



WHAT TEACHER APPRAISAL SYSTEMS ARE IN PLACE?

NESLI Teacher and School Leader Appraisal Survey

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Outline

- About NESLI
- Questionnaire: School Evaluation and Teacher and School Leader Appraisal
- Results
 - Prevalence and nature of teacher appraisals
 - Governance and responsibilities
 - Common procedures used
 - Use of results of appraisals
- Conclusions



About NESLI

- **NESLI** - the INES Network for the collection and the adjudication of system-level descriptive information on educational structures, policies and practices
- **Deliver the system-level information on the functioning of education systems** that is required by the Education Policy Committee
- Key objectives
 - To directly inform policy makers
 - To increase and improve the information available to policy makers
 - To make widely available valid, relevant, and comparable data
- **34** countries and economies are NESLI members
 - Other OECD countries participate in NESLI data collections



About NESLI cont.

- Annual data collections
 - Teachers' salaries and teachers' teaching and working time survey
 - Instruction time survey (joint with Eurydice)
- Ad-hoc data collections
 - School choice
 - Parent voice
 - Locus of decision making
 - School accountability
 - Evaluation and assessment
 - Pre-service teacher training requirements and requirement to enter the teaching profession
 - Professional development of teachers
 - National criteria and admission systems for students to apply and enter first-degree tertiary programmes



School accountability, Evaluation and assessment

- **Evaluation** – the process to determine the **merit, worth or value** of something
- Components of the indicator on **School Evaluation**
 - School inspections
 - School self-evaluations
 - School administrator evaluation
 - Teacher evaluation
 - Evaluation of curriculum and learning materials
 - Compliance reporting
 - Financial oversight
- **Teacher appraisal** – evaluation of individual teachers resulting in judgements about their competencies and performance



School accountability, Evaluation and assessment cont.

- **2009** – School and Student Assessment originally conducted (reference year 2005/2006)
 - Only lower secondary level (ISCED 2)
 - Comprised of two short components
 1. Student Assessment – presence of National Assessments in the country
 2. School Assessment – if schools are required to be evaluated, the importance of these evaluations, and factors influencing evaluations
- **2013** – Questionnaire on School Assessment was revised
 - Includes teacher and school leader appraisal surveys
 - Includes primary, lower and upper secondary levels (ISCED 1, 2 & 3)



Questionnaire on teacher appraisals

- **GOAL:** To collect relevant and comparable data on the formal requirements for and measurements of evaluation.
- **Levels of education:** ISCED 1, 2, and 3
- **School types:** public and government-dependent private schools
- **Programme types:** General programmes only
- **Reference year:** 2014/2015
- **Participants:** 37 countries overall, 28 countries had available data for the Teacher appraisal questionnaire.
- **Questionnaire length:** 5 pgs of definitions, 9 sections on Teacher appraisal (8 pgs), 60 pgs overall



RESULTS PREVALENCE AND NATURE OF TEACHER APPRAISALS



5 main types of teacher appraisals

1. **Completion of probation:** Appraisal of individual teachers upon completion of a probationary period. Teacher's **entry** into the profession.
2. **Regular appraisal:** An internal process for the school regulated by general labour-law provisions requiring employers of teachers to regularly appraise the **performance** and **results** of their employees.
 - Connected to **teacher's professional development, responsibilities, working conditions, career progression or salary advancement.**
3. **Teacher registration:** Determine and officially **confirm** a teacher as competent for teaching. The process to **award or renew teachers' registered teaching status** after the probationary period has been completed
4. **Appraisal for promotion:** Often voluntary and takes place in relation to decisions on **employment status** (most countries integrate this activity with regular appraisal).
5. **Appraisal for rewards:** Identify a select number of **high performing** teachers to reward and acknowledge.



How prevalent are teacher appraisal systems?

Evaluation and assessment mechanisms in public schools (2015)

In general programmes

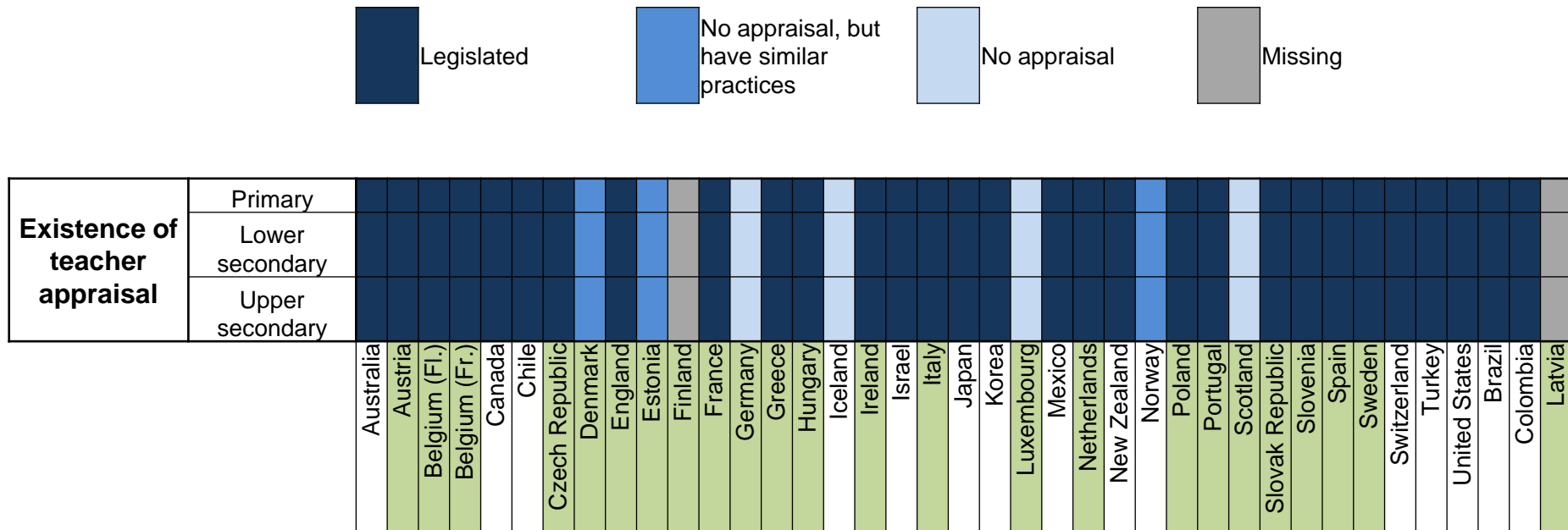


Chart D6.1., Education at a Glance 2015

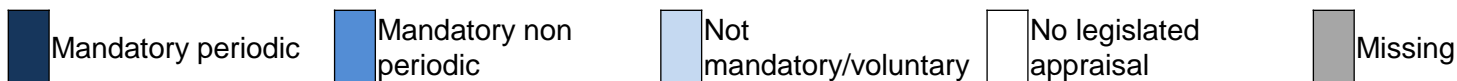
- Majority of countries (**81%**) have policy frameworks (national or state laws or regulations) in place to regulate at least 1 or more types of teacher appraisal
- 3 countries do not have teacher appraisal systems, but have similar practices in place.
- 4 countries reported that teachers are not appraised.



Types of teacher appraisals

Frequency of various types of teacher and school leader appraisals covered by policy framework (2015)

In general programmes, lower secondary education



	Australia	Austria	Belgium (Fl.)	Belgium (Fr.)	Canada	Chile	Czech Republic	Denmark	England	Estonia	Finland	France	Germany	Greece	Hungary	Iceland	Ireland	Israel	Italy	Japan	Korea	Luxembourg	Mexico	Netherlands	New Zealand	Norway	Poland	Portugal	Scotland	Slovak Republic	Slovenia	Spain	Sweden	Switzerland	Turkey	United States	Brazil	Colombia	Latvia
Completion of probation	Mandatory periodic	Mandatory periodic			Missing		Mandatory non periodic		Mandatory periodic		Missing	Mandatory non periodic		Mandatory non periodic	Mandatory non periodic		Not mandatory/voluntary	Mandatory non periodic	Mandatory non periodic				Mandatory periodic	Missing	Mandatory periodic		Mandatory periodic			Mandatory non periodic	Not mandatory/voluntary			Missing	Mandatory periodic	Missing	Mandatory non periodic	Mandatory non periodic	Missing
Regular appraisal	Mandatory periodic	Mandatory non periodic	Mandatory periodic	Not mandatory/voluntary	Missing	Mandatory non periodic	Not mandatory/voluntary		Mandatory periodic		Missing	Mandatory non periodic		Mandatory periodic	Mandatory periodic		Not mandatory/voluntary			Mandatory periodic	Mandatory periodic		Mandatory periodic	Missing	Mandatory periodic		Not mandatory/voluntary	Mandatory periodic			Mandatory periodic		Missing	Mandatory periodic	Missing	Mandatory periodic	Mandatory periodic	Missing	
Teacher registration	Mandatory periodic	Mandatory periodic			Missing						Missing			Mandatory periodic		Not mandatory/voluntary	Not mandatory/voluntary	Mandatory periodic			Missing		Not mandatory/voluntary	Not mandatory/voluntary	Mandatory periodic					Mandatory non periodic	Mandatory non periodic	Mandatory non periodic		Missing				Missing	
Appraisal for promotion	Missing	Mandatory non periodic			Missing		Not mandatory/voluntary				Missing			Mandatory periodic	Not mandatory/voluntary		Not mandatory/voluntary	Mandatory periodic			Missing		Not mandatory/voluntary	Not mandatory/voluntary			Not mandatory/voluntary			Not mandatory/voluntary			Missing		Missing	Missing	Not mandatory/voluntary	Missing	
Reward schemes					Missing	Not mandatory/voluntary					Missing			Mandatory periodic	Not mandatory/voluntary			Mandatory periodic			Missing		Not mandatory/voluntary	Missing						Not mandatory/voluntary		Not mandatory/voluntary	Missing	Mandatory periodic	Missing	Missing	Not mandatory/voluntary	Missing	

Chart D7.1., Education at a Glance 2015



Types of teacher appraisals

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In general programmes, lower secondary education

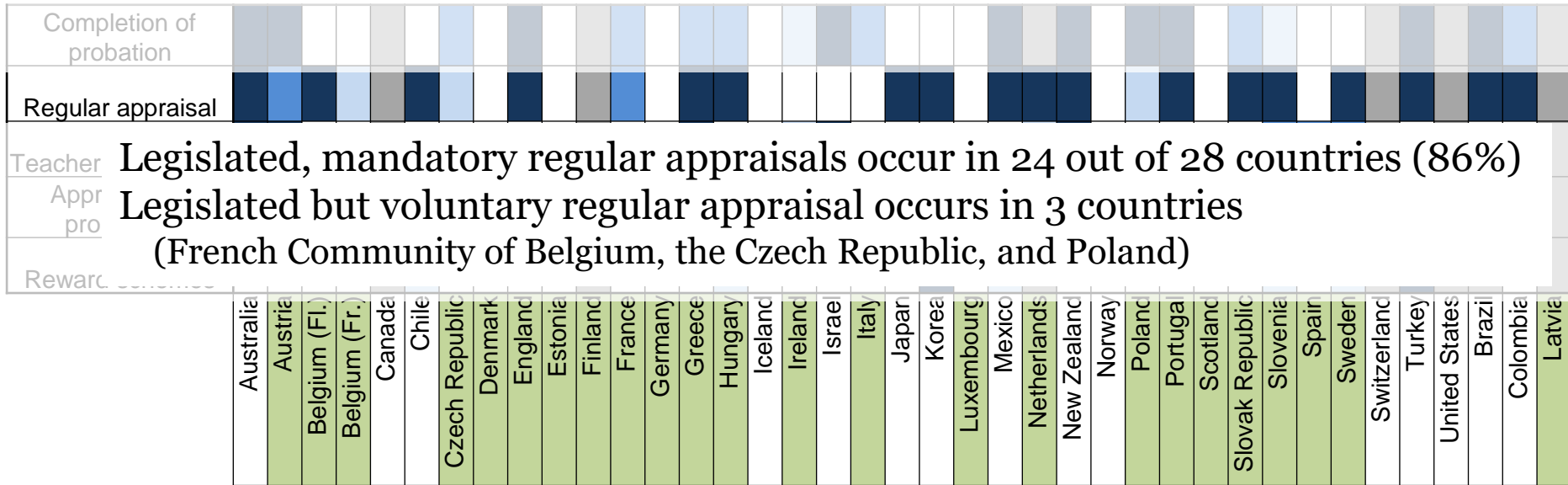
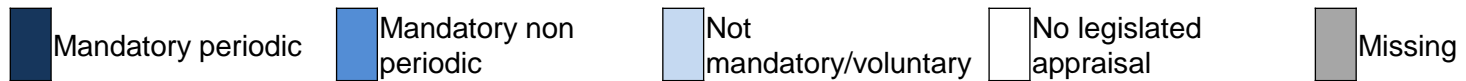


Chart D7.1., Education at a Glance 2015

- Even if there is no legislated appraisal system, many countries still have some sort of practice for regular teacher appraisals (e.g. Denmark)



Types of teacher appraisals

Frequency of various types of teacher and school leader appraisals covered by policy framework (2015)

In general programmes, lower secondary education

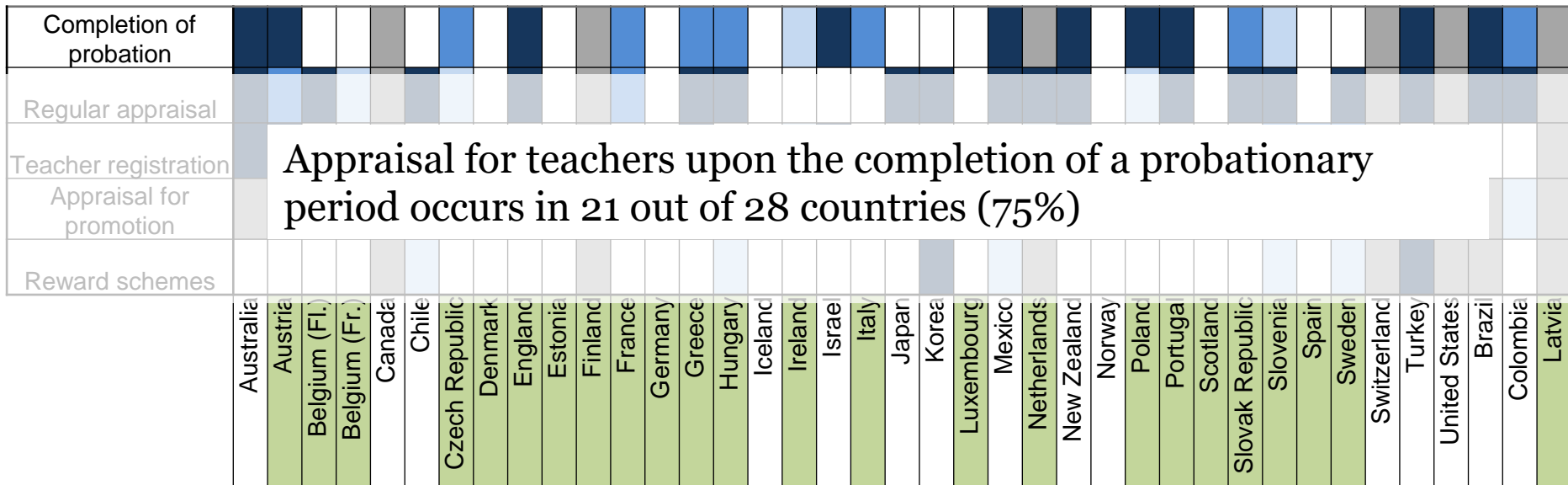
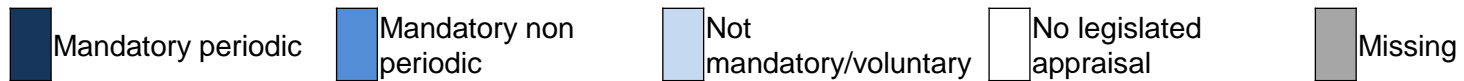


Chart D7.1., Education at a Glance 2015

- Even if there is no legislated appraisal system, many countries still have some sort of practice for appraisals for the completion of probation



RESULTS GOVERNANCE AND RESPONSIBILITIES FOR TEACHER APPRAISALS



What types of appraisals are **mandatory** and which are **voluntary**?

- **Regular appraisal**, appraisal for **completion of probation**, and appraisal for **teacher registration** are **mandatory** in the majority of countries.
 - Appraisal for **teacher registration** are mandatory in 8 countries (**73%**) and voluntary in 2 (**18%**) (1 missing)
- Appraisal for **promotion** and appraisal for **reward schemes** are **voluntary** in the majority of countries.
 - Appraisal for **promotion** are voluntary in 7 countries (**54%**) and mandatory in 4 (**31%**) (2 missing)
 - Appraisal for **reward schemes** are voluntary in 5 countries (**56%**) and mandatory in 2 (**22%**) (2 missing)



Why are teachers appraised?

- ***Employment status*** (69% of countries)
- ***Performance*** problems (46% of countries)
- Discretion of the ***school principal*** (31% of countries)
- In response to a ***complaint*** (27% of countries)
- Teacher ***volunteers*** or requests to be appraised (20% of countries)



Who determines the procedures for appraisals?

- **12** different potential levels of authorities
- **Central education authorities** (68% of countries)
- **State education authorities** (25% of countries)
- **86%** of countries use either central and state authorities
- Other education authorities:
 - **School principal** (25% of countries)
 - **School board** (25% of countries)
 - **School organising bodies** (14% of countries)
 - **Teachers' professional organisations** (11% of countries)
- Responsibilities shared with **regional, sub-regional**, and **local education authorities**.
- Authorities differ between appraisal types. **Slovenia:**
Regular appraisal – Central, Reward schemes – Principal



Who are the evaluators?

- Can have numerous evaluators per appraisal type
 - **Austria** for Regular appraisals: State education authorities, Provincial or regional education authorities, School principal, Intermediate agency
- **School principal** (82% of countries)
- **Other education authorities**
- **Supervisor** for probation (50% of countries) and teacher registration appraisals (40% of countries)
- **Other school leaders** (35% of countries) and **supervisors** (27% of countries) for regular appraisals



RESULTS COMMON PROCEDURES USED



What are the main standards for appraisals?

- For a majority of countries, the main standards are ***national or state teaching standards*** but can use additional references.
 - **Sweden** for Regular appraisal: National standards, School development plan, School internal regulations
- Appraisals for Teacher registrations always use ***national or state teaching standards***.
 - **Ireland** also uses the teacher code of conduct
 - **Greece** also uses a school development plan or school project



What are the key domains and aspects for appraisals?

- The most common aspects of the job covered in appraisals include *planning and preparation*, *instruction* and *classroom environment*.
- Other domains covered include *professional development*, *contribution to school development* and *links to the community*.
- Although countries include these aspects of appraisals, they are not necessarily included in all types of appraisals.
 - **Austria:** Regular appraisals include planning and preparation but appraisals for teacher registration do not.
 - **Czech Republic:** Regular appraisals include classroom environment but completion of probation do not.



What are the methods used for appraisals?

- The most common methods include ***classroom observations, interviews of teachers, teacher portfolios,*** and ***teacher self-appraisal.***
- Less common methods include ***parent*** and/or ***student surveys.***
 - **Slovak Republic** for regular appraisals and completion of probation
- ***Student outcomes*** are common for regular appraisals.
- ***Teacher portfolio*** and ***classroom observation*** are common for promotion and reward schemes.
 - **Hungary** includes both for reward schemes



Can appraisals be appealed?

- All countries have mechanisms in place to appeal ***teacher registration appraisal*** results.
- Mechanisms for appealing appraisal at the ***completion of probation*** and for appraisal for ***promotion*** (80% of countries).
- Mechanisms for appealing results for ***regular appraisals*** (67% of countries).



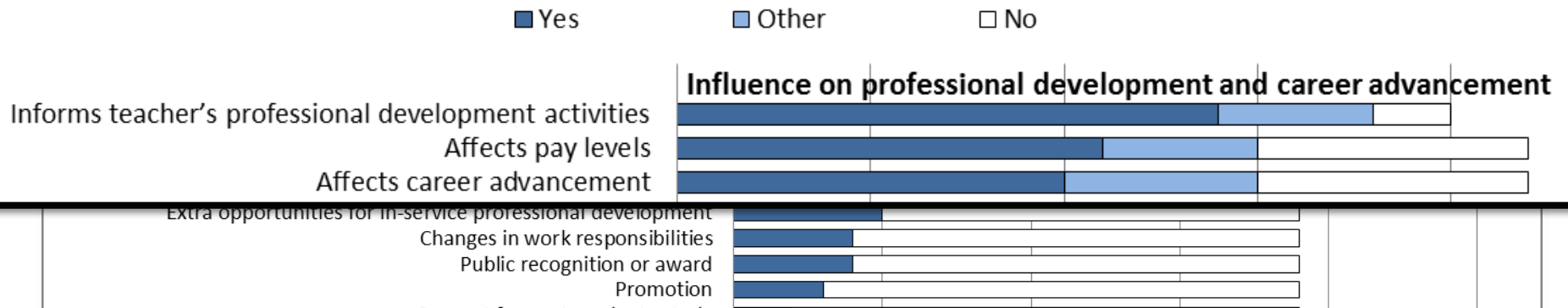
RESULTS USE OF RESULTS OF APPRAISALS



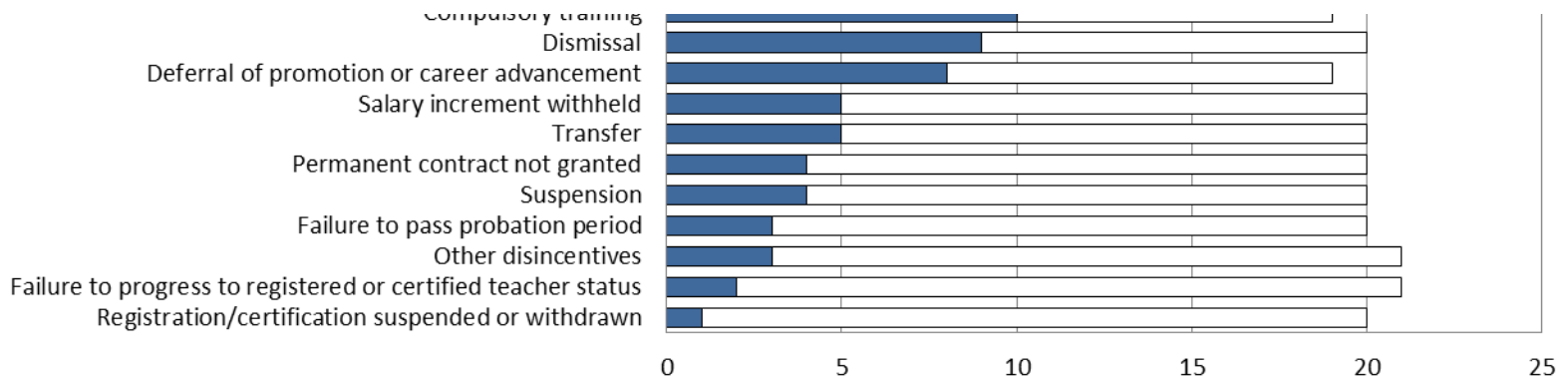
Use of results for *regular teacher appraisals*

Use of results from regular teacher appraisals (2015)

For lower secondary teachers teaching general programmes



Results for *regular teacher appraisals* are used to make decisions on *teachers' professional development activities*, affect *teachers' pay*, and affect *career advancement*.

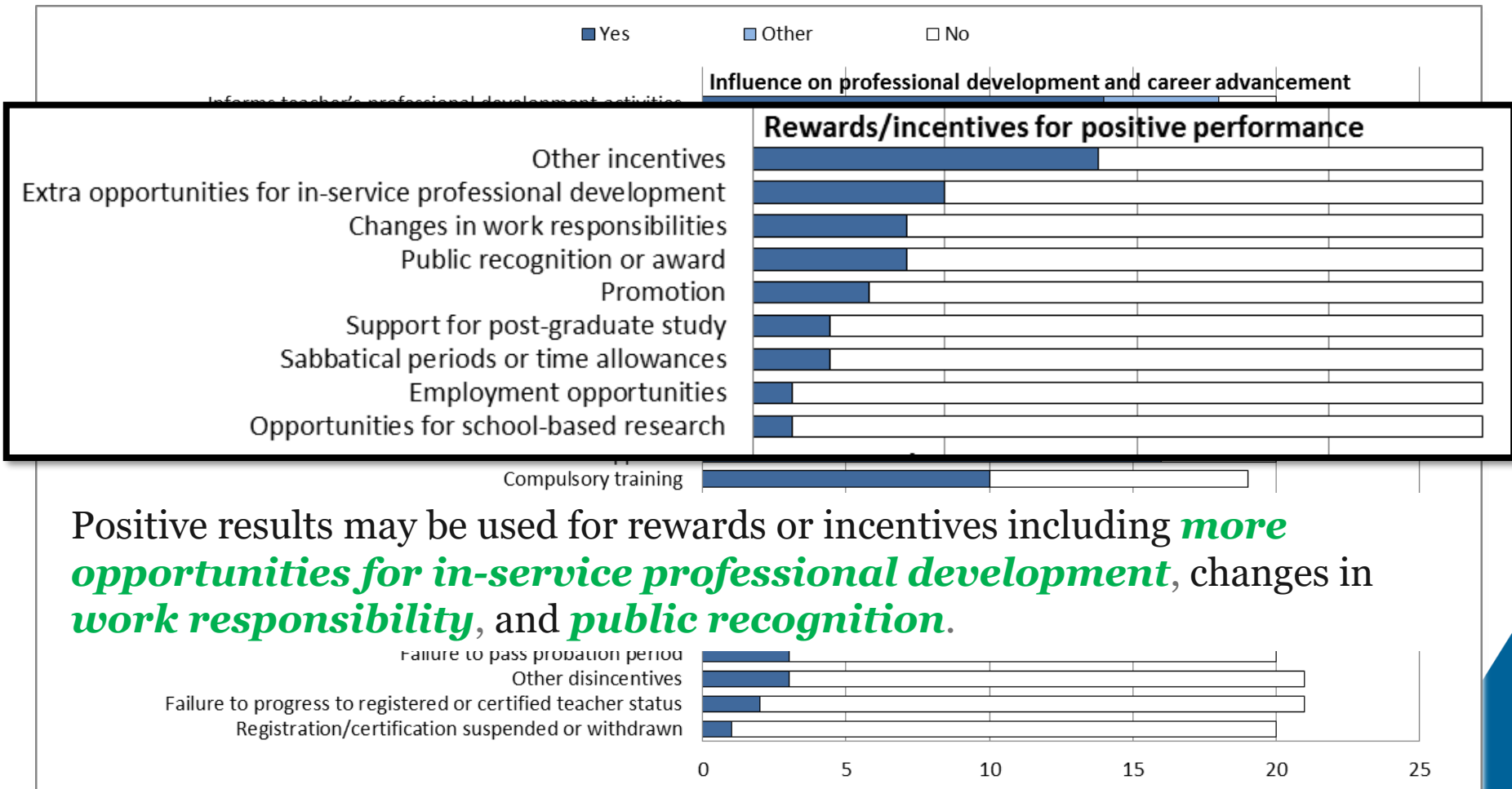




Use of results for *regular teacher appraisals*

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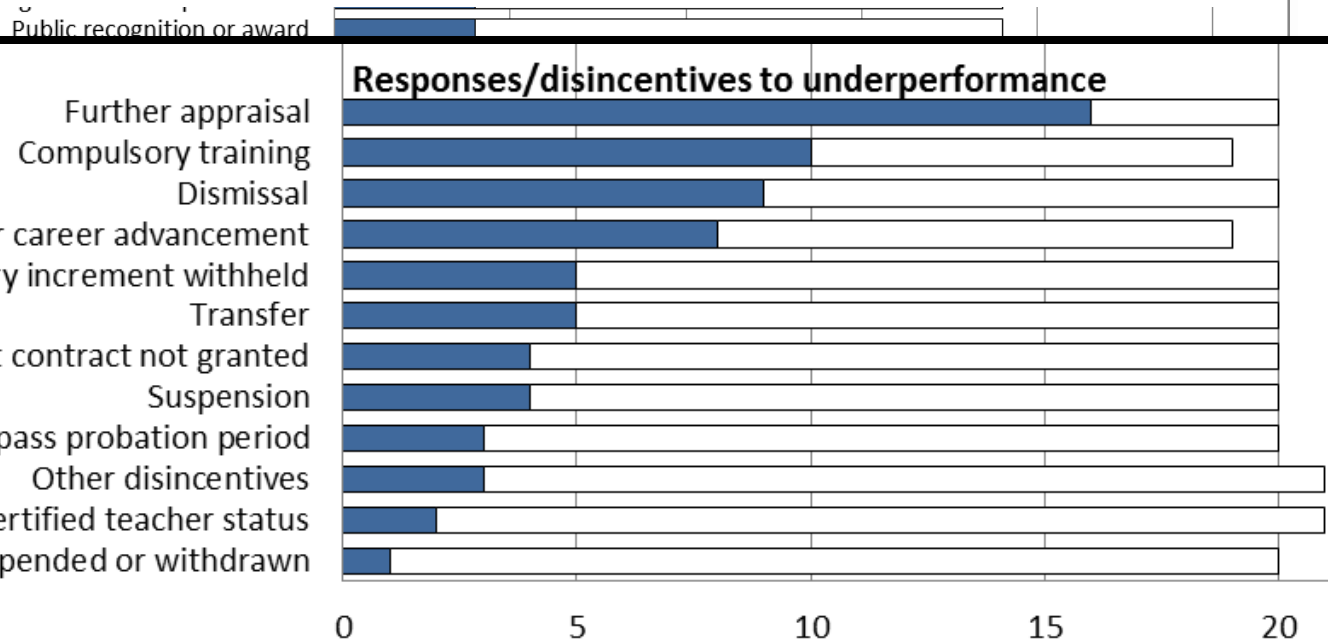
Use of results for *regular teacher appraisals*

Use of results from regular teacher appraisals (2015)

For lower secondary teachers teaching general programmes

■ Yes ■ Other □ No

Underperformance could cause the need for **further appraisal, compulsory training, dismissal, deferral of promotion or career advancement, withholding of pay raise, transfer to another school, or suspension.**





Appraisal for *completion of probation*

- Use of results to make decisions on **access to contracts**, but affect **teachers' pay** (50% of countries), and **teachers' professional development activities**.
- Positive results may be used for rewards or incentives including **employment opportunities** (50% of countries).
- Underperformance results in **failure to pass the probation period** in all countries, and can also include **dismissal, permanent contract not granted, further appraisal required, failure to progress to registered or certified teacher status**, and **compulsory training**.



Appraisal for *promotion*

- Use of results to determine ***teachers' professional development activities***, but can also affect ***career advancement*** and ***pay***.
- Positive results may lead to ***promotion***.
- Underperformance could result in ***deferral of promotion or career advancement*** or ***withholding of a pay raise***.



Appraisal for *teacher registration*

- Use of results to make decisions on ***access to contracts, renewal of fixed-term contracts, or access to a permanent position.***
- Positive results may lead to ***promotion*** (22% of countries).
- Underperformance could lead to ***failure to progress to registered or certified teacher status, a permanent contract not being granted, further appraisal, registration or certification suspended or withheld, or dismissal.***



CONCLUSIONS



Conclusions

- 28 countries participated (22 ENTEP countries)
- Majority of countries have a teacher appraisal system in place (typically legislated).
- Not all appraisals are mandatory, though typically 3 of the 5 types are (**regular appraisal, completion of probation, and teacher registration**).
- Teachers are usually appraised for either **employment status** or **performance** problems.



Conclusions cont.

- Appraisal procedures are typically decided by ***central or state education authorities***.
 - **Slovak Republic:** Central authorities, Central agency, School board, School principal, Deputy school principal, Teacher professional organisation
- Evaluators are most likely ***school principals*** or ***supervisors***.
 - Exception **Sweden:** Central authorities for Teacher registration
- The main standards used for appraisals are the ***national or state teaching standards***.
- The key aspects covered in appraisals include ***planning and preparation, instruction*** and ***classroom environment***.
- The most common methods for appraisals include ***classroom observations, interviews of teachers, teacher portfolios***, and ***teacher self-appraisals***.
 - Rare method is teacher testing, used in **Slovenia** for Teacher registration



Conclusions cont.

- Depending on the type of appraisal, appraisals can typically be appealed.
- Appraisals can affect ***teacher's professional development activities, career advancement, or pay levels.***
- Positive appraisals can lead to ***employment opportunities, promotions,*** or changes in ***work responsibilities.***
- Underperformance can lead to ***further appraisal, deferral of promotion,*** or even ***dismissal.***
 - Dismissal is usually for failure to complete probation (12 countries), but can also occur for regular appraisals (9 countries) and teacher registration (4 countries)



OECD resources on teacher appraisals

- *Education at a Glance*: <http://www.oecd.org/edu/education-at-a-glance-19991487.htm>
- OECD (2015), *Education at a Glance 2015: OECD Indicators*, OECD Publishing, Paris.
DOI: <http://dx.doi.org/10.1787/eag-2015-en>
 - "Indicator D7 What Teacher and School Leader Appraisal Systems are in Place?"
- OECD (2013), *Synergies for Better Learning: An International Perspective on Evaluation and Assessment*, OECD Publishing, Paris.
DOI: <http://dx.doi.org/10.1787/9789264190658-en>
- Similar information is also gathered on School leader appraisals and can be found in Indicator D7 of *Education at a Glance 2015*



Questions?

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