

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.

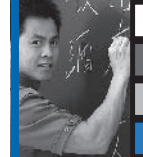
Despite this diversity, however, the results of teacher evaluations in the United States have been largely uniform and disappointing. The New Teacher Project's report, *The Widget Effect*, documents that over 99% of the teachers in the districts studied were rated as satisfactory or better on their appraisals; 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.



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.

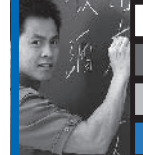


Table 3.1 (2/2)

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.

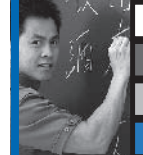


Table 3.2 (1/2)

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)

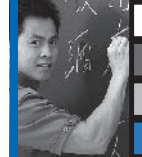
	Probation	Performance management			Rewards
		Regular appraisal	Registration	Promotion	
Korea	a	Peer evaluators at the same school	a	School principal; peer evaluators at the same school	School principal; peer evaluators at the same school
Luxembourg	School principal; teacher education faculty of University 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 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

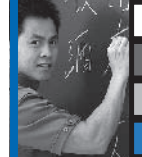
Education systems have increasingly recognised the importance of school leaders who help to guide the pedagogy in their schools, as substantiated in an OECD report (Pont et al., 2008). There are many advantages to having the principal and/or other teachers conduct developmental teacher appraisals given 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.



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

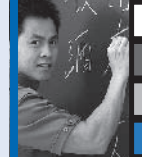
To build central capacity to formulate teacher-appraisal systems, it is important that institutions that support teachers and the teaching profession engage with each other and with the research community to ensure that the system is based on scientific advice and evidence. As explained by Isoré (2009), 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).



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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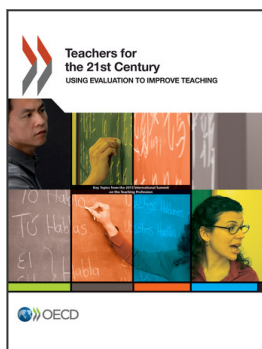
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From:
Teachers for the 21st Century
Using Evaluation to Improve Teaching

Access the complete publication at:
<https://doi.org/10.1787/9789264193864-en>

Please cite this chapter as:

OECD (2013), "Capacity for teacher appraisal", in *Teachers for the 21st Century: Using Evaluation to Improve Teaching*, OECD Publishing, Paris.

DOI: <https://doi.org/10.1787/9789264193864-5-en>

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