive descriptions of competencies	Varies across schools depending on school internal regulations	Yes, it is expected to result in a professional development plan	Varies across schools depending on school internal regulations	Varies across schools depending on school internal regulations	Changes in work responsibilities; extra opportunities for in-service professional development	Varies across schools depending on school internal regulations	NETHERLANDS

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

9. Mexico: *Sistema en Línea para la Evaluación Docente.*

10. Mexico: Schemes for the performance management of teachers in schools at ISCED level 3 managed by state education authorities or autonomous agencies are not reflected in the information provided.

11. Mexico: Teachers receive the results of their appraisal in writing (e.g. published online).

12. Mexico: The Universal Evaluation System *(Evaluación Universal de Docentes)* is being gradually implemented as of 2012, initially covering primary education. It is intended that lower secondary education will be covered in 2013, while pre-primary and special education will be considered in 2014. Private schools will also be covered.

13. Mexico: Teachers can take the examination to apply for a permanent post or to obtain an additional permanent post (permanent posts in Mexico can be defined on an hourly basis and are typically associated with half-day duties).

14. Mexico: *Órgano de Evaluación Independiente con carácter federalista.*

15. Mexico: These aspects are defined through the National Exam of Teaching Knowledge and Skills. In some cases, additional aspects are tested.

16. Mexico: *Exámenes Nacionales de Actualización para Maestros en Servicio.*

17. Mexico: *Centro Nacional de Evaluación para la Educación Superior.*

18. Mexico: *Reforma Integral de la Educación Básica.*

19. Mexico: The ENAMS includes 15 standardised multiple-choice tests depending on the teaching area. The number of tests varies depending on national educational priorities.

20. Mexico: Teachers know their test scores as performance feedback. The score may be used in the National Teaching Career Programme (*Programa Nacional de Carrera Magisterial* [PNCM]), see Table A.3.

21. Netherlands: As convened in the terms of employment, made up by central employers in primary education (CAO-PO 9.5.4) or secondary education (CAO-VO 16.2.4).

22. Netherlands: There are central regulations that act as a framework. Within this framework, the school organising bodies (competent authorities) are responsible. The National Council of School Boards acts as a central employer and is in charge of setting the terms of employment.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (19/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
NEW ZEALAND	Regular appraisal	All registered teachers	Mandatory periodic (annual)	Central education authority or government	Member of school leadership team; peer evaluator from the same school	National Registration Standards	Planning and preparation; instruction; classroom environment; professional development; links to the community; values; professional leadership; responsiveness to diverse linguistic and cultural backgrounds; analysis and use of assessment information; critical inquiry and problem solving
	Registration	All provisionally registered teachers	Mandatory non-periodic (once, at the end of the conclusion of registration period)	Central education authority or government (the New Zealand Teachers Council is responsible for registering teachers as competent for practice)	Member of school leadership team	National Registration Standards	Planning and preparation; instruction; classroom environment; professional development; links to the community; professional relationships and values; professional leadership; responsiveness to diverse linguistic and cultural backgrounds; analysis and use of assessment information; critical inquiry and problem solving
NORWAY	None	a	a	a	a	a	a
POLAND	Regular appraisal	Teachers in public schools only	Mandatory periodic (annual)	School principal; school board or committee	School principal	A description of the general and professional duties of teachers (as stated in laws and regulations)	Planning and preparation; instruction; classroom environment; professional development; contribution to school development; links to the community
	To follow up requests for appraisal by education authorities or stakeholders	All teachers	At the discretion of local education authorities, regional education authorities (education superintendents), the school board, a teacher; the parents' council	Central education authority or government (general framework set by law)	School principal	A description of the general and professional duties of teachers (as stated in laws and regulations)	Planning and preparation; instruction; classroom environment; professional development; contribution to school development; links to the community
	Appraisal for career advancement/ promotion[24]	Teachers in public schools only[24]	Voluntary	Central education authority or government (general framework set by law)	School principal	Developmental plan agreed with the school director	Different aspects of professional performance; subject-area and didactic knowledge

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

23. New Zealand: In some cases, information may also be gathered through student surveys and parent surveys.

24. Poland: Teachers wishing to advance on the career ladder take part in this appraisal process.

25. Poland: Professional development is typically part of the developmental plan.

26. Poland: A positive appraisal result is a precondition for career advancement.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (20/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Classroom observation; teacher self-appraisal; dialogue with the teacher[23]	No	Yes, it is expected to influence professional development activities	Yes, appraisal results can influence decision about promotion and the speed at which a teacher progresses on the salary scale	Yes (to the extent that it allows the teacher to progress on the salary scale)	None	Salary increment withheld; further appraisal; professional development; dismissal; suspension	NEW ZEALAND
Classroom observation; teacher self-appraisal; dialogue with the teacher	Yes (2 levels: pass; fail)	Yes, it is expected to influence professional development activities	Yes, appraisal results influence decisions about progression to registered teacher status	Yes (to the extent that it allows the teacher to progress on the salary scale)	None	Failure to progress to registered teacher status	
a	a	a	a	a	a	a	NORWAY
Classroom observations; may also include teacher self-appraisal and peer evaluation	No	Varies across schools, at the discretion of the school director and school board or committee, but may inform professional development	No	Varies across schools, at the discretion of the school director and school board or committee, but may influence the salary	None	None	POLAND
Classroom observation; evaluation of documents; formal opinions of senior teachers and student council	Yes (descriptive rating with 3 levels: excellent; good; negative)	Varies across schools, at the discretion of evaluator, but may inform professional development	No	Varies across schools, at the discretion of evaluator, but may influence the salary	None	Dismissal	
Evaluation of documents (e.g. teacher portfolio); opinion of the parents' council	Yes (2 levels: positive; negative)	No[25]	Yes, appraisal results influence decisions about promotion[26]	Yes, to the extent that it allows the teacher to progress on the salary scale	None	Negative rating delays career advancement	

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

23. New Zealand: In some cases, information may also be gathered through student surveys and parent surveys.

24. Poland: Teachers wishing to advance on the career ladder take part in this appraisal process.

25. Poland: Professional development is typically part of the developmental plan.

26. Poland: A positive appraisal result is a precondition for career advancement.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (21/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
PORTUGAL	Regular appraisal	All teachers in public schools	Mandatory periodic (every 4 years for permanent teachers) There are 2 components: internal and external appraisal; external appraisal is mandatory only in specific cases (to obtain top rating; at 2 specific career stages; for teachers previously rated «Insufficient»)	Central education authority; schools	Internal appraisal: teachers from the same school; collegiate body within the school (chaired by principal) External appraisal: trained teachers from other schools	School development plan; evaluation parameters established by each school; national evaluation parameters for classroom observation only	Internal appraisal: scientific-pedagogical aspects; participation in school activities and links to the community; professional development External appraisal: instruction
SINGAPORE	Performance management	Permanent teachers	Annual; before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract)	Central authority	School inspector; school leader; other teachers	A description of professional duties of teachers (e.g. job description); school development plan; teacher professional goals	Planning and preparation; instruction; classroom environment; completion of professional development; contribution to school development; links to the community; other: leadership and specialist potential
SLOVAK REPUBLIC	Regular appraisal	All teachers	Mandatory periodic (annual)	Central education authority (through the Act on Pedagogical Employees); school principals	School principals	Personal development plan; teacher professional standards	Planning and preparation; instruction; student outcomes; classroom environment; professional development, contribution to school development, links to parents and advisory institutions
SLOVENIA	Regular appraisal	All teachers	Mandatory periodic (annual)	Central education authority; school principals	School principal	School development plan; national regulations on promotion	Planning and preparation; instruction; classroom environment; professional development; links to the community; contribution to school development
SPAIN	None	a	a	a	a	a	a

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

27. Slovak Republic: For the rating of teachers, some schools use a descriptive appraisal, some use their own assessment rating scale (excellent, good, satisfactory), or they can use the performance scale recommended by the Ministry (exceptional, very good, standard, partially satisfactory, unsatisfactory).

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (22/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Internal appraisal: teacher project (optional); self-appraisal; overall appraisal form used by internal evaluator External appraisal: classroom observation	Yes (5 levels; there is a national quota system for the two top levels)	Yes, it is expected to influence professional development activities (it systematically results in a professional development plan for teachers rated "Insufficient")	Permanent teachers: appraisal results influence the speed of career progression Non-permanent teachers: appraisal results influence decisions about access to a permanent position and contract renewal	Yes (to the extent that it allows the teacher to progress on the salary scale)	Permanent teachers: extra opportunities for professional development Non-permanent teachers: none	Permanent teachers: salary increment withheld; further appraisal; compulsory training Non-permanent teachers: permanent contract not granted	**PORTUGAL**
Classroom observation; objective setting and interview/ dialogue with the teacher; teacher self-appraisal; teacher portfolio; student results; peer review/ consultation		Yes, for all teachers	Yes, appraisal determines promotion; yes, appraisal influences the speed at which teachers progress	Yes, appraisal affects the base salary; yes, a pay allowance is provided for good performance	Sabbatical periods; opportunities for school-based research; support for post-graduate study; extra opportunities for in-service professional development; public recognition/award; changes in work responsibilities		**SINGAPORE**
Classroom observation; dialogue with the teacher surveys; teacher portfolio	Yes[27]	Varies across schools; may inform professional development plans	Varies across schools; may influence career advancement at both vertical and horizontal levels	Varies across schools; may influence salary raises	None	Deferral of promotion/career advancement	**SLOVAK REPUBLIC**
Classroom observation; dialogue with the teacher; teacher portfolio	Yes (5 levels)	Yes, it is expected to influence professional development activities	Yes, appraisal results influence decisions about promotion and the speed at which a teacher progresses in the career structure	Yes (to the extent that it allows the teacher to progress on the salary scale)	None	Further appraisal	**SLOVENIA**
a	a	a	a	a	a	a	**SPAIN**

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

27. Slovak Republic: For the rating of teachers, some schools use a descriptive appraisal, some use their own assessment rating scale (excellent, good, satisfactory), or they can use the performance scale recommended by the Ministry (exceptional, very good, standard, partially satisfactory, unsatisfactory).

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (23/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
SWEDEN	Registration	All teachers[28]	Mandatory non-periodic (once at the end of the introduction period); in relation to decision on employment status; at the discretion of the school principal; by decision of the Swedish National Agency for Education	Government and central agency (National Agency for Education)	Central agency (National Agency for Education)	National teaching standards	m
UNITED KINGDOM (England)	Completion of probation; performance management; teachers in the "maintained" sector are required to hold "Qualified Teacher Status" and to have completed a period of induction (independently quality assured) at the start of their careers; once induction is completed successfully, teachers in maintained schools must have their performance appraised annually	Permanent teachers; teachers on fixed-term contracts; teachers in irregular employment; substitute teachers; teachers on probation; appraisal regulations apply to teachers in maintained schools and to those directly employed by local authorities; there are some exemptions from the appraisal regulations: teachers who are employed for less than a month, those who are in a period of induction (for whom separate arrangements apply), and those who are being managed under "capability" proceedings	Mandatory periodic (annual); before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); as a focus on teachers new to the profession; except in the case of teachers new to the profession there is no requirement for appraisal before decisions on employment status are made; some head teachers observe teachers in the classroom as part of their recruitment process; before "promotion" to certain pay grades, there must be assessment against higher-level standards; for those new to the profession a statutory period of induction (usually their first three terms of teaching) must be served	Central authority; local authority; school board; school leader; the central government sets a mandatory framework for maintained schools, within which schools have some flexibility to design their own arrangements; the school's governing body (school board) is responsible for agreeing the policy but the head teacher is usually involved in drafting it; local authorities set arrangements for the teachers they employ who are not attached to a particular school	School board; other teachers; school governors appraise the quality of the head teacher's performance with the help of an adviser; head teachers and teachers appraise individuals' teaching; an independent body assures quality of teacher induction and makes the final decision as to whether or not a teacher's performance is satisfactory, drawing on the recommendation of the head teacher/principal; school inspectors from the independent national schools inspectorate also judge the quality of teaching, but this is separate from the appraisal process	Central teaching standards; a description of professional duties of teachers (e.g. job description); teacher professional goals; all teachers in maintained schools must have their performance of their role and responsibilities assessed against: a) national standards and b) objectives that are set locally	Planning and preparation; instruction; classroom environment; completion of professional development; contribution to school development; links to the community; other: depending on what is in teachers' locally set objectives; teachers' performance is also assessed against national standards
UNITED KINGDOM (Northern Ireland)	Regular appraisal (Performance Review and Staff Development Scheme-PRSD)	All teachers	Mandatory periodic (annual under the PRSD Scheme)	The Teachers' Negotiating Committee (employing authorities, department and teachers' unions)	School principal or a teacher reviewer designated by the school principal	Performance Review and Staff Development Scheme (PRSD)	Three personal/shared objectives are set covering the areas of: professional practice; pupil and curriculum development; and personal and professional development

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

28. Sweden: This appraisal scheme for the registration of teachers came into force on 1 July 2011 as part of the new Education Act. The registration system requires novice teachers to complete an introduction year at a school during which they are supported by a mentor. Upon completion of the introduction year, the school leader is required to assess the teacher as suitable for the profession for the teacher to be registered. The registration is based on the teacher's examination results, a remark by the teacher's principal, and where relevant on additional courses undertaken.

29. Sweden: School directors and school organising bodies may decide on professional development for teachers building upon the registration process (e.g. in new subject areas).

30. Sweden: The central government is planning the development of a multilevel career structure.

31. Sweden: School organising bodies may take additional measures in the case of underperformance.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

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Table A.1 (24/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Judgement of the school principal	No	No[29]	Yes, appraisal results influence decisions about progression to registered teacher status[30]	No	None	Failure to progress to registered teacher status; withdrawal of registered teacher status through a special board[31]	**SWEDEN**
Classroom observation; objective setting and interview/dialogue with the teacher (required); teacher portfolio; student results; schools may use others, including classroom observation and student results; teachers are encouraged to reflect on their own performance/practice		Yes, for all teachers	Yes, appraisal influences the speed at which teachers progress	Yes, appraisal affects the base salary	Opportunities for school-based research; extra opportunities for in-service professional development; changes in work responsibilities; other: schools may determine the outcomes, depending on their policy and in line with legal requirements		**UNITED Kingdom (England)**
Classroom observation; task observation; review discussion	No, a review statement is prepared	Yes, the PRSD scheme helps to identify the professional needs and necessary resources to support teachers in their professional development	The PRSD scheme helps to identify the professional needs and necessary resources to support teachers in their career progression	The PRSD Review Statement is part of the body of evidence used to inform decisions on pay progression	None	There is an informal stage where a programme of support and development is provided; this may be followed by a formal stage which includes the issue of formal written notice, a targeted support programme and ultimately dismissal if a satisfactory standard of work is not achieved	**UNITED KINGDOM (Northern Ireland)**

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

28. Sweden: This appraisal scheme for the registration of teachers came into force on 1 July 2011 as part of the new Education Act. The registration system requires novice teachers to complete an introduction year at a school during which they are supported by a mentor. Upon completion of the introduction year, the school leader is required to assess the teacher as suitable for the profession for the teacher to be registered. The registration is based on the teacher's examination results, a remark by the teacher's principal, and where relevant on additional courses undertaken.

29. Sweden: School directors and school organising bodies may decide on professional development for teachers building upon the registration process (e.g. in new subject areas).

30. Sweden: The central government is planning the development of a multilevel career structure.

31. Sweden: School organising bodies may take additional measures in the case of underperformance.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (25/26)

Teacher appraisal for performance management (2012)

	GOVERNANCE					PROCEDURES	
	For what types of performance appraisal is there a framework?	For which teachers does the framework apply?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6	7
UNITED KINGDOM (Scotland)	Completion of probation; teacher registration or certification; there is a formal evaluation after completion of initial teacher education and of newly qualified teachers after a probationary period of usually one year; these evaluations are against standards set by the General Teaching Council Scotland (GTCS); meeting the standard allows admission to the GTCS Register, which is required for employment in a state school; all teachers are expected to participate in an annual process of professional review and development	All teachers	Mandatory periodic	Central authority; school leader; teachers in the school; responsibility lies with the local authority working in the context of a national GTCS scheme	School leader; other teachers; head teachers and other members of the management team conduct the process at school level	Central teaching standards; a description of professional duties of teachers (e.g. job description); school development plan; teacher professional goals	Planning and preparation; instruction; classroom environment; completion of professional development; contribution to school development; links to the community
UNITED STATES	Completion of probation; performance management; scheme for rewarding excellence; teacher peer review; districts implement appraisal systems, manage professional development systems, and make compensation and career advancement decisions	Permanent teachers; teachers on probation; in virtually every district that is implementing new forms of teacher evaluation, all teachers are covered	Mandatory periodic (recent efforts to improve the system at the state and local level all retain annual appraisal of probationary teachers and increase the frequency of appraisals for teachers who have completed their probationary period); before decisions on employment status (e.g. promotion, conversion or awarding of a permanent contract); as a focus on teachers new to the profession	State authority; local authority; teachers' unions	School leader, but there are small number of districts that use other educators from within the school or district as peer reviewers; and in other districts there are coaches, master teachers, or other expert teachers who are responsible for observing some teachers, usually novice or struggling teachers, each year	Central teaching standards; regional/ local teaching standards; teacher professional goals	Planning and preparation; instruction; classroom environment; completion of professional development; contribution to school development; links to the community

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.1 (26/26)

Teacher appraisal for performance management (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
8	9	10	11	12	13	14	
Classroom observation; objective setting and interview/ dialogue with the teacher; teacher self-appraisal; teacher portfolio; student results; each local authority negotiates which elements to include		Yes, for all teachers; yes, professional development is the central focus of the process.	No	No	Opportunities for school-based research; support for post-graduate study; extra opportunities for in-service professional development; changes in work responsibilities		UNITED KINGDOM (Scotland)
Classroom observation; objective setting and interview/ dialogue with the teacher; student surveys; parent surveys		Yes, for all teachers	Yes, appraisal determines promotion	Yes, appraisal affects the base salary; yes, a pay allowance is provided for good performance	Public recognition/ award; changes in work responsibilities		UNITED STATES

Notes: This table describes the appraisal of individual in-service teachers to make a judgement about their work and performance using objective criteria for performance management purposes, i.e. the formal regular appraisal process designed to ensure that individual and organisational goals are met. As such, performance management is part of wider processes and systems for measuring, monitoring and enhancing the performance of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

Source: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.2 (1/6)

Teacher appraisal for completion of probation (2012)

	GOVERNANCE				PROCEDURES	
	For which teachers is there a policy framework for the completion of probation?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6
AUSTRALIA	All permanent teachers	Mandatory periodic (frequency varies nationally to a maximum of 12 months)	State education authorities or governments; school board or committee	State education authorities; school principal; supervisor; peer evaluator at the same school	State teaching standards; a description of the general and professional duties of teachers; code of conduct From 2013: national teaching standards	Planning and preparation; instruction; classroom environment; professional development; links to the community
AUSTRIA	No	a	a	a	a	a
BELGIUM (Fl.)	No	a	a	a	a	a
BELGIUM (Fr.)	No	a	a	a	a	a
CANADA	Teachers during probation	In relation to decision on employment status	Provincial/territorial education authorities or governments	School principal; superintendent	Provincial teacher standards or competencies	Instruction (engages students; applies creativity and innovation); classroom environment (inclusive learning environment); professional responsibilities
	All teachers at the end of probation and new hires during first year (except in the province of Quebec)	Mandatory periodic (at the end of probationary period); new hires formally appraised twice during the first year	Provincial/territorial education authorities or governments	School principal	A description of the general and professional duties of teachers	Planning and preparation; instruction; classroom environment; professional development; contribution to school development
CHILE	No	a	a	a	a	a
CZECH REPUBLIC	No	a	a	a	a	a
DENMARK	No	a	a	a	a	a
ESTONIA	No	a	a	a	a	a
FINLAND	No	a	a	a	a	a
FRANCE	All teachers	In relation to decision on employment status at the end of the probationary period (1 year)	Central education authority (by ministerial order)	General and Local Inspectorates; school principal (ISCED 2,3); supervisor	National norms and standards (competency framework in form of a ministerial order)	Planning and preparation; instruction; classroom environment; professional development (includes capacity for innovation) contribution to school development; links to the community (parents and school partners)
HUNGARY	No	a	a	a	a	a
ICELAND	No	a	a	a	a	a

Notes: This table describes the appraisal of individual teachers to make a judgement about their work and performance using objective criteria upon completion of a teacher's probationary period. It is, thus, related to a teacher's entry into the profession and designed to evaluate the competence and progress of a newly hired teacher related to the completion of probation.

a – Information not applicable because the category does not apply.

m – Information not available.

Sources: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

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Table A.2 (2/6)

Teacher appraisal for completion of probation (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
7	8	9	10	11	12	13	
Classroom observation; dialogue with evaluators; teacher self-appraisal; teacher portfolio	Yes (2 levels: proficient, not proficient)	Yes, it is expected to influence professional development activities	Yes, appraisal results influence decision about access to a permanent position	No	None	Further appraisal; compulsory training; salary increment withheld; permanent contract not granted; failure to pass probationary period; dismissal	AUSTRALIA
a	a	a	a	a	a	a	AUSTRIA
a	a	a	a	a	a	a	BELGIUM (Fl.)
a	a	a	a	a	a	a	BELGIUM (Fr.)
Classroom observation; dialogue with the teacher; peer collaboration; parent survey	Varies across provinces/territories (e.g. 2 levels: pass, fail; performing in a satisfactory manner, performing in a non-satisfactory manner)	Yes, it is expected to influence professional development activities	Yes	No	Recognition; professional learning; employment opportunities	Compulsory training; contract not renewed; permanent contract not granted; loss of certification	CANADA
Classroom observation; dialogue with evaluators; peer collaboration; parent survey	Varies across provinces/territories (e.g. satisfactory, development needed, unsatisfactory)	Yes, it is expected to influence professional development activities	Yes, appraisal results influence the speed at which a teacher progresses in the career structure	No	None	Failure to pass probationary period; permanent contract not granted; withdrawal or inaccessibility to the priority list	
a	a	a	a	a	a	a	CHILE
a	a	a	a	a	a	a	CZECH REPUBLIC
a	a	a	a	a	a	a	DENMARK
a	a	a	a	a	a	a	ESTONIA
a	a	a	a	a	a	a	FINLAND
Report of supervisor; opinion of school principal (ISCED 2,3); inspector's report	Yes (ISCED level 1: range of scores and descriptive ratings depending on the authority [e.g. poor, fair]; ISCED levels 2 and 3: range of scores)	No	Yes, appraisal results influence the speed at which a teacher progresses in the career structure and salary scale; appraisal results also influence decisions about a teacher's access to a permanent position	Yes (to the extent that it allows the teacher to progress on the career structure and salary scale)	None	Dismissal; extension of probationary period (1 year); relegation to previous status or post	FRANCE
a	a	a	a	a	a	a	HUNGARY
a	a	a	a	a	a	a	ICELAND

Notes: This table describes the appraisal of individual teachers to make a judgement about their work and performance using objective criteria upon completion of a teacher's probationary period. It is, thus, related to a teacher's entry into the profession and designed to evaluate the competence and progress of a newly hired teacher related to the completion of probation.

a – Information not applicable because the category does not apply.

m – Information not available.

Sources: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.2 (3/6)

Teacher appraisal for completion of probation (2012)

	GOVERNANCE				PROCEDURES	
	For which teachers is there a policy framework for the completion of probation?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6
IRELAND	All teachers	ISCED level 1: twice during the probationary period ISCED levels 2 and 3: at least three months before the end of the probationary period (1 year)	Central education authority at the advice of the teacher professional organisation (Teaching Council)	ISCED level 1: Inspectorate of the Department of Education and Skills ISCED levels 2 and 3: school leadership	ISCED 1: evaluation criteria for probation published by the Inspectorate; assessment template which provides for ratings in relation to main aspects of practice. ISCED 2: none[1]	Planning and preparation; instruction; classroom environment
ISRAEL	Teachers in public and government-dependent private schools only[3]	At the end of the probationary period (2-3 years)	Central education authority	School principal; central education authority	National teaching standards	Planning and preparation; instruction; classroom environment; professional development; contribution to school development; links to the community
ITALY	Permanent teachers in public schools only	At the end of the probationary period (1 year)	Central education authority	School principal; school-based Evaluation Committee[4]	None[5]	Professional develop-ment; presence at school (minimum 180 days); discussion of written essay; other aspects (not specified)[6]
KOREA	No	a	a	a	a	a
LUXEMBOURG	All teachers at ISCED levels 2 and 3 only[8]	At the end of the probationary period (2 years)	Central education authority	School principal; teacher education faculty of University of Luxembourg	A description of the general and professional duties of teachers	Planning and preparation; instruction; classroom environment; professional development
MEXICO	No	a	a	a	a	a

Notes: This table describes the appraisal of individual teachers to make a judgement about their work and performance using objective criteria upon completion of a teacher's probationary period. It is, thus, related to a teacher's entry into the profession and designed to evaluate the competence and progress of a newly hired teacher related to the completion of probation.

a – Information not applicable because the category does not apply.

m – Information not available.

1. Ireland: A code of practice is being developed by the Teaching Council and is currently open for consultation.

2. Ireland: Usually used only once.

3. Israel: Teacher appraisal has only been introduced recently and at this stage concerns ISCED level 1 and part of ISCED level 2 only. The central policy framework for teacher appraisal for the completion of probation does not apply to ultra-orthodox religious schools.

4. Italy: Completion of probation regulated with Legislative Decree n. 297/1994, art. 11, 438, 439, 440 and Ministerial Newsletter 196/2006. The Evaluation Committee comprises on average four teachers and the school leader who functions as president of the committee.

5. Italy: Beyond basic central requirements regarding participation in training, presence at school and discussion of a written essay, appraisal criteria are at the discretion of the school principal.

6. Italy: Further aspects are determined by the school principal.

7. Italy: Failure to pass the probationary period requires a teacher to repeat the probationary period. In case of a second unsatisfactory performance the teacher can be dismissed, return to the original incoming institution (very few cases) or can have an additional year to complete the evaluation process (Legislative Decree 297/1994, art. 439). Non completion of probation implies that the teacher does not have access to a permanent position.

8. Luxembourg: Teachers must have passed the national recruitment examination to be admitted to a teacher probationary period. For further information on this appraisal process see *www.men.public.lu/sys_edu/personnel_ecoles/090326_recrutement_prof_postprimaire/index.html.*

Sources: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

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Table A.2 (4/6)

Teacher appraisal for completion of probation (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
7	8	9	10	11	12	13	
Classroom observation; dialogue with the teacher	ISCED level 1: Yes (3 levels: pass; fail; extension of probationary period[2]) ISCED levels 2 and 3: Yes (2 levels: pass; fail)	Yes, it is expected to influence professional development activities	Yes, appraisal results influence the speed at which a teacher progresses in the career structure	No	Some categories of teaching posts are only open to teachers who have successfully completed probation	ISCED level 1: failure to pass probationary period as determined by inspector; further appraisal; teacher does not achieve full registration with the Teaching Council; implications for a teacher's eligibility for employment in a school ISCED levels 2 and 3: failure to pass probationary period within 3-year period as certified by school principal; teacher does not achieve full registration with the Teaching Council; implications for a teacher's eligibility for employment in a school	**IRELAND**
Classroom observation; dialogue with the teacher; teacher self-appraisal; teacher portfolio	Yes (5 levels)	Yes, it is expected to influence professional development activities	Yes, appraisal results influence decision about access to a permanent position	No	None (under discussion)	Further appraisal; failure to pass probationary period; dismissal	**ISRAEL**
Not specified (criteria are determined by individual school leaders and evaluation committees)	Yes (2 levels: pass; fail)	No	Yes, appraisal results influence decision about access to a permanent position	No	None	Failure to pass probationary period; dismissal[7]	**ITALY**
a	a	a	a	a	a	a	**KOREA**
Teacher testing (as part of the national recruitment exam), dialogue with the teacher, classroom observation, teacher portfolio, dissertation	Yes (2: pass; fail)	No	Yes, appraisal results influence decisions about the terms of the contract	No	None	Possibility to re-take the examination; failure to pass probationary period; contract not granted	**LUXEMBOURG**
a	a	a	a	a	a	a	**MEXICO**

Notes: This table describes the appraisal of individual teachers to make a judgement about their work and performance using objective criteria upon completion of a teacher's probationary period. It is, thus, related to a teacher's entry into the profession and designed to evaluate the competence and progress of a newly hired teacher related to the completion of probation.

a – Information not applicable because the category does not apply.

m – Information not available.

1. Ireland: A code of practice is being developed by the Teaching Council and is currently open for consultation.

2. Ireland: Usually used only once.

3. Israel: Teacher appraisal has only been introduced recently and at this stage concerns ISCED level 1 and part of ISCED level 2 only. The central policy framework for teacher appraisal for the completion of probation does not apply to ultra-orthodox religious schools.

4. Italy: Completion of probation regulated with Legislative Decree n. 297/1994, art. 11, 438, 439, 440 and Ministerial Newsletter 196/2006. The Evaluation Committee comprises on average four teachers and the school leader who functions as president of the committee.

5. Italy: Beyond basic central requirements regarding participation in training, presence at school and discussion of a written essay, appraisal criteria are at the discretion of the school principal.

6. Italy: Further aspects are determined by the school principal.

7. Italy: Failure to pass the probationary period requires a teacher to repeat the probationary period. In case of a second unsatisfactory performance the teacher can be dismissed, return to the original incoming institution (very few cases) or can have an additional year to complete the evaluation process (Legislative Decree 297/1994, art. 439). Non completion of probation implies that the teacher does not have access to a permanent position.

8. Luxembourg: Teachers must have passed the national recruitment examination to be admitted to a teacher probationary period. For further information on this appraisal process see *www.men.public.lu/sys_edu/personnel_ecoles/090326_recrutement_prof_postprimaire/index.html.*

Sources: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.2 (5/6)

Teacher appraisal for completion of probation (2012)

	GOVERNANCE				PROCEDURES	
	For which teachers is there a policy framework for the completion of probation?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6
NETHERLANDS	All teachers	At the end of the probationary period	Central employer (National Council of School Boards); school organising bodies (competent authorities)[9]	School principal representing school organising body (competent authority)	National teaching standards	Organisational; pedagogical and subject matter competences; interpersonal competences; teamwork; links to the community; professional development
NEW ZEALAND	All newly trained teachers prior to teacher registration	At the end of probationary period (duration varies according to hours worked)	Teacher professional organisation (The New Zealand Teachers Council)	School principal	National registration standards (registered teacher criteria)	Professional relationships and values; professional knowledge and practice
NORWAY	No	a	a	a	a	a
POLAND	No	a	a	a	a	a
PORTUGAL	All teachers in public schools	At the end of the probationary period	Central education authority; schools	Teachers from the same school; collegiate body within the school (chaired by principal); trained teachers from other schools	School development plan; evaluation parameters established by each school; national evaluation parameters for classroom observation only	Instruction; scientific-pedagogical aspects; participation in school activities and links to the community; professional development
SLOVAK REPUBLIC	All beginner teachers	Pursuant to the legislation, the periodicity of teacher appraisal is set individually in each school (probationary period typically lasts 1 year)	Central education authority (through Act on Pedagogical Employees; Decree of the Ministry of Education)	The mentor teacher and the examination committee nominated by the school principal	Plan for adaptation education; teacher professional standards	Planning and preparation; instruction; classroom environment; professional development, contribution to school development, links to parents and advisory institutions
SLOVENIA	All teachers	At the end of the probationary period	Central education authority	Central education authority	None	Pedagogical and subject knowledge; language competency; knowledge of legislation
SPAIN	No	a	a	a	a	a
SWEDEN	All teachers	At the end of the probationary period (1 year)	Central education authority and government	Central education authority; school principal	National teaching standards	Planning and preparation; instruction; classroom environment; professional development; contribution to school development; links to community
UNITED KINGDOM (Northern Ireland)	All teachers during Induction and Early Professional Development	During Induction and Early Professional Development under the Performance Review and Staff Development (PRSD) scheme (It is not mandatory for teachers to complete Induction and EPD to be registered but it is normal practice)	The Teachers' Negotiating Committee (employing authorities, department and teachers' unions)	School principal or a teacher reviewer designated by the school principal	Performance Review and Staff Development scheme	Three personal/shared objectives are set covering the areas of: professional practice; pupil and curriculum development; and personal and professional development

Notes: This table describes the appraisal of individual teachers to make a judgement about their work and performance using objective criteria upon completion of a teacher's probationary period. It is, thus, related to a teacher's entry into the profession and designed to evaluate the competence and progress of a newly hired teacher related to the completion of probation.

a – Information not applicable because the category does not apply.

m – Information not available.

9. Netherlands: There are central regulations that act as a framework. Within this framework, the school organising bodies (competent authorities) are responsible. The National Council of School Boards acts as a central employer and is in charge of setting the terms of employment.

10. Slovak Republic: For the rating of teachers, some schools use a descriptive appraisal, some use their own assessment rating scale (excellent, good, satisfactory), or they can use the performance scale recommended by the Ministry (exceptional, very good, standard, partially satisfactory, unsatisfactory)

11. Slovenia: Teachers that are judged as having failed their probationary period are not granted a permanent position.

Sources: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.DES Inspectorate.

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Table A.2 (6/6)

Teacher appraisal for completion of probation (2012)

PROCEDURES		USE OF RESULTS					
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Does the appraisal inform the teacher's professional development activities?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	What are the responses to underperformance of teachers?	
7	8	9	10	11	12	13	
Extensive descriptions of competencies	Varies across schools depending on school internal regulations	Yes, it is expected to result in a professional development plan	Varies across schools depending on school internal regulations	Varies across schools depending on school internal regulations	Changes in work responsibilities; extra opportunities for in-service professional development	Dismissal	**NETHERLANDS**
Classroom observation; discussion; documentation	Only a decision about teacher registration	Yes, it is expected to influence professional development activities	Teachers need to achieve teacher registration to continue in teaching career	No	They can become registered teachers	Provisionally registered teachers who are not successful can take more time and try again	**NEW ZEALAND**
a	a	a	a	a	a	a	**NORWAY**
a	a	a	a	a	a	a	**POLAND**
Teacher project (optional); self-appraisal; overall appraisal form used by internal evaluator; classroom observation	Yes (5 levels; there is a national quota system for the two top levels)	Yes, it is expected to influence professional development activities (systematic influence for teachers rated "Insufficient")	m	m	m	m	**PORTUGAL**
Classroom observation; dialogue with the teacher surveys; teacher portfolio; student outcomes	Yes[10]	Varies across schools depending on individual needs and capabilities, it may inform teacher professional development plans	Yes, appraisal results influence decisions about promotion of the teacher to the next career level (independent teacher)	Varies across schools, appraisal results may influence career advancement	None	Failure to pass probationary period; access to the next career level not granted	**SLOVAK REPUBLIC**
Teacher testing	Yes (2 levels: pass; fail)	No	No[11]	No	None	Failure to pass probationary period	**SLOVENIA**
a	a	a	a	a	a	a	**SPAIN**
School principal's judgement informs application for registration with the Swedish National Agency for Education	No	No	Yes, appraisal results influence decisions about access to a permanent position or a fixed-term contract	No	None	Teacher cannot apply for registration; possibility to re-start a probationary period	**SWEDEN**
Classroom observation; task observation; review discussion	No, a review statement is prepared	Yes, the PRSD scheme helps to identify the professional needs and necessary resources to support teachers in their professional development	The PRSD scheme helps to identify the professional needs and necessary resources to support teachers in their career progression	The PRSD Review Statement is part of the body of evidence used to inform decisions on pay progression	None	There is an informal stage where a programme of support and development is provided; this may be followed by a formal stage which includes the issue of formal written notice, a targeted support programme, and ultimately dismissal if a satisfactory standard of work is not achieved	**UNITED KINGDOM (Northern Ireland)**

Notes: This table describes the appraisal of individual teachers to make a judgement about their work and performance using objective criteria upon completion of a teacher's probationary period. It is, thus, related to a teacher's entry into the profession and designed to evaluate the competence and progress of a newly hired teacher related to the completion of probation.

a – Information not applicable because the category does not apply.

m – Information not available.

9. Netherlands: There are central regulations that act as a framework. Within this framework, the school organising bodies (competent authorities) are responsible. The National Council of School Boards acts as a central employer and is in charge of setting the terms of employment.

10. Slovak Republic: For the rating of teachers, some schools use a descriptive appraisal, some use their own assessment rating scale (excellent, good, satisfactory), or they can use the performance scale recommended by the Ministry (exceptional, very good, standard, partially satisfactory, unsatisfactory)

11. Slovenia: Teachers that are judged as having failed their probationary period are not granted a permanent position.

Sources: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.DES Inspectorate.

Table A.3 (1/2)

Teacher appraisal for rewards (2012)

	GOVERNANCE				PROCEDURES	
	For which teachers is there a policy framework for a rewards scheme?	Under which circumstances are teachers appraised, and how often?	Who determines the procedures for teacher appraisal?	Who are the evaluators?	Against what references are teachers appraised?	What aspects of teacher performance are appraised?
	1	2	3	4	5	6
CHILE	Teachers in public and publicly-subsidised private schools (Pedagogical Excellence Allowance [AEP])[1]	Voluntary	Central education authority	Central education authority	National teaching standards	Knowledge of discipline and curricular content; pedagogical knowledge; skills and competencies in the classroom
	Teachers in public schools who obtain either of the two top scores in the regular teacher appraisal system (Variable Individual Performance Allowance [AVDI])[2]	Voluntary	Central education authority	Central education authority	National teaching standards	Knowledge of discipline and curricular content; pedagogical knowledge; skills and competencies in the classroom
	Groups of teachers (teaching bodies of individual schools) in public and publicly-subsidised private schools (National Performance Evaluation System [SNED])[3]	Mandatory (annual)	Central education authority	Central education authority	Student learning objectives; school development plan	Aspects are assessed at the school level: student performance; ability to innovate; equality of opportunities; links to school community
KOREA	All teachers (Performance-based Incentive System)	Mandatory periodic (annual)	Central education authority	School principal; peer evaluators at the same school	A description of the general and professional duties of teachers	Planning and preparation; instruction; classroom environment; professional development; links to the community; student guidance
MEXICO	Teachers in public schools only (National Teaching Career Programme [PNCM])[4]	Voluntary (once per year)	Central education authority or government (Secretariat of Public Education [SEP])[5] and Teacher Union (SNTE)[6] (through the National Academic Commission)	Central education authority or government (Secretariat of Public Education [SEP])[5]	A description of the general and professional duties of teachers; school development plan or school project	Planning and preparation; instruction; professional development; contribution to school development; links to the community; years of teaching service
UNITED KINGDOM (Northern Ireland)	None	a	a	a	a	a

Notes: This table describes the appraisal of individual teachers to make a judgement about their work and performance using objective criteria for rewards purposes, i.e. appraisal schemes that are exclusively designed with the objective of providing rewards to teachers. Performance management schemes which may also lead to rewards, but are not exclusively designed as rewards schemes are included in Table A.1.

a – Information not applicable because the category does not apply.

1. Chile: *Asignación de Excelencia Pedagógica.*

2. Chile: *Asignación Variable por Desempeño Individual.*

3. Chile: *Sistema Nacional de Evaluación de Desempeño.*

4. Mexico: *Programa Nacional de Carrera Magisterial.*

5. Mexico: *Secretaría de Educación Pública.*

6. Mexico: *Sindicato Nacional de Trabajadores de la Educación.*

7. Mexico: The appraisal results grant access to a system of salary allowances with 5 different levels not associated with vertical differentiation of the teacher's tasks.

Sources: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.3 (2/2)

Teacher appraisal for rewards (2012)

PROCEDURES		USE OF RESULTS			
What instruments and information sources are used?	Does the appraisal result in a rating for the teacher?	Do appraisal results impact career advancement?	Do appraisal results impact pay levels?	What other rewards may teacher appraisal involve?	
7	8	9	10	11	
Teacher testing; teacher portfolio	No	No	Yes, a pay allowance is provided for good performance (10 years, no quota)	None	CHILE
Teacher testing	Yes (3 levels)	No	Yes, a pay allowance is provided for good performance (2 to 4 years – until next regular teacher appraisal, no quota)	None	
Student outcomes (standardised assessment results); variety of school indicators (e.g. student retention rates; enrolment of students with special needs) school development plan; school policies	It results in a rating for the school	No	Yes, schools within top 35th percentile receive extra subsidy (Subsidy for Performance of Excellence), which is distributed among their teaching bodies (in proportion to contract hours; the school can distribute 10% of subsidy to teachers according to its own criteria)	None	
Observation of performance	Yes (3 levels)	No	Yes, a pay allowance is provided for good performance (once)	None	KOREA
Teacher testing; student outcomes (e.g. standardised assessment results; graduation, retention, or pass rates)	No	No[7]	Yes, appraisal results affect salary allowances[7]	None	MEXICO
a	a	a	a	a	UNITED KINGDOM (Northern Ireland)

Notes: This table describes the appraisal of individual teachers to make a judgement about their work and performance using objective criteria for rewards purposes, i.e. appraisal schemes that are exclusively designed with the objective of providing rewards to teachers. Performance management schemes which may also lead to rewards, but are not exclusively designed as rewards schemes are included in Table A.1.

a – Information not applicable because the category does not apply.

1. Chile: *Asignación de Excelencia Pedagógica.*

2. Chile: *Asignación Variable por Desempeño Individual.*

3. Chile: *Sistema Nacional de Evaluación de Desempeño.*

4. Mexico: *Programa Nacional de Carrera Magisterial.*

5. Mexico: *Secretaría de Educación Pública.*

6. Mexico: *Sindicato Nacional de Trabajadores de la Educación.*

7. Mexico: The appraisal results grant access to a system of salary allowances with 5 different levels not associated with vertical differentiation of the teacher's tasks.

Sources: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.4 (1/4)

Employment status and career development of teachers (2012)

	EMPLOYMENT STATUS		
	Who is the employer of teachers?	What is the employment status of teachers?	Can teachers be employed on fixed-term contracts?
	1	2	3
AUSTRALIA	State education authorities or governments; local education authorities; school, school board or committee[1]	Civil servant status; salaried employee status	Yes, both teachers with civil servant status and salaried employee status (maximum period of time ranges from 1 to 5 years nationally)
AUSTRIA	ISCED level 1 (public schools): state education authorities ISCED level 2 (public schools): central or state education authorities depending on the type of schools ISCED level 3 (public schools): central education authority	Civil servant status; salaried employee status	Yes, teachers with salaried employee status (for a maximum of 5 years)
BELGIUM (Fl.)	School organising bodies	Civil servant status	Yes
BELGIUM (Fr.)	School organising bodies	Civil servant status; salaried employee status[3]	Yes, teachers with salaried employee status
CANADA	Provincial/territorial education authorities or governments; school, school board, or committee	Salaried employee status	Yes (maximum period of time varies across provinces/territories and is at the discretion of education authorities depending on the availability of permanent teaching positions)
CHILE	School organising bodies (sustainers)	Public schools: salaried employee status Government-dependent private schools: salaried employee status	Public schools: yes, up to 20% of the teachers with salaried employee status Government-dependent private schools: yes, up to 100% of teachers with salaried employee status
CZECH REPUBLIC	School	Public schools: civil servant status Private schools: salaried employee status	Yes, both teachers with civil servant and salaried employee status (twice in a row)
DENMARK	ISCED levels 1 and 2 (public schools): local education authorities ISCED levels 1 and 2 (private independent schools): school organising bodies ISCED level 3 (all schools): school board	Salaried employee status	No[5]
ESTONIA	School	Salaried employee status	Yes[6]
FINLAND	Local education authorities	Civil servant status; salaried employee status	No[7]
FRANCE	Central education authority (Ministry of Education, for civil servants); regional education authorities (recteurs d'académies; for contract (public or private) employees [contractuels]), schools (for replacement teachers [vacataires]); superior in addition to central education authority (Ministry of Education) and the school (for contractors in private schools)	Civil servant status; public contract employees (contractuels de droit public); replacement teacher status (vacataires); salaried employee status (private law with a simple contract)	Yes, replacement teachers for a maximum of 6 years with a temporary contract after which they ma y receive a permanent contract)
HUNGARY	School	Public employee	Yes (for a maximum of 1 year)
ICELAND	ISCED levels 1 and 2: local education authorities ISCED level 3: central education authority	ISCED levels 1 and 2: salaried employee status ISCED level 3: civil servant status	Yes (for a maximum of 2 years)
IRELAND	School Board of Management[8]	Salaried employee status; state non-civil service status (public servant)	Yes

Notes: This table describes the employment status and career development of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

1. Australia: Australia is a federation of eight states and territories. There are differences in employment practices between states and territories, as well as differences between public (government) and private (non-government) schools. In private schools that are part of a system teachers are often appointed by the local education authority (system). In private schools that are not part of a system, teachers are appointed by the school, school board or committee.

2. Belgium (Fl.): The career structure is linked to educational levels (ISCED levels 1, 2 and 3), educational stages at ISCED levels 2 and 3, the educational programme and the subjects taught at ISCED levels 2 and 3 (general, pre-voc and voc) and teacher qualifications. Differences in salary are mainly related to differences in qualifications (different qualifications are required for teaching at different ISCED levels). The legal status of teachers in the Flemish Community of Belgium is established by Decrees. Notable characteristics are: (1) A teacher's career generally starts with a few years of supply teaching or temporary teaching. The teacher's status at this stage is referred to as «temporary appointment for a limited period of time». (2) After a minimum of 720 days of seniority during which a teacher has worked 600 days effectively in the position concerned, he or she can ask for a «temporary appointment for a continuous period of time» (Tijdelijke aanstelling van doorlopende duur [TADD]). This status gives the teacher more job security. Moreover, teachers can now apply for a «permanent appointment», which holds even more social benefits and job security. (3) In order to get a permanent appointment teachers are required to meet a number of conditions. Apart from general legal requirements (e.g. nationality, language competency, certificate of good conduct), these are: the teacher must have the official qualifications for the job (e.g. diploma, certificate). On 30 June of the school year before a teacher is to be permanently appointed, he or she must have 720 days of seniority of which he or she has worked 360 days effectively in the position concerned; a teacher's last evaluation report, if available, must be positive; on 31 December before a teacher is to be permanently appointed, the teacher must have a «temporary appointment for a continuous period of time» for the job the teacher is to be permanently appointed to; and teaching must be the teacher's main profession.

3. Belgium (Fr.): Teachers are employed as salaried employees until they receive civil servant status.

4. Chile: Biennial rates up to 100% of base salary and training recognised until 40% of base salary.

5. Denmark: In certain cases it is possible to employ teachers on fixed-term contracts. A specific reason is required in this case (e.g. that the teacher replaces a permanent teacher who is absent due to illness or leave).

7. Finland: Teachers are appointed until retirement.

8. Ireland: Teacher salaries are paid by the central education authority.

Sources: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.4 (2/4)

Employment status and career development of teachers (2012)

CAREER DEVELOPMENT		
What is the structure of the teaching career?	What determines teacher career progression?	
4	5	
Multilevel career structure, with a salary scale for each career level (number of levels varies nationally)	Length of service; completion of professional development; taking on extra roles and tasks; teacher appraisal results	AUSTRALIA
General: unique career stage with a single salary scale Pre-vocational and vocational: multilevel career structure with a single salary scale (2 career levels)	General: salary step increments based on length of service (biennial progress) Pre-vocational and vocational: salary step increments based on length of service (biennial progress); taking on extra roles and tasks	AUSTRIA
Unique career stage with a single salary scale[2]	Salary step increments based on length of service	BELGIUM (Fl.)
Unique career stage with a single salary scale	Length of service	BELGIUM (Fr.)
Multilevel career structure (number of levels varies; 10, 11, or 12 steps in the salary scale)	Length of service; teacher appraisal results; extra roles and tasks	CANADA
Public schools: unique career stage within a single salary scale[4] Government-dependent private schools: at the discretion of the school organising bodies (sustainers) to determine career structure and salary scale beyond base salary	Public institutions: salary step increments based on length of service Government-dependent private institutions: at the discretion of the school organising bodies (sustainers)	CHILE
Multilevel career structure within a salary scale for each career level (3 career levels)	Length of service; completion of professional development; teacher appraisal results; extra roles and tasks	CZECH REPUBLIC
None	a	DENMARK
Multilevel career structure with a salary scale for each career level (4 career levels)	Extra roles and tasks; completion of professional development	ESTONIA
Unique career stage with a single salary scale	Salary step increments based on length of service; taking on extra roles and tasks (e.g. deputy director)	FINLAND
Multilevel career structure with a salary scale for each career level (2 career levels with various corresponding salary steps; depending on the teaching body each level corresponds to one base salary index)	Length of service; teacher appraisal results; completion of professional development for promotion to a higher level in the career structure	FRANCE
Multilevel career structure with a salary scale for each career level (5 career levels defined by qualification, 14 salary steps within each career level, progression on the salary scale every 3 years)	Length of service; completion of professional development; taking on extra roles and tasks; teacher appraisal results	HUNGARY
ISCED levels 1 and 2: multilevel career structure (3 levels with nine steps in the salary scale) ISCED level 3: unique career stage with a single salary scale (9 steps)	Length of service; taking on extra roles and tasks; completion of professional development; age; administrative responsibilities	ICELAND
Unique career stage with a single salary scale (17 steps)	Salary step increments based on length of service; taking on extra roles and tasks	IRELAND

Notes: This table describes the employment status and career development of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

1. Australia: Australia is a federation of eight states and territories. There are differences in employment practices between states and territories, as well as differences between public (government) and private (non-government) schools. In private schools that are part of a system teachers are often appointed by the local education authority (system). In private schools that are not part of a system, teachers are appointed by the school, school board or committee.

2. Belgium (Fl.): The career structure is linked to educational levels (ISCED levels 1, 2 and 3), educational stages at ISCED levels 2 and 3, the educational programme and the subjects taught at ISCED levels 2 and 3 (general, pre-voc and voc) and teacher qualifications. Differences in salary are mainly related to differences in qualifications (different qualifications are required for teaching at different ISCED levels). The legal status of teachers in the Flemish Community of Belgium is established by Decrees. Notable characteristics are: (1) A teacher's career generally starts with a few years of supply teaching or temporary teaching. The teacher's status at this stage is referred to as «temporary appointment for a limited period of time». (2) After a minimum of 720 days of seniority during which a teacher has worked 600 days effectively in the position concerned, he or she can ask for a «temporary appointment for a continuous period of time» (Tijdelijke aanstelling van doorlopende duur [TADD]). This status gives the teacher more job security. Moreover, teachers can now apply for a «permanent appointment», which holds even more social benefits and job security. (3) In order to get a permanent appointment teachers are required to meet a number of conditions. Apart from general legal requirements (e.g. nationality, language competency, certificate of good conduct), these are: the teacher must have the official qualifications for the job (e.g. diploma, certificate). On 30 June of the school year before a teacher is to be permanently appointed, he or she must have 720 days of seniority of which he or she has worked 360 days effectively in the position concerned; a teacher's last evaluation report, if available, must be positive; on 31 December before a teacher is to be permanently appointed, the teacher must have a «temporary appointment for a continuous period of time» for the job the teacher is to be permanently appointed to; and teaching must be the teacher's main profession.

3. Belgium (Fr.): Teachers are employed as salaried employees until they receive civil servant status.

4. Chile: Biennial rates up to 100% of base salary and training recognised until 40% of base salary.

5. Denmark: In certain cases it is possible to employ teachers on fixed-term contracts. A specific reason is required in this case (e.g. that the teacher replaces a permanent teacher who is absent due to illness or leave).

7. Finland: Teachers are appointed until retirement.

8. Ireland: Teacher salaries are paid by the central education authority.

Sources: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

Table A.4 (3/4)

Employment status and career development of teachers (2012)

	EMPLOYMENT STATUS		
	Who is the employer of teachers?	What is the employment status of teachers?	Can teachers be employed on fixed-term contracts?
	1	2	3
ISRAEL	ISCED levels 1 and 2: central education authority; corporation or non-profit organisation ISCED level 3: local education authorities; corporation or non-profit organisation	ISCED levels 1, 2 and 3 (all schools): civil servant status; salaried employee status	ISCED levels 1, 2 and 3 (all schools): Yes, both teachers with civil servant status and salaried employee status (Generally for a maximum of 2-3 years)
ITALY	Central education authority (public schools only)[9]	Civil servant status	Yes
KOREA	Provincial/regional education authorities	Civil servant status	No
LUXEMBOURG	Central education authority or government (public schools)	Public schools: civil servant status	No
MEXICO	State education authorities (public schools)	Salaried employee status	Yes
NETHERLANDS	Public schools: municipality or bodies with powers transferred by municipality Private schools: School organising bodies (competent authorities)	Public schools: civil servant status Private schools: salaried employee status[10]	Yes (for a maximum of 3 years)
NEW ZEALAND	School Board of Trustees	Salaried employee status	Yes[11]
NORWAY	Local education authorities	Salaried employee status	Yes[13]
POLAND	School	Trainee and contract teachers: employment agreement Appointed and chartered teachers: employment based on appointment	Yes, trainee teachers and contract teachers when substituting an absent teacher
PORTUGAL	Central education authority	State civil servant status or employee with fixed contractual status	Yes
SLOVAK REPUBLIC	School and/or school organising bodies (in case of schools that do not have a legal personality)	Civil servant status	Yes
SLOVENIA	School	Civil servant status	Yes (for a maximum of 2 years)
SPAIN	State education authorities or governments	Civil servant status; salaried employee status	Yes, teachers with salaried employee status (for a maximum of 1 year)[15]
SWEDEN	Local education authorities	Salaried employee status[17]	Yes, teachers with salaried employee status on the decision of the local board
UNITED KINGDOM (Northern Ireland)	The relevant employing authority (can be 1 of 5 Education and Library Boards, CCMS or Boards of Governors of Voluntary Grammar and Grant-Maintained Integrated Schools); with creation of the Education and Skills Authority (2013), ESA will become the employer for all teachers in grant-aided schools	Public servant, salaried, employee status	Yes

Notes: This table describes the employment status and career development of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

9. Italy: The national labour contracts for teachers (CCNL) dated 2002-05 and 2006-09 regulate the contracts of teachers hired by state schools only, not those hired by regions, by provinces or municipalities. Teachers are considered civil servants also according to legislative decree 150/2009 (*Legge Brunetta*). In addition, the contractual arrangements for all civil servants in Italy are centralised within a specific agency (ARAN) dealing specifically with public employment.

10. Netherlands: The terms of employment for teachers as civil servants and salaried employees are identical.

11. New Zealand: The employment of teachers is subject to the provisions of the Employment Relations Act in relation to fixed term employment generally (e.g. will end on a specified date, or on the occurrence of a specified event, or conclusion of a specified project). The category of relieving teachers is frequently used for fixed-term employees.

12. New Zealand: Additional rewards on a fixed-term or permanent basis for a range of management responsibilities.

13. Norway: If no applicant satisfies the qualification requirements laid down in the Education Act, a temporary appointment may be made. Unless a shorter period of appointment is agreed, such appointments shall last until 31 July.

14. Norway: There are also some local positions with locally negotiated salaries.

15. Spain: Most teachers in public schools are civil servants. A small percentage of public school teachers, however, have a salaried employee status (*profesores interinos*) and are employed to teach a single academic course. Teachers in government-dependent private institutions and in independent private institutions are employed according to employment legislation, sometimes on a single year basis and sometimes on a long-term basis.

16. Spain: School principals and other members of the school leadership team have been included as they are teachers and keep direct teaching obligations. Except for these leadership positions and other extra roles and tasks, salary increments depend mostly on the length of service.

17. Sweden: Teachers in Sami schools and special schools have civil servants status.

18. Sweden: The central government is planning the development of a multilevel career structure.

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Table A.4 (4/4)

Employment status and career development of teachers (2012)

CAREER DEVELOPMENT		
What is the structure of the teaching career?	What determines teacher career progression?	
4	5	
ISCED level 1 (public and government-dependent private schools only): multilevel career structure with a salary scale for each career level (3 levels: 9 steps at level 1; 4 steps at levels 2 and 3) ISCED level 2 (public and government-dependent private schools only): multilevel career structure with a salary scale for each career level (4 levels: 9 steps at levels 1 and 2; 4 steps at level 3 and 4) ISCED level 3 (public and government-dependent private schools only): multilevel career structure with a single salary scale (4 levels)	ISCED levels 1 and 2 (public and government-dependent private schools only): length of service; completion of professional development; teacher appraisal results ISCED level 3 (public and government-dependent private schools only): length of service; completion of professional development	ISRAEL
Multilevel career structure with a salary scale for each career level (4 levels with 21 salary steps each)	Length of service	ITALY
Multilevel career structure with a single salary scale (3 levels with 50 steps in a single salary scale)	Length of service; completion of professional development	KOREA
Unique career stage with a single salary scale	Salary step increments based on length of service	LUXEMBOURG
Unique career stage with a single salary scale (and 5 levels of salary allowances depending on voluntary teacher appraisal)	Length of service; completion of professional development; teacher appraisal results to access salary allowances	MEXICO
ISCED level 1: multilevel career structure with a salary scale for each career level (2 levels with 15 steps in the salary scale each) ISCED levels 2 and 3: multilevel career structure (3 levels with 15 steps in the salary scale each)	Salary step increments based on teacher appraisal results; taking on extra roles and tasks	NETHERLANDS
Unique career stage with a single salary scale (14 steps within the salary scale)[12]	Salary step increments based on length of service; taking on extra roles and tasks	NEW ZEALAND
Multilevel career structure with a single salary scale (5 steps within the salary scale)[14]	Length of service; taking on extra roles and tasks	NORWAY
Multilevel career structure with a salary scale for each career level (4 levels, each with corresponding scale of basic salary: trainee (probation), contract, appointed, and chartered)	Length of service; teacher appraisal results; qualifications; interviews; examinations	POLAND
Unique career stage with ten steps in the salary scale	Length of service; teacher appraisal results; completion of professional development (stricter requirements to progress to the 5th and 7th step of the salary scale)	PORTUGAL
Multilevel career structure with a single salary scale (beginner teacher, independent teacher, teacher with 1st certification level, teacher with 2nd certification level)	Qualifications, length of service; teacher appraisal results	SLOVAK REPUBLIC
Multilevel career structure (3 levels: mentor, advisor, counsellor)	Length of service; completion of professional development; taking on extra roles and tasks	SLOVENIA
Multilevel career structure with a single salary scale (5 steps within the salary scale)	Length of service; taking on extra roles and tasks[16]	SPAIN
Unique career stage with a single salary scale[18]	Salary step increments based on length of service; completion of professional development	SWEDEN
Multilevel career structure, with a salary scale for each career level	Length of service; taking on extra roles and tasks; teacher-appraisal results	UNITED KINGDOM (Northern Ireland)

Notes: This table describes the employment status and career development of teachers.

a – Information not applicable because the category does not apply.

m – Information not available.

9. Italy: The national labour contracts for teachers (CCNL) dated 2002-05 and 2006-09 regulate the contracts of teachers hired by state schools only, not those hired by regions, by provinces or municipalities. Teachers are considered civil servants also according to legislative decree 150/2009 (*Legge Brunetta*). In addition, the contractual arrangements for all civil servants in Italy are centralised within a specific agency (ARAN) dealing specifically with public employment.

10. Netherlands: The terms of employment for teachers as civil servants and salaried employees are identical.

11. New Zealand: The employment of teachers is subject to the provisions of the Employment Relations Act in relation to fixed term employment generally (e.g. will end on a specified date, or on the occurrence of a specified event, or conclusion of a specified project). The category of relieving teachers is frequently used for fixed-term employees.

12. New Zealand: Additional rewards on a fixed-term or permanent basis for a range of management responsibilities.

13. Norway: If no applicant satisfies the qualification requirements laid down in the Education Act, a temporary appointment may be made. Unless a shorter period of appointment is agreed, such appointments shall last until 31 July.

14. Norway: There are also some local positions with locally negotiated salaries.

15. Spain: Most teachers in public schools are civil servants. A small percentage of public school teachers, however, have a salaried employee status (*profesores interinos*) and are employed to teach a single academic course. Teachers in government-dependent private institutions and in independent private institutions are employed according to employment legislation, sometimes on a single year basis and sometimes on a long-term basis.

16. Spain: School principals and other members of the school leadership team have been included as they are teachers and keep direct teaching obligations. Except for these leadership positions and other extra roles and tasks, salary increments depend mostly on the length of service.

17. Sweden: Teachers in Sami schools and special schools have civil servants status.

18. Sweden: The central government is planning the development of a multilevel career structure.

Sources: Derived from information supplied by countries participating in the OECD Review on Evaluation and Assessment Frameworks for Improving School Outcomes. The table should be interpreted as providing broad indications only, and not strict comparability across countries.

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Teachers for the 21st Century

USING EVALUATION TO IMPROVE TEACHING

In some countries the concept – not to mention the use – of teacher appraisal sparks discussion whenever it is mentioned. According to what criteria? Who decides? And what should the results of teacher appraisals be used for? But education stakeholders are beginning to find some agreement in the idea that teacher appraisal can be a key lever for focusing more on teaching quality and continuous professional development for teachers, in keeping with the growing recognition that the quality of teaching affects student learning outcomes. Teacher appraisal also provides opportunities to incentivise, recognise and reward teaching competence and high performance, which, in turn, may help to address concerns about the attractiveness of teaching as a career choice and about the image and status of teachers, including teachers' feelings that their work is not sufficiently valued.

The third International Summit on the Teaching Profession, hosted by the Netherlands, the OECD and Education International, brings together education ministers, union leaders and other teacher leaders from high-performing and rapidly improving education systems, as measured by the OECD Programme for International Student Assessment (PISA), to discuss how teacher quality is defined and what standards are set and by whom; what systems are in place for teacher evaluation and how evaluations are conducted; and how teacher evaluation contributes to school improvement and teacher self-efficacy.

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Annex A. Selected comparative data on education from OECD sources

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