

# THE PERFORMANCE MANAGEMENT AND DEVELOPMENT OF TEACHERS IN AUSTRALIAN SCHOOLS

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*Report to the Teacher Quality Steering Group*

August 2009

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**"NOT EVERYTHING THAT CAN BE COUNTED COUNTS,  
AND NOT EVERYTHING THAT COUNTS CAN BE COUNTED." ALBERT EINSTEIN**

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Attachment 1 – CD of School Interviews

Attachment 2 – CD of System Interviews

Note: To maintain anonymity in the report, Attachments 1 and 2(CDs of school and system interviews) are not included in this publication.

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## *Executive Summary*

The commitment of Commonwealth and State governments to the National Partnership Agreement on Improving Teacher Quality required documentation of existing teaching staff performance management and development policies and practices in government and non-government schools in Australian States and Territories.

The objective was to address matters such as documenting how jurisdictions undertake evaluation of the impact of performance management and development; establishing and improving appropriate performance and development systems, cultures and support in all schools; and enabling sharing of examples of best practice.

Nexus Strategic Solutions was commissioned to undertake the study, which involved analysis of employer websites, interviews with principals and teachers in a sample of schools, and interviews with system-level managers of performance management systems.

This resultant mapping reveals that the majority of schools see building teacher capacity in order to achieve the objectives of the schools' plans as a primary purpose of performance management, with a central focus on professional development for the improvement of professional practice.

Teachers themselves value the opportunity which performance management and development provides to plan their professional development, acknowledge their work and break down isolation in the classroom.

Effective performance management ensures teacher self reflection and goal setting, emphasises the importance of classroom observation and feedback, provides constructive feedback to teachers from supervisors, peers and students; and promotes teamwork, collaboration and action learning by teachers to obtain the best outcomes for students.

Common characteristics in government departments are:

- legislative and policy requirements regarding the performance of public sector employees and teachers;
- specified levels of delegation for decision-making within each state government education system;
- use of the terms 'performance development', 'assessment', 'improvement' and 'management' across all systems;
- separate arrangements for the performance management of principals; and
- separate arrangements for managing under-performance.

Independent schools associations and Catholic Education Offices tend to focus on performance management for school leaders, although some systems do have, or are starting to develop, policies for all teachers.

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Performance management is a legislated requirement in most Australian States and Territories, and many systems and individual schools (in the non-government sector) have performance management written into industrial agreements with relevant unions.

Half the policy documents for government systems do not address operational responsibility for conducting performance management processes in schools, which is generally delegated to principals. In a number of schools and systems interviewed, teachers are actively involved in the design of performance management programs and, in other instances, teacher feedback on the process is valued and followed up.

Most systems lack a succinct set of criteria against which a teacher's performance can be assessed at the various levels of expertise. Some system policy statements include suggestions that schools use standards as a guide, others make no reference to standards and some schools (particularly independent schools) develop their own. As a result, standards vary in number, complexity and the levels of performance covered.

Of the twenty-five schools surveyed, twelve use recognised standards; Government schools are subject to departmental standards which are different in each jurisdiction; some non government schools use systemic standards; schools also use standards of the teacher registration authorities. There is a multiplicity and complexity of documents associated with performance management which inhibits the usefulness for busy schools. Adoption of a national standards framework should overcome these issues.

Some state government departments have rigorous monitoring systems, others do not, and there is little evidence of formal mechanisms for schools to provide performance management feedback to their central office. Independent and Catholic sectors do not have a mandate to monitor performance management and development in their member schools.

Current monitoring processes focus on whether performance management and development is being conducted by schools, rather than on the quality of the process, and mechanisms for assessing the implementation and effectiveness of policies and procedures could be improved.

There is recognition of the need to provide additional support and training to staff with responsibility for managing performance management and development processes to enable them to develop sufficient confidence and skill in tackling difficult performance issues. Training in performance management generally resides with individual schools and, except in some cases where additional funds are available from the centre, costs have to be met from existing resources.

Teacher registration bodies exist in all states except the Australian Capital Territory (where a recommendation has been made for the development of one). There appears to be considerable variation in the relationship between these bodies and employing authorities (government, Catholic and independent) – some work closely together – others not so closely. The role of teacher registration bodies in relation to professional development is currently limited but appears to be evolving.

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Australian and international research indicates that the quality of teachers and teaching is by far the most significant factor affecting the outcomes of schooling.<sup>1</sup> More effective implementation of performance management in Australian schools would require attention to:

- reducing information overload and focussing on clear principles and lines of responsibility;
- assisting those schools that have not yet implemented performance management and development;
- training school leaders to undertake performance management effectively;
- establishing quality feedback mechanisms; and
- developing ongoing monitoring of both the implementation and quality of strategies around the nation.
- develop a national set of principles for effective performance management in schools.
- use of national funds to design appropriate computer software to reduce paperwork associated with performance management.

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<sup>1</sup> [http://www.acer.edu.au/enews/0310\\_quality\\_teaching\\_matters\\_most](http://www.acer.edu.au/enews/0310_quality_teaching_matters_most). See also Hanushek (2005), Margo et al (2008) and OECD (2009).



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# 1 Introduction

## 1.1 Background and Scope

In early May 2009 Nexus Strategic Solutions (Western Australia) was contracted by the Quality Sustainable Teacher Workforce Working Group (QSTWWG) to conduct national research on current performance management practices in Australian schools. QSTWWG was a subgroup of the Ministerial Council for Education, Early Childhood Development and Youth Affairs (MCEECDYA), formerly MCEETYA,<sup>2</sup> which reports to the Council on Australian Government on issues of quality education. It has a general brief to improve outcomes for Australian students. One of the goals of the research was to reveal a range of good practices that could benefit schools across the nation.

The purpose of the research was to document existing performance management and development (PMD) policies and practices to enable sharing of effective practice.

The project strategy involved documenting policy and practices in both Government and non-Government schools as well as the independent sector, recognising that many non-Government schools are not part of an education system and that their policies and practices are entirely school-based. It also required discussions with schools across the country to assess how such policies were used in practice.

## 1.2 Methodology

Working with members of QSTWWG, Nexus Strategic Solutions developed a three-part research methodology. In the first instance there was a short literature review looking at issues of performance management, particularly in school environments. This review was helpful in developing the interview questions and also allowed the researchers to critically analyse the issues in Australian schools within their international context. A summary of this review is provided below at 1.3 with the full report at Appendix 1.

The second part of the strategy was to investigate policies and practices – what did school systems around the nation say should be done in schools. Information for this part of the research came largely from two sources – formal documentation (generally available through websites) as well as from interviews with representatives from state government systems and peak organisations. Information in this area was supplemented by discussions with representatives of accreditation bodies.

A structured interview schedule was developed (see Appendix 2) to guide these discussions and a list of the agencies contacted is provided at Appendix 3. Summaries of the interviews are at provided in a CD (Attachment 2). All summaries were returned for confirmation of their content. Copies of written documents have been provided in separate lever arch files.

The third, and perhaps most significant, part of the research comprised interviews with representatives from 25 schools, generally the principal. Schools seen to have implemented good practices were identified by representatives from systems or peak organisations and approached for their assistance. The researchers are appreciative of their positive cooperation in all instances.

The school interview question schedule is at Appendix 4. Every attempt was made to ensure that the selected schools covered the full range of school types (primary and secondary, metropolitan and regional, government, Catholic and independent) across every

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<sup>2</sup> The reporting line for this group is now the Quality Teaching Research Subgroup.

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state and territory (see Summary Table of School Types at Appendix 5). Summaries of the interviews with schools (without school names to provide anonymity) are at provided in a CD (Attachment 1). All summaries were returned to schools for confirmation of their content.

Written information and comments from schools were reviewed and a set of issues was identified.

### 1.3 Summary of the Literature Review

This review of the literature has three components. First there are some general comments about performance management as a human resource process across organisations. Second is a short examination of some of the more recent professional literature relating to the performance management of teachers. This has been drawn largely from the United Kingdom, New Zealand and Australia. Third is a brief insight into what is currently being done in schools in the United Kingdom, New Zealand and Canada.

The full literature review is contained at Appendix 1.

#### 1.3.1 General Conclusions

- Organisations generally struggle to build effective performance management systems.
- There is a trend for organisations to move from performance management systems that focus on performance appraisal to systems that integrate organisational and individual performance, linking work practices and performance to the achievement of agency outcomes.
- Performance management is generally seen to have two purposes – accountability and development. But operationally there can be contradictions and hence tensions between these purposes.
- The best way to improve educational results is to recruit the right people to become teachers and then develop them well.
- Students of good teachers perform better than students of poor teachers<sup>3</sup>.
- An effective performance management system can lead to improvements in teacher performance.
- The best education systems in the world are characterised by ongoing performance management.
- Teachers generally report that appraisal and feedback make a difference in their work.
- Principals are the linchpin of an effective performance management system.
- The success of performance management in any organisation, including schools, is a function of factors operating at a local level.
- In Australia, teachers respond favourably to professional appraisal without the need for monetary reward.
- Mandated teacher improvement plans for those identified as poor performers show a substantial return on investment.

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<sup>3</sup> And the economies of countries with a well-educated population grow faster than those with less well-educated people.

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### 1.3.2 Issues of Concern in Performance Management for Teachers

The following issues are derived from research documented in Appendix 1.

- Three-quarters of teachers say that, in their school, the most effective teachers do not receive the most recognition.<sup>4</sup>
- Performance management is less than effective when teachers have a poor understanding of its purpose.
- There is concern that management-based performance management systems have little impact on authentic learning for teachers.
- Educators have concerns about linking performance management to human resource decisions about promotion and pay because of concerns about measure, context and negative impact on teamwork.
- Teachers find that the demands of reporting and recording performance, and of managing processes of accountability, have serious impacts on their time and energy.
- Relatively few teachers participate in the kind of professional development that has the largest impact on their work, namely qualification programs and individual and collaborative research.
- There is a danger quantitative indicators of performance that can easily be measured and ranked (e.g. pupils' examination performance) are given greater significance by policy-makers than other, less easily measured, aspects of education.
- Advocates of league tables are reluctant to acknowledge their limitations; the most obvious is that these are statistical artefacts: league tables run from top to bottom and there will thus always be a 'bottom' 20%.
- The ranking of educational performance of different countries may risk reducing the capacity of national systems to design the most appropriate curriculum approaches for their students.

### 1.3.3 Areas of Positive Focus in Performance Management

- While the teaching profession welcomes accountability it sees this best accomplished through a focus on development within a performance management framework.
- Principals, too, prefer to focus on development in performance management. They see it as positively linked to setting objectives, linking a teacher's work to the school plan and individual career development.
- Successful performance management is largely dependent on the quality of relationships.
- Performance improvement should be part of the professional accountability of a reflective practitioner working in a positive school climate.
- It is particularly important that performance management for beginning teachers is focused on creating reflective practitioners.

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<sup>4</sup> From the OECD TALIS study in Appendix 1.

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- In schools where strong instructional leadership is present, school principals are more likely to use professional development to address teachers' weaknesses identified in appraisals.
  - The best education systems in the world are characterised by high levels of lesson observation.
  - There is a need for individualised and targeted programs for teachers rather than just whole-school or system-wide interventions that have traditionally dominated education policy.
  - Successful teacher retention requires a supportive work context and professional autonomy.
  - Unions can play a positive role in the implementation of performance management.
  - Educational planners could do more to support teachers and improve the performance of students if both the public and policy-makers focused less on control over resources and educational content and more on learning outcomes.

#### 1.3.4 Performance Management for Teachers in the United Kingdom, New Zealand and Canada

- The requirement for the performance management of teachers is mandated by national government in the United Kingdom and New Zealand and at state level in Canada.
- Performance management is seen as important to teacher and school improvement.
- Responsibility to carry out performance management processes has been delegated to principal level in schools.
- There are links to standards of teaching although the links do not appear to be rigid.
- The central focus of performance management in these nations appears to be professional development for the improvement of professional practice.
- In the United Kingdom and New Zealand there are links between the performance management process and pay. In Canada some Boards of Education pay an allowance for additional qualifications, but this is not linked to appraisal.
- The performance management process is both retrospective (reviewing past performance with a view to improvement) and prospective (planning for the future).
- Results from the performance management process are documented.
- Where there is unsatisfactory performance, a performance improvement program is required, although it is not clear in the United Kingdom case whether successful completion is required for return to the classroom.

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## 2 Performance Management and Development of Teachers – Views from Twenty Five Schools

### 2.1 The Performance Management and Development Process

Nexus conducted interviews with representatives from 25 schools that illustrate the diversity of educational institutions in Australia – from large metropolitan secondary schools to small regional schools, primary and secondary, government, Catholic and independent. Full transcripts of the interviews are available on CD as Attachment 1. Six schools that illustrate the variety of approaches to performance management in Australian schools have been summarised as case studies at Appendix 6.

All interviewed schools had been identified because they were seen to have performance management and development (PMD) systems in place, and there were a number of similarities in their processes.

Of the 25 interviewed schools all but one included teachers in their performance management system (that one school restricted the process to staff in leadership roles). All interviewed schools appeared generally satisfied with their performance management processes while recognising that there is room for improvement.

#### 2.1.1 Purpose

All schools had, at the heart of their PMD processes for teachers<sup>5</sup>, a commitment to the improvement of teacher professional practice. In most instances this was the sole objective.<sup>6</sup> There seemed to be a general wish to ensure that issues of salary and other working conditions were kept separate from the process, although changes appear to be afoot in New South Wales and Victoria.<sup>7</sup>

In Victoria the results are also used to determine the payment of salary increments. The independent sector also had examples where salaries could be potentially linked to performance management although this was voluntary. Teachers in one independent school, for example, could use information from the process in their application for Senior Teacher, a status which would carry additional salary. Another independent school offered a limited number of bonus payments to teachers demonstrating exemplary practice with these decisions arising from results in the review process.<sup>8</sup>

Some systems have Advanced Skills Teacher type classifications although these were not directly linked to the performance management process. In Victoria and New South Wales

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<sup>5</sup> The school in which the performance management system was restricted to those in school leadership roles had a focus on accountability.

<sup>6</sup> At least two schools noted that previous systems had been unsuccessful and a positive focus on development was seen as essential to introduction of new processes.

<sup>7</sup> Justine Ferrari, "Plan for schools of excellence", *The Australian*, 31<sup>st</sup> July 2009. Over the years there has been much discussion about pay for performance but this has not yet been introduced at system level. This may be changing however. At the end of July this year the New South Wales government announced that student results would be linked to the performance of teachers under a new program creating 50 schools as Centres of Excellence to improve teaching quality. ... The scheme will extend across Catholic and independent as well as government primary and secondary schools. .... Each centre will receive start-up funding, staffing support and a highly accomplished teacher -- a newly created level of classroom teacher under the state's first system of merit pay that pays teachers \$100,000 to work in disadvantaged schools.\* Farrah Tomazin, "Teachers to trial performance pay", *Metropolis*. In Victoria the Minister for Education has commissioned the Boston Consulting Group to look at performance pay systems overseas for models to be trialed in 2010.

\*Editorial note: NSW Dept of Education and Training believes the Justine Ferrari's is not necessarily a true interpretation of the case.

<sup>8</sup> When the review process has been completed (around November) the senior executive team reviews the outcomes to assist the principal to decide bonuses for the following year. Approximately \$100,000 is available annually for bonuses for high performing teachers with three years service or more. Individual bonuses may be \$2,000, \$4,000 or \$6,000.

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the review process is linked with the teacher registration requirements. Teachers in NSW could also choose to apply for accreditation above the competence level with the Institute of Teachers; if so they would be assessed against the Institute's standards in those instances.

There were, however, individual differences in how the performance management and development processes were implemented in the schools particularly in terms of:

- the length of the cycle and frequency of the meeting schedule;
- those participating in the process;
- use of professional standards;
- the type of evidence considered and preparation required of teachers; and
- use of rating scales.

### 2.1.2 Planning and Goal Setting

Performance management in Australian schools is closely linked to school planning and goal setting. As noted by one school, it "derives from the school's goals identified in the School Improvement Plan". The PMD process then followed a cycle of one to three years. In all instances the cycle commenced with a formative process – teachers engaging in some self-reflection and setting their goals (generally 3 to 5 in number) for the year, documenting and formalising these in a meeting with their supervisor<sup>9</sup>.

Teachers were expected to incorporate school goals and priorities into their goal setting process. In most cases direct links with the school plan (sometimes called School Improvement Plan) were required and, indeed, a specified number of linked goals were required. For example, in one school each teacher is asked to "decide five priorities for the year, three dictated by the school and the system, one faculty goal and one individual professional goal." While teachers are expected to address system goals in those schools that are part of a system, this occurs through the mediating mechanism of the school plan. There was also opportunity to pursue personal/professional goals.

At least two schools mentioned that they used internal and external coaches; and one of their coaching responsibilities was to help teachers in their planning and goal setting. Another school ensured that supervisors working with teachers attended centrally provided workshops on goal setting. Goals, where described in the interviews, tended to be linked to curriculum and student outcomes.

A key outcome from all teachers at the conclusion of this first stage was a plan setting out the teacher's goals with an associated professional learning plan based on the skills and knowledge required to achieve them.

### 2.1.3 Cycle and Frequency

The initial planning/goal setting meeting between teacher and supervisor early in the year would be followed by one to three meetings throughout the course of the year with the final meeting generally seen as a summative session<sup>10</sup>, in which formal feedback on performance

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<sup>9</sup> Occasionally the term 'supervisor' was replaced by another such as 'facilitator'.

<sup>10</sup> Assessment is often categorised as formative and summative for the purpose of considering different objectives for assessment practices. Formative assessment is generally carried out throughout a course or project and is often diagnostic in nature, used to aid learning. Summative assessment is generally carried out at the end of a course or project and may incorporate a rating.

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would be given.<sup>11</sup> In such a session there would be a review of achievements and identification of areas where improvement might be sought. Although only one or two formal meetings might be scheduled during the year (and as many as one per term) it was anticipated that there would be considerable informal discussion and feedback over the year between teacher and supervisor.

It is notable that in the independent sector the formal cycle tended to be longer, with a number reporting three-year cycles for formal review although a planning review occurred annually. Where there were concerns about teacher performance, however, the formal review cycle became annual in the case of the independent sector and additional formal meetings were scheduled in those schools with an annual cycle.

While the final formal session tended to be a discussion between supervisor and teacher, the independent sector showed more diversity. In one case the teacher could give a 20-minute presentation to the principal and deputies OR have a classroom observation OR provide a copy of a filmed lesson. A number of senior staff, including the principal, might be included in the discussion.

#### 2.1.4 Record Keeping

The requirement for formal record keeping varied. All plans were documented and tended to be held by the school administration. In general the final summative review session was also recorded and the paperwork held by the administration. While the results of other formal meetings would be recorded, the paperwork was not always held by the administration but rather remained with the supervisor.

A number of schools appear to be moving to an online system for recording PMD information. One independent school sent a letter to each teacher after the formal review acknowledging their work.

#### 2.1.5 Operational Responsibility

In all schools the principal had ultimate responsibility for the performance management and development of staff.<sup>12</sup> He/she tended to devolve operational responsibility, however, to those in leadership positions using the line management structure of the school (a top down approach), although evidence from peers and students might be considered (see further information in section on evidence).

As noted previously, most interviewees referred to these staff as supervisors but, in some instances, they were called facilitators or coordinators. One Catholic school made clear its discomfort with the term 'supervisor'.

In primary schools the leadership team included the deputy and assistant principals. In secondary schools heads of department or learning areas are the key staff in the supervision of teachers, with deputies taking responsibility for the performance of heads of department. Independent schools were similar but, in at least one instance, the process also included the participation of a specialist outside the line management structure in some stages of the PMD process.<sup>13</sup> In another independent school, consideration was being given to rotating supervisors every few years.

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<sup>11</sup> Depending on the length of the cycle

<sup>12</sup> Principals themselves were ordinarily reviewed by a regional or area director. In independent schools an external reviewer or the Council would take on this role. In the school with performance management limited to leadership staff the principal was responsible. Responsibility for managing the performance of the principal was undertaken by the centre.

<sup>13</sup> The Director of Pedagogy attends three lessons per year per teacher and provides a personal report to each teacher. This feedback is not officially part of the PMD process.

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In at least one primary school, the principal conducted all teacher interviews. The independent schools showed a greater degree of diversity. While most schools tended to link a single teacher to a single supervisor for the purpose of PMD, in one independent school the final interview at the end of the three-year cycle was conducted by the principal. In another case the final interview included the principal and other senior staff. In some independent schools there was also use of an external appraiser for the formal review, particularly for school leaders.

In recognition of the collaborative nature of PMD as it tends to be practised in Australian schools (based on the evidence of these interviews) there was usually an opportunity for some discussion and negotiation of the plan and the report between teacher and supervisor – ‘collegial conversations’ as described by one government secondary school. In all cases, however, the supervisor would make the final judgment, ensuring that school priorities would be met.

Where disagreements could not be resolved the issue would generally go ‘up the line’ (see more in discussion on governance) although a number of schools from all sectors had a formal grievance process.

One independent school saw the nature of the process as variable, depending on the teacher; they noted that, with strong teachers, there was collegiality. This approach was less likely to be the case where frank feedback was required. At least two interviewees noted that some supervisors needed to improve their skills in providing ‘frank’ feedback to teachers.

Responsibility for monitoring and follow up of commitments agreed in the professional learning plans tended to be shared. Generally senior staff of the school (including the principal) would advise teachers about professional learning opportunities and they would then follow up anything appropriate. The formal meetings during the year would also be occasions to follow up how and whether goals were being met. It was also assumed that follow-up would occur during informal contact between supervisor and teacher.

One independent school had developed an online system for tracking attendance at professional learning sessions. In the ACT there is a central requirement to “report the number of teachers participating in the Professional Pathways program in Term 1 and again at the end of the year.” New South Wales, Western Australian and Victorian government schools also have to report annually that PMD has taken place in the school.

#### 2.1.6 Performance Standards

Where used, standards could come from three potential sources – the school itself (particularly in the independent sector), the system, or the teachers’ registration boards<sup>14</sup>. The number of standards (or ‘spheres’ as they were called in the Victorian Catholic system) used appeared to vary – from three to twelve.

In some instances the standards were also associated with indicators; and in one independent school these indicators could be seen as equivalent to a rating system.<sup>15</sup> Where appraisals were conducted for registration or accreditation purposes the teacher registration organisation’s standards would be used.

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<sup>14</sup> One school used the Institute standards for planning purposes but found them too lengthy for assessment.

<sup>15</sup> Unsatisfactory, needs improvement, meets standard, exceeds standard

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### 2.1.7 Participation

All teachers participated in the PMD process (with the exception of the one school as noted earlier). Almost all schools, however, had special arrangements for new teachers, including mentoring and other support such as orientation/induction as well as more frequent meetings with their supervisors. One independent school did not formally appraise teachers in their first year. Another gave new teachers a reduced load.

Special arrangements were also made for groups such as music teachers who might work at a number of schools. One school commented that there were different standards for differently classified teachers while another indicated that the “supervision and support structures were differentiated to reflect experience, expertise, role expectations and needs”. Also some meetings were held in groups, especially for specialist teachers.

### 2.1.8 Evidence

The types of evidence used by teachers to demonstrate their performance varied. Some schools were open-ended in their requirements leaving it to the teacher to determine what might be considered. Others were more prescriptive, identifying evidence such as work programs/lesson plans, work samples, student assessments/results and schedules, participation in school activities and classroom observations (including through video-recording).

In one primary school teachers kept a professional journal. In others portfolios were encouraged. In one instance the school supported a team ‘action learning’ approach whereby “teams of teachers are often asked to participate in an ‘inquiry’ to address a professional question or issue about an aspect of teaching which is a school priority”. One school included information on materials shared with peers and mentors.

While the evidence would be considered in meetings with supervisors, in some instances it would be shared in subject meetings with colleagues to encourage a ‘sharing culture’. One independent school was quite prescriptive, requiring two classroom observations and 15 to 20 pieces of other evidence for the final meeting.

There was also variation in terms of student and parent feedback. Independent schools were more likely to seek formal student feedback through surveys while parent feedback was generally obtained from broad parent surveys. One school received feedback through a student leadership forum.

Peer feedback through classroom observation was seen as useful, if not always required, and participation in team teaching supported this in a couple of instances. This was formalised in one independent school, however, where teachers obtained feedback from six staff – three peers and three from management (including the supervisor) as part of the formal review process (every three years).

Teachers were generally required to prepare written materials to assist in discussion with their supervisors. Most schools requiring written input appeared to use forms produced by the school or the system to assist in the process.

### 2.1.9 Rating Scales

The use of rating scales was uncommon and their use was viewed as developmental rather than judgmental in nature. One primary school had a five point scale for feedback. An independent school had a three-point rating process used for self-evaluation by the teacher in the first instance.

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## 2.2 Accountability

### 2.2.1 Purpose

Without exception schools reported that the primary purpose of their PMD systems was to build the professional capacity of teachers to improve their teaching practice so that they were better able to achieve the goals of the school and meet the needs of students.<sup>16</sup> This was further elaborated by one school as follows: "The goal of the school's performance review process is to improve learning outcomes of students, encourage collective responsibility for achieving the school's goals and celebrate achievements."

Another school commented the "school improvement and professional capacity building are interlocking objectives of the process. It has not been planned as an accountability instrument."

One Catholic school stated:

*... we do not view our processes as "performance management" in the strict sense, but rather as support for development of teachers and leaders in their respective roles.*

*... our processes have quite a different emphasis. Perhaps the only time we really approach performance management is with external reviews of the leadership team, but even then the emphasis is very much on the formative rather than the summative. ... our primary activity [is] the ongoing mentoring and development of goals and professional learning plans for all staff, and the far less frequent external reviews ...*

The process was seen as providing a teacher "uninterrupted time with their supervisor to focus on their individual issues and needs". One school described the objective to "develop high quality teaching practice as part of a professional learning culture".

Notwithstanding the focus on professional practice there was a general understanding that while the initial planning meeting and mid-year follow-up sessions were largely formative in purpose and conduct, the end-of-cycle meeting (whether annual or otherwise) was summative in nature and represented an appraisal – whether or not there were formal consequences. In other words, teachers were asked, in effect, "how did your teaching add value?"

Formal accountability with regard to the 'measurement' of performance and reflected in modifications to conditions of work (e.g. salary) was limited to formal approval of increments in Victorian schools and achieving recognition for exemplary performance in some independent schools. This is not to say that the issue of underperformance was not recognised. Although it may have been initially identified through the performance management and development process, the management of serious underperformance, however, was seen as separate from PMD.

Dealing with performance issues generally meant a more rigorous schedule of meetings. One interviewee noted, however, that there is a "fine line between compliance and professional improvement".

Schools on the whole believed that teachers clearly understood the purpose of the PMD system in their school and supported it. There were a variety of ways in which teachers were briefed on what was required, particularly through individual meetings with supervisors and staff meetings. Written information, either in hard copy or via the internet, was also

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<sup>16</sup> Notwithstanding the school where the performance process was directed only to school leaders.

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generally available. In one independent school, directors would assist teachers to prepare for their formal presentation for the summative review.

### 2.2.2 Governance of the PMD System

Most schools operating within a system indicated that their process had been designed/modified to meet the requirements of central policy on performance management. The Northern Territory and Tasmanian schools interviewed reported that they needed to meet the requirements for performance management as documented in public sector employment legislation.

From the discussions with schools it was clear that all state and territory government and a small number of Catholic systems had produced policies on PMD to be followed by schools. In such cases, most interviewees made references to the policy requirements in their descriptions. Nonetheless, in many schools teachers contributed to the design of the process at a local level, operating within the context of system-wide policy.

The requirement for performance management in systemic schools also tended to be included in enterprise bargaining agreements with unions. In most instances this was the extent of the union role in the process and school relationships with unions were considered cooperative.

Even in those instances where the interviewee commented that the union presence was strong in the school there appeared to be minimal union involvement in PMD at the school level. Their only interventions tended to occur where there might be an industrial implication for a teacher, such as withholding an increment in Victoria or where a teacher might be placed on an improvement plan because of performance concerns. In such instances the principal might invite union involvement or it could be sought by the teacher.

With the exception of Victoria and its linkage of increments to a successful performance review, the issue of an appeal against a performance appraisal was largely seen as not relevant.

In the case of Victoria, unresolved appeals could be taken to the Merit Protection Board. Elsewhere, when teachers disagreed with a supervisor's comments, schools reported that the difference would be either resolved at that level through discussion and negotiation or taken to a higher level in the school; most likely the principal would be the final arbiter of any dispute.

Independent schools reported that their PMD processes had been developed in-house and were subject to internal governance arrangements. The capacity for appeals was limited with principals as the final arbiter. In one school, however, an ongoing disagreement would be investigated by the HR Manager in consultation with the principal. In another, decisions could be appealed under the school's grievance policy. Because of the focus on development, appeals tended not to be an issue.

### 2.2.3 Nature of Accountability

Given that the focus of the performance management processes is on building teacher professional capacity, the accountability processes were framed in this context. For example, a school using a five point rating scale did so as a way of providing feedback, not for passing judgment. Another school used the department's professional standards also as a way of framing teacher feedback. This was true also in the Victorian Catholic schools interviewed where five spheres of professional and pastoral participation provided the context for feedback.

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In general teachers had not had input into the standards used for this feedback, which had been developed at system or school level (in the case of the independent sector), although their feedback on the process itself was welcomed as part of continuing improvement. In one school a teacher representative at management meetings provided a conduit for teacher comments.

Achievement of school goals was also part of the assessment process. An independent school noted that “the major focus of evaluation is the quality of the learning environment and classroom management”<sup>17</sup> “In another independent school the teacher was required to “write how they have contributed to the mission of the school”. The key elements of the job were seen to have been incorporated into the professional standards.

While some schools were not concerned about consistency in their evaluations because of their focus on building individual capacity, others saw the use of standards (and indicators where used) – whether school, system or registration board based – as providing the necessary consistency. One government school provided a folder to staff with a ‘detailed and transparent’ checklist of requirements of each teacher. An independent school commented that consistency is assisted through formal and informal discussions among supervisors.

## 2.3 Outcomes

### 2.3.1 Outcomes for Teachers

Schools documented a range of positive outcomes for their teachers. While the words may have varied, the general conclusions were similar. The key outcome was building professional capacity through professional learning for teachers, this professional learning targeted to areas of need. Also there had been an observed increase in professional discussions between teachers in their planning and in meetings. One interviewee commented on an increased focus on action learning rather than conference attendance.

Some schools supported teachers through the use of coaches and external consultants to customise their learning although group learning was used for common needs. Access to uninterrupted time with a supervisor was seen as highly valuable. Teachers could also have their career aspirations supported. Underperformers were offered assistance to improve.

The PMD process also provided an opportunity for teachers to celebrate their achievements and appreciate the alignment of their goals with those of the school. One independent school formalised the achievement with letters to their teachers after the review process.

As noted earlier, in a few instances there were concrete outcomes for teachers such as the approval of annual increments in Victorian state schools, access to increased salaries through a senior teacher process in an independent school, accreditation at competent or higher levels from teacher registration bodies or, in the case of one independent school, the possibility of a salary bonus.

### 2.3.2 Outcomes for Schools

Positive outcomes were also identified for schools. Outcomes identified by interviewees coalesce around two major themes – the professional growth of teachers and a direct contribution to improved student outcomes. As noted by one independent school: “There

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<sup>17</sup> Specifically the indicators were: Teaching practice, Student needs, Relationships, Assessment and reporting, Programming and planning, Classroom management, Discipline, and Professional responsibilities’

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has been a greater commitment to continuous professional learning; improvement in the amount of reflective practice and collegial support, and more open classrooms and collaborative learning. Teachers take pride in their portfolios and appreciate positive feedback. There is greater awareness of standards and also of realistic goal setting." Another notes that "there is a strong culture of professional learning, greater understanding of school goals, collegiality, and trust".

#### *2.3.2.1 Professional Growth*

All schools referred to the professional growth of teachers as an important outcome as some of the comments below describe. For example one principal noted that "because the process is individually focussed around teachers' individual professional development, [it] has enabled the principal to have a deeper understanding of teachers' professional goals... It has resulted in honest conversations in which teachers get feedback about their performance. Teachers and support staff are working more in teams since the process was introduced."

Another interviewee commented that teachers are more likely to "help each other to improve professional practice", and "engaging in the process of identifying key characteristics of exceptional practice has led to improved performance by teachers." The process "has led to an improved professional tone by teachers, an increase in collegiality, and teachers... taking more leadership responsibilities."

The process is seen to improve quality and effectiveness through development of a "learning community culture". This culture is marked by an "increased level of professional discussion in school and greater team approach to improving student outcomes". One school noted that "teachers are talking in a more professional way about children in the school" leading to cultural change. Another commented that the "quality of teaching and student learning has improved." Yet another indicated that the process "generates staff ownership of the school improvement process". Importantly "teachers' work is recognised and celebrated." One school summarised it well: "The process has resulted in a more professional school culture, a community of learners, reflective practice, [and] shared pedagogical language for discussion."

Another school also noted that a successful outcome of the process had been "feedback from teachers to school leaders on issues and procedures in the school. [There was now a regular] Monday Morning Mumble where teachers have an opportunity to air issues of concern."

#### *2.3.2.2 Student Outcomes*

Where teachers had clear goals linked to the school improvement plan there was a view that there was a range of positive benefits. One school commented on high standards of professional practice resulting in improved student outcomes. The process helped drive school and system priorities through integration of goals and a "participative approach on school improvement planning".

In the words of one interviewee, "the school benefits from a formal process in which the teacher's role in students' learning is the subject of review and reflection". One school commented that "professional learning is aligned with student needs and student standards have risen."

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## 2.4 Supporting the Performance Management Process

### 2.4.1 Communication

Teachers were informed about and supported in the PMD process in a multiplicity of ways. In some schools the fact that the process had been in place for some time meant only new teachers required assistance as it was now seen to be part of the culture. New appointees might be informed in their letter of appointment, through orientation processes, and have this message reinforced through regular meetings with their mentors. Regular staff meetings would provide both information about the process and opportunities for teachers to provide feedback. Information was available through hard copy booklets as well as through the intranet. Forms were generally seen to be self-explanatory. Senior teachers and school leaders were also important sources of information.

### 2.4.2 Gaining Teacher Support

From the various comments it was concluded that the positive experiences of most teachers had made it relatively easy to bring them on board despite some initial suspicion on implementation. It was clear, however, that building positive teacher support was closely tied to the fact that the process is focused on professional improvement and was participative and collegial.

Teachers felt valued by the significant focus placed on their professional development and they appreciated an opportunity for feedback on their work, for affirmation of what was being done well as well as their ideas for improvement.

In general resistance had not been an issue although an interviewee from one school indicated that it had been more difficult to get part-time teachers positively involved. Two other schools indicated that a core of cynics remained although most teachers were positive and, while some teachers might have found the process intimidating, they “appreciate the transparency of the process”. They also “appreciated being treated with more respect and with more consideration of their ideas and needs”.

One interviewee noted that young teachers were particularly appreciative of PMD as it was able to “break down the isolation of the classroom”; indeed, “more recently trained teachers see it as part of the practice of teaching”.

The increasing level of acceptance could be linked to a “transparent process that recognises achievement, provides feedback and professional learning”. It was seen to work well because it is “collegial and non-confrontational”. In the words of another interviewee “the system’s transparency, fairness, recognition of success, and commitment to improving the professional capabilities of teachers will ensure its on-going acceptance by teachers.” Another commented that “teachers become more accepting when they realise the alignment between their own work and what the school is trying to achieve.”

### 2.4.3 Resourcing

There appeared to be little formal training for teachers participating in the PMD process other than occasional school-based discussions and workshops, and as part of induction. In some cases senior staff with supervisory responsibilities for the process had attended a training program; discussions about the process were also included in some heads of department meetings. One school mentioned the availability of some central funding for training. In other instances comments were made that, given the process had been developed largely at school level, those involved were fully familiar with the requirements.

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In general there was no teacher release time for participating in the PMD process itself; meetings were organised in non-teaching time as part of the expected workload of teachers. Teacher release tended to be associated with participation in professional learning opportunities including, in some instances, opportunities for classroom observations or coaching.

In some schools supervising teachers could occasionally access teacher release time to cover their meetings with teachers. One independent school provided applicants for exemplary teacher status with two days' leave to prepare their submissions. Another provided some relief for performance discussions although the self-reflection part of the process was to be done in their own time.

Resources in the system, therefore, were focused largely on professional learning for teachers where all schools indicated that some funding was available. In schools with a more affluent client base, funding for professional learning was considered to be 'significant'. One school, however, specifically referred to the limited funds available.

## 2.5 Evaluation

### 2.5.1 General Conclusions

On the whole interviewees were positive about the PMD process, seeing it as an effective way to "marry school needs with individual plans". The opportunity to provide feedback for continuous improvement was seen as valuable. However, as one interviewee noted, "the fine tuning will continue".

Where interviewees commented on what might be further improved about the performance management process it tended to focus on skills development. In the words of one: "School management believes the process is an effective way to manage staff performance and has provided more opportunities for professional conversations between teachers and line management. A challenge is to ensure honest feedback from supervisors which can be uncomfortable."

And again: "The focus in the meetings is on positive feedback but supervisors do talk about problem issues which need to be addressed. However, not all supervisors are skilled in genuinely reviewing performance and ensuring accountability." Indeed some schools noted specifically that "supervisors would benefit from better skills for conducting frank conversations".

Areas for further development include improving the skills of "teachers to participate in professional conversations, moving from hierarchical mindsets to developing a professional learning community in the school, and making the process adaptable to teacher workloads". Teachers were also seen to need better skills to gather and evaluate evidence of their performance. Teachers with access to coaching found this to be very effective and supervisors believed that more coaching sessions would be helpful. This would, however, require improving the coaching skills of senior staff.

One interviewee was also of the view that schools would "benefit from more and better central information". One school also sought to achieve "more consistency between facilitators and agreeing on what is appropriate evidence of performance (for example differential success by students of different ability)".

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Overall these needs were well summarised in the following comment:

*The process needs to become part of the school's way of doing things. More support could be given to teachers to develop the skills to set strategic goals and to gather evidence to assess achievement of goals. Supervisors need further skill development in providing feedback to staff and to assist teachers in developing stretch goals.*

There were mixed comments on the time costs of engaging in performance management. Some felt that it was a relatively small time demand given the positive results. Others found it difficult to find the requisite time and wished it could be streamlined. Generally, however, there was no sense that the amount of time could be reduced. Moving to a two or three year cycle offers one option to reduce the time requirement.

### 2.5.2 Formal Evaluation

None of the schools interviewed had engaged in a formal evaluation of the PMD process but the school leadership was open to teacher feedback. At least one school planned an evaluation in 2010 as part of a wider review of the school.

Queensland interviewees noted that their system had been only recently introduced after a pilot program. Evaluation of the pilot had concluded, among other findings, that the team leaders are central to success<sup>18</sup>. Victorian government schools interviewed had been accredited as Performance and Development Culture schools with the accreditation process requiring consideration of the performance management process.

## 2.6 The Benefits

### 2.6.1 Keys to Professional Improvement

The responses from schools make it clear that the most significant benefit to schools and teachers of their investment in performance management is its contribution to the professional improvement of teachers and, hence, schools. This had a number of aspects.

*Building a Learning Culture:* A number of schools emphasised building a learning culture at the school where students and teachers were continually engaged in a learning process.

*Coaching and Mentoring:* Many schools have recognised that effective learning by teachers involves individual mentoring and coaching. In some cases external consultants have been engaged as coaches; in other cases coaching is done by experienced teachers and school

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<sup>18</sup> In Queensland the majority of pilot participants (see Queensland Government, *Final Report: Pilot of Developing Performance Framework*, 2008):

- Found that the initial information session assisted them to understand the Developing Performance Framework and its relevance to them.
- Considered the team leader training session to be a valuable opportunity for team leaders to work together to clarify the strategic position of the Developing Performance Framework in the school/work unit's operational plan and to plan the actions for integrating the Framework.
- Welcomed the opportunity to provide feedback to the project team on the Developing Performance Framework, the tools and resources and how the Framework was being integrated in their school or work unit.
- Agreed with the intent of the Developing Performance Framework.
- Understood the four phases of the developing performance process as well as the three elements of a developing performance plan (that is, key work tasks, professional development and support, and career goals).
- Considered the four phase developing performance process as suitable for all employee groups and types of school or work units.
- Found flexibility to be inherent in the four phases of the Developing Performance Framework in terms of how each phase is conducted and the range of tools and templates available for use.
- Considered the role of team leaders as important in driving the integration of the Developing Performance Framework.

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leaders. Some schools have appointed specialists with titles such as a literacy coach or a director of pedagogy.

*Collegiality:* Teamwork is also important in improving teaching practice. Many schools use collaborative approaches to development of goals, group planning and obtaining feedback. One school engaged in collaborative research – action learning.

*Feedback:* Feedback is essential for improvement. A number of schools are using or encouraging surveys of students and a number have built peer observations into the performance management and development process.

*Classroom Observation:* Classroom observation is essential for teachers to improve their classroom practice. Many schools are breaking down the traditional isolation of the classroom and requiring classroom observation as a part of their performance management and development processes.

*Professional Learning:* Although participation in external professional development courses is valuable, many professional learning opportunities are created at school meetings and special assignments in the school focussed on achieving school and individual goals.

### 2.6.2 Benefits to Teachers

This research concludes that teachers generally appreciate the benefits of a dedicated performance and development process which:

- is documented and transparent;
- sets aside time to focus specifically on their development;
- requires them to take time to reflect and comment on their own practice;
- requires a deliberate process of individual goal setting in the context of school-wide planning;
- recognises and celebrates their achievements; and
- gives them constructive feedback based on established criteria on how to improve their practice.

### 2.6.3 Benefits to Schools

Schools have ensured that school goals and priorities, and system goals where relevant, have been incorporated into individual performance plans of teachers. The PMD processes are a great benefit to schools in achieving their goals and, ultimately, the achievement and well-being of students. To reiterate a previous comment, “The process has resulted in a more professional school culture, a community of learners, reflective practice, [and] shared pedagogical language for discussion.” Teachers are working together as professionals.

At the system level, developing a learning culture has come through as a strong focus for two systems in particular – Queensland and Victoria – but it is implicit in other systems through comments in various documents (for example school improvement plans) about the relationship between the achievement of learning outcomes and the quality of teaching.

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#### 2.6.4 Support for Implementation of Performance Management Processes in Schools

Even though the government education systems and some groupings of Catholic schools have systemic PMD policies, considerable flexibility in implementation has occurred in schools to allow processes to reflect the particular school communities.

Leadership at school level is critical to achieve successful PMD. The principals and senior executives who were interviewed, though having different styles, were personally committed to the process, had developed systems which would deliver positive outcomes for their schools, documented details of the process, personally promoted its benefits, and were responsive to feedback on how to make improvements.

Many schools actively involved teachers in developing processes which would work best at their school, and responded to on-going feedback from teachers to amend parts of the process where necessary.

Teachers' unions have been frequently involved in negotiating PMD clauses in multi-school or individual school agreements. This has significantly assisted implementation of these processes in schools.

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### **3 Performance Management of Teachers - Views from Systems and Institutions**

Information on performance management and development arrangements for teachers in government and non-government schools in Australia was sought in two ways:

- interviews with key personnel either in person or by telephone; and
- through the collection of documentation as recommended by the relevant contact people, or as found on their websites.

#### **3.1 Interviews**

Interviews were held with representatives from:

- state education departments;
- state-based Catholic education sectors;
- state teacher registration bodies; and
- state-based associations of independent schools.

Copies of the interview summaries are provided on the CD at Attachment 2.

#### **3.2 Documents**

Appendix 7 is a summary of the documentation collected. Gaps in the summary occur where there was either no information available, it was not provided by the agency or it was not found on the website. These documents have not been checked by the various agencies, so there is a need to supplement them with updated material as it becomes available. Copies of relevant printed documents are provided separately in three lever arch files.

#### **3.3 Analysis of Findings**

A summary analysis of the information obtained through interviews and a review of the documentation follows.

#### **3.4 Performance Management of Teachers - Views from Systems and Institutions**

Information on PMD arrangements for teachers in government and non-government schools in Australia was sought in two ways:

- interviews with key personnel either in person or by telephone; and
- through the collection of documentation as recommended by the relevant contact people, or as found on their websites.

##### **3.4.1 The Performance Management and Development Process**

All state education departments have PMD policies with associated procedures. Details of these are provided in the summary reports from the interviews with system leaders (as provided on the CD at Attachment 2).

Common characteristics:

- legislative and policy requirements regarding the performance of public sector employees;
- central policy and procedural documents for teacher PMD;
- the terms 'performance development', 'assessment', 'improvement' and 'management' are used across all systems as part of a single process;
- a standard annual cycle of two, three or four meetings between teacher and supervisor to discuss/develop and review a performance plan;
- separate arrangements for the performance management of principals;
- separate arrangements for managing under-performance;
- induction programs for new teachers;
- specified levels of delegation for decision-making within each state government education system.

In addition to the above common characteristics, there is a range of processes used in schools for assessing the performance of teachers including:

- peer review;
- line management meetings – one to one, team, faculty;
- outcome evaluations and data analysis;
- 360 degree feedback (which includes surveys of parents and students); and
- evidence-based portfolios.

In some cases there are links between PMD and whole-of-school improvement. In others there are links between performance assessment and the achievement of salary increments.

#### *Interesting features from the various state departments<sup>19</sup>:*

- *The agreement between the Queensland Department of Education and Training and the Queensland College of Teaching regarding the Developing Performance Framework.*
- *The focus on self-reflection by teachers in the first phase of the performance management process in the Queensland system.*
- *The Queensland option of encouraging teachers to keep work portfolios.*
- *South Australia's emphasis on having clear delegations regarding responsibility for performance management.*
- *Victoria's introduction of a school accreditation scheme and the inclusion of teacher performance management as one of the elements that are assessed as part of the accreditation process.*
- *The recognition of the need for managers/supervisors to have sufficient confidence and skills to tackle difficult performance issues.*

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<sup>19</sup> See system reports at Attachment 2 for details of these.

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- *An implicit presence of performance appraisal in most systems with an explicit focus on performance development.*

### 3.4.2 Policy Documents

A summary of the features of the policies for performance management from each of the state education systems is provided at Appendix 8 (noting that this has not been confirmed by any of the systems at this stage). Points of interest are:

- each state has a different approach to the provision of policy documents – some are general statements and some are more in the format of procedures;
- roles and responsibilities are defined in varying levels of detail;
- the performance management cycle is usually over a 12 month period;
- there is no mention of links with the registration process;
- some policies mention standards/competencies; and
- only some policies identify the officer at a central level with end-of-line responsibility for ensuring the performance management process is implemented in schools.

### 3.4.3 Governance Arrangements

There is an array of governance arrangements in place for performance management in each government education system. Table 1 below provides a summary of these.

#### 3.4.3.1 Mandated requirements

It is interesting to note that NSW appears to be the only system with a requirement regarding performance management in its code of conduct.

Job descriptions for teachers do not exist in most systems. Roles and responsibilities are generally described in a range of other documents. Tasmania does have job descriptions for teachers and there is a requirement to participate in performance development in the generic statement of duties for the position of teacher.

The Victorian Department has also produced descriptions of roles and responsibilities for all teaching staff in the school from principal through to graduate teachers.

It should be noted in this context that all other public sector employees across Australia operate in the context of a clear statement of duties as set out in some form of duty statement and this provides a foundation for PMD processes.

**Table1: Mandated requirements for performance management**

|                                   | ACT | NSW | NT | Qld | SA             | Tas | Vic | WA |
|-----------------------------------|-----|-----|----|-----|----------------|-----|-----|----|
| Public Sector legislation         | ★   | ★   | ★  | ★   | ★              | ★   | ★   | ★  |
| Education legislation             |     |     |    | ★   | ★ <sup>a</sup> |     |     | ★  |
| Industrial Agreement              | ★   | ★   | ★  | ★   |                |     | ★   | ★  |
| Department's Code of Conduct      |     | ★   |    |     |                |     |     |    |
| Policy Documents                  | ★   | ★   | ★  | ★   | ★              | ★   | ★   | ★  |
| Agency Service Delivery Agreement |     |     |    | ★   |                |     |     |    |
| Job descriptions                  |     |     |    |     |                | ★   | ★   |    |

a New legislation is being drafted at present. A reference to performance management will be included.

### 3.4.3.2 Roles and responsibilities for Monitoring and Reporting

Table 2 below summarises the various levels of responsibility for monitoring and reporting requirements in the performance management system. It is interesting to note the gaps in the information provided in the policies of some systems. It is also recognised that this information may be provided in other formats (for example instructions from the Director General) not accessed as part of this review.

**Table 2: Levels of responsibility for monitoring and reporting.**

|  | ACT | NSW | NT | Qld | SA | Tas | Vic | WA |
|--|-----|-----|----|-----|----|-----|-----|----|
| Principal/School Leader responsible for implementation at school level | ★   | ★   | ★  | ★   | ★  | ★   | ★   | ★  |
| Principal required to provide formal sign-off                          | ★   |     | ★  |     |    |     |     |    |
| Central records kept   | ★   | ★   |    |     |    |     | ★   |    |
| District/Regional Director supervises and promotes                     |     | ★   |    |     | ★  |     | ★   |    |
| Central Office/HR section monitors, receives and reviews reports       | ★   | ★   |    |     |    |     |     |    |
| Senior Officer in central office                                       |     | ★   |    |     |    |     |     | ★  |
| Ultimate responsibility with Department                                | ★   | ★   | ★  | ★   | ★  | ★   | ★   | ★  |

### 3.4.3.3 Accountability and Performance Management

In most systems the focus is on performance development and improvement. Other than in the case of under-performance, where teachers are being held accountable for not achieving to a required standard, there is less attention to performance and accountability.

Evidence of links between performance and accountability is clearer in systems where performance is linked with school improvement processes. Some systems have developed accountability frameworks which include requirements regarding performance management.

There is a lack of clarity around the bases on which teacher performance should be assessed. This is compounded by a plethora of documents that need to be considered as part of the process, a multiplicity of standards and, in some cases, a need for the achievement of stated student outcomes. Table 1 outlines the documentation that is mandated by government systems.

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In some systems, schools are expected to identify outcomes with respect to student learning achievements so that site learning plans have direct correlation with teachers' PMD plans. But there is no direct mention of links with system outcomes (although this may be implicit in other documentation).

In some systems, teachers have access to appeal mechanisms whereby they may appeal against the decisions of their employers regarding an outcome of a performance management process – in this case the employer is held accountable for the decision.

*Interesting features from the various state departments:*

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- *Tasmania and Victoria appear to be the only two states that have job descriptions for teachers where a requirement to comply with performance management is stated.*
- *Accountability is usually associated with the under-performance of teachers, rather than their performance generally.*
- *A description of desired outcomes from the performance management process is generally implicit rather than explicit.*
- *Where outcomes exist they appear to be developed at school level.*
- *Queensland links better student outcomes to improvements in teacher performance.*
- *Appeals against a performance management process are possible in some systems.*

#### 3.4.4 Union involvement

The involvement of unions in the performance management process is a feature in most government systems:

- In the ACT, the teachers' union was consulted in the original development of the Professional Pathways program. Commitment to the process is also included in the Department's certified agreement with the union.
- In NSW, the Teacher Assessment Review Schedule (TARS) is included in the teacher quality section of the government teachers' award. The New South Wales Teachers' Federation participated in developing the TARS process and is also involved in providing training. Also, the Federation has reached agreement with the Department on the processes for managing underperformance – the Teacher Improvement Program.
- In the Northern Territory, the union is always involved as an advocate for a teacher during any under-performance process. Such processes, however, rarely occur.
- In Queensland, the union has been involved in the process since the beginning and was represented on the initial reference group. The union has always supported the process.
- In South Australia, the union accepts the *Performance Management Policy* and the Advanced Skills Teacher process. As a matter of practice, the Department seeks to have union involvement in the development of processes, including PMD processes.
- In Tasmania the teachers' union sees the introduction of performance management as positive because it assists teachers to develop professionally.

- In Victoria, the teachers' union has accepted the enunciation of the roles and responsibilities of teachers and performance management process in its Enterprise Bargaining Agreement with the Department, in the Victorian Government Schools Agreement 2008 Section 9. Consultations occur with the union and other stakeholders on establishment of processes for teacher performance development.
- In Western Australia, the Department and the teachers' union are parties to an enterprise agreement which includes performance management and agreement on consultative processes. The union is not involved in the performance management process at school level.

*Interesting features from the various state departments:*

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- *Union involvement is seen as positive.*

### 3.5 Support

#### 3.5.1 Support materials

Systems have developed an extensive range of documents that are designed to support and assist teachers with the performance management process<sup>20</sup>. The practice is to publish these on websites. Some systems provide training through workshops, and coaching and support from consultants. Schools may also develop their own materials around the performance management guidelines.

Principals are generally held responsible for communicating departmental policies and procedures for performance management, for ensuring teachers have a clear understanding of the process and for ensuring teachers have access to the various support materials.

*Interesting features from the various state departments:*

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- *Most systems have a large range of support materials available.*
- *While there was evidence of consultation with schools and teachers in the process of developing support materials, no information was provided on ways teachers might provide feedback on the value of departmental documentation.*

#### 3.5.2 Training

Most systems commented on the availability of training in the performance management process for principals and other school leaders. In some cases it was noted that the training was offered on an occasional basis only, whereas in other cases training is offered on an ongoing basis.

Generally, training for teachers is a school-based decision and thus varies from school to school. Principals have a key role in ensuring the provision of support and training for performance management at the school level. Training for school leaders is provided at system or district/regional level.

Costs of training are usually met from within school budgets, although some systems provide funds for release time for school leaders to implement performance management. Some

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<sup>20</sup> Some of these materials are listed in the table at Appendix 7

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systems also provide additional resources (funding and/or time release) for training associated with the under-performance of a teacher.

*Interesting features from the various state departments:*

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- *Responsibility for the provision of training in performance management processes generally resides with individual schools.*
- *Costs of training are usually met from within school resources.*
- *Arrangements for releasing teachers to undertake training is generally decided at school level.*
- *Leadership training is provided by most systems.*
- *In some cases, additional resources are provided from the centre for managing under-performance.*

### 3.6 Evaluation

Evaluation of the efficiency and effectiveness of performance management processes is not a common feature of state departments. Most departments commented that there had been no formal evaluation of the process; some informal feedback was obtained through mechanisms such as professional networks.

One example of formal monitoring and evaluation processes is the Developing Performance Framework from Queensland. Each year a formal evaluation of performance management is undertaken by the central office team. The results from this process are transferred to a final report published on the website for employees to peruse. Recent findings were:

- conversations with team leaders best developed employees' understanding of the Framework and supported them most in reaching their goals;
- most employees have a preference for the written agreement over verbal;
- employees felt good relationships enabled them to work more effectively;
- employees felt this formal process enabled them to fulfil their career goals;
- regular conversations (both formal and informal) led to the process being more successful;
- employees positively attributed the success of their individual performance development to the Framework;
- school leaders required more contact time with their executive directors to fully benefit from the process; and
- small teams between four and six are more manageable and facilitate more effective conversations.

Tasmania has established a reference group of principals which is evaluating the process implementation of performance management in schools.

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In Western Australia, in 2007, Edith Cowan University conducted a survey of 3500 teachers on their views about performance management. The survey:

- revealed a high level of engagement by teachers in performance management and a positive view of the way it was working;
- showed that the process is accepted by teachers;
- showed that 78 per cent of staff surveyed believed that the performance management process allows them to demonstrate their progress with identified outcomes that are directly linked to employees' accountability; and
- found that teachers felt the conversations between teachers and their line managers could be more meaningful, and there could be an improvement in the quality of follow up.

*Interesting features from the various state departments:*

- *Formal evaluations of performance management arrangements are not a strong feature of most systems.*
- *Queensland appears to be the only system that has an annual formal evaluation arrangement.*

### 3.7 Developments in government systems

In the ACT, the Department is awaiting the development of national standards for teaching. These will broaden the scope of performance management, clarify objectives and assist accountability.

NSW is developing an assessment process for senior executive staff in schools.

SA has established a cross-sectoral Quality Teaching Unit to align practices in SA schools with the National Partnership Agreement on Improving Teacher Quality.

Northern Territory is developing a new support package advising school line managers how to undertake performance management. The package will include tools for, and training of, line managers.

In Tasmania a reference group of principals is evaluating how the process is being implemented in schools and will provide feedback on any improvements needed.

In Victoria the Government is about to release a publication promoting the e5 instructional model to improve the quality of instruction through five processes – engage, explore, explain, elaborate and evaluate. The document includes a hierarchy of levels of practice to allow teachers to self-assess against their current capabilities and establish goals for their professional learning.

WA is currently reviewing its performance management policy and is providing training at district level. There is an increased focus on systemic documentation and a sharper focus on accountability.

### 3.8 Linkages to Standards/Competency Frameworks

Standards and/or competency frameworks are a feature of each government education system and in most states there are at least two sets – one developed by the relevant education department and one developed by the relevant teacher registration body.

Within departments there are often sub-sets of standards/competencies, for example for teachers, for principals/school leaders and for expert teachers (e.g. Level 3 Classroom Teachers in WA, and Advanced Skills Teachers in SA).

A detailed review of standards/competencies for teachers is being conducted as a separate exercise for the COAG National Partnership Agreement on Improving Teacher Quality. However, because of the relationship between this area and effective performance management, it is important to highlight some matters.

Table 3 shows a summary of the various arrangements in each state.

**Table 3: Standards/Competencies for Teaching**

|                                    | ACT              | NSW                  | NT                   | Qld  | SA  | Tas   | Vic   | WA   |
|------------------------------------|------------------|----------------------|----------------------|--|---|---|---|--|
| <b>Departments</b>                 |                  |                      |                      |  |   |   |   |  |
| <b>Standards</b>                   | No <sup>21</sup> | Uses NSWIT standards | Uses TRBNT standards | 12   | Based on national standards <sup>22</sup>               | Uses TRB standards  | Uses VIT standards                                  | 5 dimensions   |
| <b>Sub groups</b>                  | N/A              | N/A                  | N/A                  | Statements, indicators, knowledge and skills | Values, knowledge, relationships, practice              | N/A   | N/A   | Statements re requirements for children and students, teachers and staff and schools and communities |
| <b>Registration bodies</b>         |                  |                      |                      |  |   |   |   |  |
| <b>Registration body standards</b> | N/A              | 7                    | 8                    | 10   | 9 For change of status from provisional to registration | 4 standards adapted to suit each of 4 professional levels of teaching <sup>23</sup> | 8 in three groups – knowledge, practice, engagement | 9  |
| <b>Subgroups</b>                   | N/A              | Indicators           | 4-5 competencies     | Scope, practice, knowledge and values        | Characteristics   | Elements and indicators of practice   | Characteristics of teaching                         | Knowledge, practice, engagement  |

#### *Interesting features:*

- Widespread use of standards indicating a general acceptance of their value.
- Proliferation of standards across Australia and associated documentation.
- Complexity reduces the capacity for the standards to be useful in the performance management process.

<sup>21</sup> ACT uses current national standards framework in an advisory way.

<sup>22</sup> In SA, the document *Teachers' Work (2001)* provides guidance on expectations of teachers. It sets out criteria for teachers with a number of indicators for each criterion. Criteria are grouped under eight headings including Learners' Needs, Teaching Methodology and Professional Responsibilities. A set of graduate standards is used by the Department and accepted by the teachers' union. Attempts have been made by the Department to develop consistency with Teachers' Registration Board standards for graduate teachers.

<sup>23</sup> Note that standards for the 4<sup>th</sup> level 'Leadership' are still being developed.

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### 3.9 The Independent Schools Sector

Independent schools associations across the country have limited involvement in setting performance management policy. Their contribution focuses mainly on providing support and advice, and assisting with industrial matters. There are some exceptions where an association has taken a more proactive approach.

The Association of Independent Schools of New South Wales through the Independent Schools Accreditation Authority (ISTAA) has introduced a system to accredit teachers. ISTAA recognises achievements of classroom teachers in independent schools in New South Wales and the Australian Capital Territory which have adopted a standards-based Teachers' Agreement. Teachers' remuneration is linked to the achievement of standards through the accreditation processes. About one hundred schools have adopted the Agreement.

ISTAA recognises teacher performance at the levels of Professional Competence, Experienced Teacher and Classroom/Professional Excellence. Accreditation at the two higher levels is optional, and applications for accreditation are made by the teacher. These accreditation requirements for salary increments are implemented by all schools which have adopted a standards-based Teachers' Agreement.

Assessment of applicants seeking accreditation at any level is based on the submission of a range of evidence that demonstrates the teacher has met the standards. The evidence is considered by a committee of ISTAA and, in the case of the higher levels, by a cross-sectoral committee of the NSW Institute of Teachers. The ISTAA Council makes the final decision on accreditation of teachers for Experienced Teacher and Classroom/Professional Excellence.

The Association of Independent Schools in Tasmania provides industrial advice on request to schools taking action to deal with the under-performance of a teacher. Generally the use of teacher performance management and professional development of teachers is a decision for individual schools.

The Association organises regular workshops/information sessions to promote good human resource practice in schools. Performance management is a topic periodically covered in these sessions. It has also developed performance management policies, procedures and frameworks for individual schools.

The Victorian Association of Independent Schools is engaged in a pilot program this year to accredit high quality experienced classroom teachers. A set of 30 professional standards has been developed by a committee based on Australian and American experience. The 30 standards have been grouped into four elements – professionalism and learning, learning and the school community, leadership in the school, and improvements in student learning.

Four assessment panels have been established for the pilot, each to assess three teachers. The teacher will prepare a portfolio on this assessment, including a video of classroom teaching. Evidence from students and peers is encouraged. The style of presentation and the nature of the portfolios will vary according to the specific teaching area.

#### *Interesting features:*

- *The general approach is the provision of advice and support.*
- *AISNSW has a formal accreditation process for teachers (through ISTAA).*

- *AISV has a pilot program this year to accredit high quality experienced classroom teachers.*
- *There appears to be recognition of the importance of performance management for teachers but this cannot be mandated by independent school associations to their member schools. Hence, there is a challenge for the independent schools sector to develop a strategy to assist the Commonwealth Minister meet her overall responsibility for quality teaching in Australian schools.*

### 3.10 Catholic Education Offices

Catholic education systems across Australia have a more active involvement in performance management than do associations of independent schools – but not to the extent seen in government school systems.

Features of the approach to performance management in Catholic education systems include:

- agreements with unions, including arrangements for grievance procedures<sup>24</sup>;
- central monitoring arrangements;
- central processes for reviewing the performance of school leadership staff (for example, principals, curriculum coordinators and religious coordinators);
- performance review for principals prior to the expiry of contracts (can range between two and five years)<sup>25</sup>; and
- moves to develop performance management systems for schools in some states<sup>26</sup>

In Western Australia, teachers must achieve accreditation to teach in Catholic schools by undertaking ongoing faith-based study. There are also different levels of accreditation to work in a Catholic school - to teach religious education, leadership in religious education and leadership of a school community. Teachers at the top of the salary scale may apply for recognition as Exemplary Teacher which earns an increment of \$4000 to \$5000 per annum (there is a quota of 500 such positions).

A new Leadership Framework is being developed for principals with five domains of leadership – Catholic identity, education, stewardship, community and future focus. The framework identifies capabilities in personal, professional, relational and organisational aspects of the five domains. The Leadership Framework will be used to put greater emphasis on identified capabilities in the selection and review processes for principals.

#### *Interesting features:*

- *There is a focus on performance management for school leaders, particularly the principal, and much flexibility given to whether or how performance management is used for teachers.*

<sup>24</sup> For example, in Victoria, teacher performance management is provided for in the Multi Enterprise Agreement 2003 between the Catholic Education Office and the Independent Education Union.

<sup>25</sup> In WA principals are not eligible to remain as principal of the same school beyond twelve years.

<sup>26</sup> For example, the Brisbane Archdiocese is developing a performance management system for introduction to its schools at the beginning of 2010. The Tasmanian Catholic Education Office is currently trialling a formal system of performance management in its head office. It is planned that the system will be rolled out to schools over the next 12 to 24 months and will include a statement of indicators of teacher performance.

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- *Summative performance management is used for contract renewal purposes.*
  - *Some systems are developing a form of standards for review processes.*
  - *Some Catholic Education Offices have strong policies requiring performance management while others are planning to introduce performance management.*

### 3.11 Teacher Registration Bodies

Apart from the ACT, all states have a teacher registration body with primary responsibility for registering teachers as suitable for practice. These bodies represent the interests of teachers regardless of the employing authority. Working relationships between registering and employing bodies are described in interview summaries at Attachment 2. Generally, there appears to be a closer relationship between registration bodies and government education systems than with Catholic and independent systems and schools.

Registration bodies assign different levels of registration which include at least graduate teachers and competent teachers (for full registration). Each of the bodies has developed sets of standards and procedures for registration.

In NSW and Victoria, teachers are required to apply for re-accreditation/re-registration after five years. South Australia is currently developing a proposal for renewal of registration. Requirements for re-registration include, at least, demonstration of teaching and recognised professional development.

Registration bodies rely on contributions from principals and colleagues at schools as part of the assessment process.

In NSW the Institute also offers a conditional pathway to accreditation enabling teachers to complete a teacher education program after commencing employment as a teacher.

Most registration bodies have developed a hierarchy of professional competence that involves assessments against the standards. Table 4 summarises this.

#### *Interesting features:*

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- *The institutes/colleges of teachers and employing authorities provide professional recognition comparable with other professional bodies. Their role in the professional development of teachers is limited, but appears to be evolving.*
- *There appears to be considerable variation in the relationship between these bodies and employing authorities (government, Catholic and independent) – some work closely together – others not so closely.*
- *Some authorities provide for voluntary accreditation of performance levels above the level of competency.*
- *The nature of working relationships between registration bodies and the teacher education providers regarding the performance standards of graduating teachers is an important issue which could be examined in more detail.*

**Table 4: Registration opportunities for teachers**

|                                  | NSW            | NT           | Qld | SA | Tas          | Vic          | WA |
|----------------------------------|----------------|--------------|-----|----|--------------|--------------|----|
| Graduating teacher <sup>27</sup> | ★              | ★            | ★   | ★  | ★            | ★            | ★  |
| Professional Competence          | ★              | ★            | ★   | ★  | ★            | ★            | ★  |
| Professional accomplishment      | ★ <sup>a</sup> | ★            |     |    | ★            |              |    |
| Professional leadership          | ★ <sup>a</sup> | <sup>b</sup> |     |    | <sup>b</sup> | <sup>c</sup> |    |

<sup>a</sup> Accreditation at higher levels of professional competence is voluntary.

<sup>b</sup> Leadership standards are being developed.

<sup>c</sup> The Victorian Parliamentary Education and Training Committee has recommended that the Institute prepare standards for highly accomplished teachers. The Victorian Parliamentary Education and Training Committee has also recommended that registration renewal become an annualised requirement alongside the payment of the annual registration fee.

<sup>27</sup> The names used here may vary slightly from state to state.

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## 4 Teacher Performance Management - Issues Arising

### 4.1 Issues Arising

A number of questions or issues have arisen from this research so far. These have been grouped under four headings:

- purposes of performance management;
- outcomes of performance management;
- governance and accountability; and
- comparing the evidence – theory and practice in Australia.

#### 4.1.1 Purposes of Performance Management

##### 4.1.1.1 Accountability or Development

*There can be contradictions between the objectives of accountability and the objectives of development in any performance management scheme. Where does the emphasis best lie when using performance management to improve teacher quality?*

This study suggests that Australian schools and teachers have, in their performance management processes, focused on staff development as a means to build professional capacity. Even the appraisal process or summative review that occurs at the end of cycle is intended to contribute to the improvement process.

Very rarely are there salary consequences and, where this does occur, it appears to be voluntary in nature such as application for Senior Teacher or Advanced Skills Teachers status. This focus, however, does not appear to detract from the accountability responsibilities of the principal in dealing with teacher under-performance. The management of under-performance, while it may be recognised in the course of a PMD conversation, is dealt with through a generally well-defined but separate process.

Terminology relating to managing performance varies across the systems. The terms 'management', 'development', 'improvement' and 'appraisal' are all used, but the differences are usually not defined. Despite a number of systems stating that performance management is based on development or improvement and not accountability, there is an implicit relationship between the two – teachers are accountable for improving their performance.

##### 4.1.1.2 Links to Monetary Rewards

*Should access to additional monetary rewards be formally linked to the performance management process?*

As noted above, while successful performance management in Victoria is linked with payment of a salary increment, this does not appear to occur in other systems. Indeed, as noted above, many schools strongly emphasised that the focus is almost exclusively on the professional capacity-building of teachers. This research suggests that performance pay accessed on the basis of a voluntary application can be successful (e.g. Senior Teachers and Advanced Skills Teachers).

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There are parallels with the academic career structure in universities where promotion is dependent on an assessment of the quality of the individual's teaching and research against clearly defined criteria. This assessment generally carried out (depending on the institution) by a panel of senior academics supplemented by external appraisal.

#### 4.1.2 Processes related to Performance Management

##### 4.1.2.1 Performance Cycle

*What should be the frequency of performance reviews (summative) for teachers?*

Schools reported considerable variation in the length of the performance management cycle, from one term to three years. It is important to note, however, that the planning or formative elements of the cycle – goal setting and professional learning – occurred on an annual basis. It is also interesting that, where the cycle was longer, the summative review appeared to be more rigorous and comprehensive – involving more inputs in terms of evidence and people providing feedback.

It may be of interest to note that in Ontario the cycle is five years for experienced teachers who have demonstrated satisfactory performance and annually for commencing teachers.

##### 4.1.2.2 Monitoring and Record Keeping

*On the assumption that formal monitoring and record keeping is helpful in ensuring that the PMD process is carried out as expected, and that subsequent commitments are met, who should be responsible for this and how might it be done?*

Some state government departments have rigorous monitoring systems to ensure that all staff have completed their performance management processes each year (e.g. ACT, NSW and Victoria). Others have centrally developed policies and procedures but do not closely monitor their implementation. In general, independent and Catholic sectors do not have a mandate to monitor performance management in their member schools.

A move towards a national consensus on improving teacher quality will be enhanced by improved monitoring of school PMD processes. Appropriately designed computer software could assist in scheduling the performance interviews as well as recording outcomes and reporting centrally where required.

##### 4.1.2.3 Adapting Policies and Process to Meet Local Needs

*Systems need to be able to cater for different needs, based on judgments made at a local level. How far should a national initiative on performance management go beyond general principles?*

It appears that principals adapt centrally designed systems to meet the needs they see in their schools. Such adaptations are usually done with the contribution of teachers and there were comments about how useful this was in gaining teacher acceptance for the processes.

The case study of "a performance management process for a school" at Appendix 9 highlights the need for a school (or in fact any business unit) to be able to relate the performance management process to suit local operations and outcomes.

Centrally designed policy documents need to be mindful of this and the concepts in these documents should be designed to provide a framework that can be easily adapted while ensuring that systemic outcomes are being met. For example, a policy document could focus on a set of principles for the process, definitions and accountability requirements.

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#### 4.1.2.4 Nature and Quality of Feedback

*If a performance management system is focused on development rather than appraisal can systems be assured that teachers are getting frank feedback where that is required?*

An important issue raised by some schools is the quality of feedback given by supervisors to teachers.

Performance management conversations are conducted face-to-face and it appears that many supervising teachers feel reticent about giving critical feedback; this does not help the teacher in the long run. Principals see this weakness as largely related to the inadequate skills of supervisors in conducting difficult conversations. This is, therefore, a priority PMD training area.

There is another level of feedback about the performance management system – from schools to their central bodies. It is not clear whether central bodies conduct a regular process of evaluation to obtain information to assist them in modifying policies and procedures if required.

While some systems require performance reports to be lodged centrally, there was little evidence of formal mechanisms for schools to provide feedback to the central office on the acceptability and effectiveness of the performance management process. Other than the odd formal evaluation or a formal review of a policy, feedback processes appear to be informal and ad hoc.

#### 4.1.2.5 Paperwork

*Is there too much paper? How can systems, teachers, and schools build fully accountable systems without relying on paper overload?*

Another observation by the interviewers was the proliferation of paperwork which can lead to inefficient use of time by all involved in the PMD process. This was evident by the large volume of documents collected by the consultants. Internal school documents can also add to the paper overload, as well as the forms which need to be completed during the process. Some schools are increasing their use of electronic records. This is one area where national funds could be provided to pilot electronic record keeping.

It is also expected that, as teachers internalise the professional expectations around performance and develop their professional accountabilities, the need for formal documentation may reduce. The use of portfolios, as required in Queensland, is a useful way for teachers to gather and maintain relevant information for the performance management process on an ongoing basis.

#### 4.1.3 Outcomes of Performance Management

*The OECD has reported that what is important to teachers in improving their practice is the opportunity to engage in school level research and gaining extra qualifications. This can be seen as building an active learning community. How can performance management contribute to this approach in the Australian context?*

The importance of building learning communities was stressed by some schools and is integral to the Victorian government approach. These preliminary findings have found some very positive benefits to teachers and schools of participating in a performance management process.

There is greater commitment to professional learning and teamwork, breaking down the isolation of the classroom. This has been supported by a focus on reflective practice. Some

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schools promote action learning at school level with one noting particularly a collaborative 'inquiry' approach. Where teachers are building best practice at a local level the central body has an opportunity to collect and disseminate more broadly these examples creating a 'learning bank' or 'clearing house'.

#### 4.1.4 Governance and Accountability

*What should teachers be assessed against?*

A number of statements of professional standards have been developed by different educational bodies across the nation but their role in PMD processes in Australian schools – either to guide teacher planning or aid in assessment of their performance – varies considerably as indicated below.

- Some schools do not use standards, but supervisors give feedback to teachers based on teachers' individual plans.
- Others have developed statements for their school alone.
- Some government schools use standards produced by their education departments; other government systems use standards produced by their teacher registration bodies.
- Schools in some systems use departmental standards except for teacher registration and, in some cases, voluntary accreditation at higher levels, where they use the standards of the teacher registration body.
- Some non-government schools have common standards. These are:
  - the Victorian Catholic Education Office where evaluation of school and staff performance is based on five spheres, namely education in faith, leadership and management, learning and teaching, student wellbeing and school community;
  - the Independent Schools Teacher Accreditation Authority of New South Wales, modelled on the standards of the NSW Institute of Teachers.

There is duplication of standards statements by government departments and teacher registration bodies in a number of states, and standards statements vary in detail from one page to about twenty pages. This surfeit of standards creates additional complexity in schools that are already very busy places and may explain why statements of standards, external to the school, are not widely used.

*States tend to incorporate a requirement for performance management for all public employees (including teachers) in their public sector management legislation (e.g. Northern Territory and Tasmania use it directly – other states complement it with their own policies which generally focus on development). Does this create problems in developing an effective system for teachers given that public servants are assessed against a specific job description?*

The problem here is that, while there is probably a common understanding of the role and responsibilities of a teacher, most systems don't have a clear and succinct set of criteria or outcomes against which a teacher's performance can be assessed at the various levels of expertise.

This information is largely provided in the various sets of standards and competencies that exist across Australia, but, because of their complexity, as stated above, these have limited use as a practical tool for performance management purposes.

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*Should the performance management of teachers be prescriptive in terms of the evidence required and should it incorporate peer, parent, student, and community feedback in some way?*

From the interviews with schools, some were more prescriptive than others in their expectations of teachers; indeed, some were very open-ended. It would be helpful if a national set of principles for effective performance management were developed in collaboration with state governments and non-government sectors. See comments about this matter in 4.1.2.3 above.

*Should effective performance management be required of any school accreditation process?* Accreditation is generally a process whereby institutions that operate with a high level of independence or autonomy are assessed as operating in accordance with agreed standards. This process is central to the approach of the Victorian government which includes five elements related to teaching against which a school's performance is assessed. The elements are:

- induction into the school or into a new role;
- multiple sources of feedback on practice;
- individual performance and development plans aligned to school goals;
- quality professional learning; and
- belief that the school has a performance and development culture.

School accreditation appears to be a useful lever to promote quality professional practice and performance management, and the Victorian government model of accrediting schools embodying a performance and development culture should be considered in other jurisdictions.

## 4.2 Comparing the Evidence – Theory and Practice in Australia

In an ideal world the operation of institutions would fully reflect the policy context in which they work. In the case of Australian systemic schools it is useful to consider how closely their performance management processes mirror the expectations of the centre, given the flexibility that appears to be available to them.

### 4.2.1 Application of Policy and Accountability

Despite the often extensive documentation around performance management for government systems, as mentioned elsewhere, the mechanisms for assessing the implementation and effectiveness of policies and procedures could be improved. Under current arrangements it would be difficult for most systems to be confident that their policies and procedures were being applied to a standard that might be expected.

Associated with the implementation process are accountability mechanisms. It is accepted universally that principals are responsible for the performance management of their staff. However, the documentation is not always clear about the accountability arrangements between principals, their supervisors and central office. At least half of the policy documents for government systems were silent on the matter of operational responsibility for performance management centrally.

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The application of policies and procedures for managing underperformance (once this is recognised and addressed) appears to be an exception here – generally there are clear accountability guidelines in place.

#### 4.2.2 Application of Standards and Competencies

The issues associated with the current plethora of sets of standards and competencies have been discussed elsewhere. In a significant number of instances, the application of these is voluntary. However, work that has clearly involved an extensive commitment of time and expertise across Australia has not been applied formally to the performance management process.

Some government policy statements include suggestions that schools use standards as a guide in the performance management process with teachers. Some system policies made no reference to the standards.

It would seem from the feedback from schools that, while they are aware of the standards and competencies, their use varies. It was noted that some schools developed their own (particularly independent schools).

#### 4.2.3 Adequacy of Support for Performance Management

System policy statements indicate that resources are available to schools to fully meet the requirements of the performance management process. It is the case that schools indicate they have resources largely in the form of teacher relief and funds for professional development. Such resources would be primarily used for the professional learning of teachers. They might also be applied to ensuring that staff managing the process have the appropriate skills. They might also be used to support the process itself in terms of relief for performance management meetings.

While government schools have resources, it is not clear whether these are adequate. There is particular concern about the need to provide additional support to those staff with responsibility for managing the PMD process. Given that the success of performance management rests so much with the effectiveness of this group, resourcing for training supervisors is particularly important.

The interviews suggest that supervisors in the PMD process need support to:

- attend workshops on realistic goal setting;
- develop their skills to engage positively in professional conversations with teachers including giving frank feedback;
- develop their mentoring and coaching skills;
- develop a greater awareness of standards and the need for consistency;
- gain a better appreciation of what constitutes appropriate evidence of performance, and
- identify the impact a given teacher has on student learning.

It is noted that a number of systems have leadership programs and frameworks in place and that developing skills to manage the performance of staff are included.

By ensuring the availability of professional learning for supervisors, systems could contribute significantly to the success of performance management in schools. Similarly, given the

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importance of principals in leading the successful implementation of performance management, their participation in appropriately designed leadership programmes and associated workshops is very important. While systems noted the availability of such support, school respondents were largely silent on this. It is not clear whether that suggests they had not had an opportunity to participate or whether the opportunities were not provided.

### 4.3 Comparing the Evidence – The Research

International evidence demonstrates that the best education systems in the world are characterised by ongoing performance management. Why is this so important? Research has made the link clear. The students of good teachers perform better than students of poor teachers and an effective performance management system can lead to improvements in teacher performance.

The growing interest of governments, not surprisingly, relates to the associated fact that the economies of countries with well-educated populations grow faster than those with less well-educated populations. It is not unexpected, then, that all Australian states and territories have introduced performance management systems into their schools. For the most part they have been joined by their independent school and Catholic colleagues.

It is useful to compare the situation in Australia with selected Commonwealth nations – the United Kingdom, Canada and New Zealand. In most Australian states, similar to the United Kingdom and New Zealand, and many of the provinces of Canada, performance management is a legislated requirement for employees.<sup>28</sup>

There are other similarities. Responsibility to carry out performance management processes has been delegated to principal level in schools. Importantly, too, the central focus of performance management in these nations appears to be professional development for the improvement of professional practice. In all three nations the process is both retrospective (reviewing past performance with a view to improvement) and prospective (planning for the future).

In the United Kingdom and New Zealand there are links between the performance management process and pay. This is not the case in Canada although some Boards of Education may pay an allowance for additional qualifications; these payments, however, are not linked to performance. Links to salary have not been a feature of Australian schools either, although a change in sentiment is occurring.

In the nations studied, where there is unsatisfactory performance a performance improvement program is required. The formality of such programs and their successful completion prior to a return to the classroom is not clear in all cases. NSW research (Johnson and Shields, 2007), however, has found that mandated teacher improvement plans showed a substantial return on investment.

Many, though not all, of the findings in this research confirm conclusions in the academic literature. A number of these are noted below, categorised under four headings– purposes, processes, outcomes, and governance and accountability.

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<sup>28</sup> Within this legislated requirement most educational institutions have designed processes to meet the specific needs of teachers.

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#### 4.3.1 Purposes of Performance Management

*Performance management is generally seen to have two purposes – accountability and development. But operationally there can be contradictions and, hence, tensions between these purposes.*

As noted in 4.2.1.1 school interviewees generally commented that the focus of their system was not on accountability but development. They saw the high level of teacher support for the process linked to this fact. It is not that accountability was not seen as important but, rather, that dealing with poor performance, in particular, was best managed using a separate and more intense process. Teachers were more enthusiastic about, and supportive of, a system focused on improving their skills.

*Performance management is less than effective when teachers have a poor understanding of its purpose.*

The schools in this research had built an understanding of performance management into their everyday practices. Information was exchanged in a variety of forms. Newer teachers saw performance management as an expected part of their work. It seems apparent that teachers understood and appreciated its purpose.

*Performance improvement should be part of the professional accountability of a reflective practitioner working in a positive school climate.*

All the interview respondents used the term 'professional' when referring to building capacity in teachers through PMD. It appeared their understanding of this term was associated with concepts such as self-reflection, collegiality, growth and building a 'community of learners'. *Principals prefer to focus on development in performance management. They see it as positively linked to setting objectives, linking a teacher's work to the school plan, and individual career development.*

This was certainly the case with the schools interviewed for this project. Overwhelmingly they saw building teacher capacity in order to achieve the objectives of the school plan as the primary, if not the only, purpose of performance management. This is not to say that they did not engage in formal summative assessment of teacher capacities. Their findings, however, were directed to improvement strategies.

*In Australia teachers respond favourably to professional appraisal without the need for monetary rewards.*

It has been noted that teachers in the interviewed schools generally appreciated the opportunity to create a work environment that was more collegial, professional and which identified opportunities for their own learning. They participated in performance management in a positive manner knowing that there is no link (in most instances) between the results of their appraisal and increased monetary rewards.

*Educators have concerns about linking performance management to human resource decisions about promotion and pay because of concerns about measure, context and negative impact on teamwork.*

The school respondents clearly preferred a performance management system in which the focus was on building the professional capacity of teachers rather than the accountability requirements that feeds into human resource decisions about pay. They did not articulate why this was so but seemed confident that their approach was having the desired results.

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#### 4.3.2 Processes Related to Performance Management

*Principals are the linchpin of an effective performance management system.*

The interviews made it clear that not only do principals have overall responsibility for the performance management process in their schools but that their leadership was a significant factor in its success. This finding was confirmed in the formal evaluation of the Queensland pilot PMD program.

*There are demands on teachers to report and record performance, and to manage processes of accountability.*

Although some interviewed schools were concerned about the time required for the performance management process, it appeared that they had modified their systems to minimise the time impact on participants and to suit local conditions. More importantly, they had concluded that the investment of time required was well worth the result.

#### 4.3.3 Outcomes of Performance Management

*Teachers generally report that appraisal and feedback make a difference in their work.*

It was clear from the school interviews that teachers, in the main, had responded positively to a performance management system that focused on their professional growth. Interviewees, too, (largely principals), commented that they could see positive outcomes for the school because of the PMD process.

*Relatively few teachers participate in the kind of professional development that has the largest impact on their work, namely qualification programs and individual and collaborative research.*

International research suggests that qualifications programs and individual and collaborative research has the greatest impact on teachers' work. All schools in the survey referred to the need for professional learning. Apart from external courses, this was generally achieved through two methods – group learning on teacher development days, and workshops and action groups directed at improving professional practice. The schools interviewed show that there is an understanding of the need for school based collaborative research.

*The best education systems in the world are characterised by high levels of lesson observation.*

A number of schools interviewed in both the government and non-government sectors either required or encouraged classroom observation and feedback to teachers. More recently-qualified teachers seem to expect classroom observation as part of their professional work. A number of respondents referred to the need to break down the isolation of the classroom. Some schools use specially appointed mentors to advise teachers on classroom practice.

*In some cases, unions can play a positive role in the implementation of performance management.*

Many systems and individual schools (in the non-government sector) had performance management written into their industrial agreements with relevant teachers' unions. Unions were often consulted on implementation issues and, in the case of the NSW government schools, assisted with training in performance management. This support was no doubt strongly based on the priority given to teachers' professional development. Unions were rarely involved at school level unless the welfare of an individual member was at stake.

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*There is a need for individualised and targeted programs for teachers rather than just whole-school or system-wide interventions that have traditionally dominated education policy.*

Emphasis by a number of schools on the need for mentoring of teachers shows a realisation that policy and information statements are not sufficient to help teachers adopt new approaches. Mentors and buddy systems are being used more in organisations generally. It will be a challenge for schools to increase the level of teacher mentoring within available resources.

#### 4.3.4 Governance and Accountability

*The success of performance management in any organisation, including schools, is a function of factors operating at a local level.*

Concerns have recently emerged in the United Kingdom that too much centralisation in education has resulted in a lack of flexibility at the local level, too much testing (and teaching to the test) and a loss of creativity and professionalism in the teaching workforce.<sup>29</sup> This issue was not addressed directly in this research and it was clear that schools were taking advantage of the flexibility in centrally provided policies to adapt performance management to the culture of the school.

The most important 'local factor' is the individual teacher. Effective performance management is a product of a supportive system that provides adequate resources for the process together with a teacher who sees the wide range of benefits that can result from genuine participation. This joint responsibility should be a key principle of any performance management system.

In a number of schools and systems interviewed, teachers were actively involved in the design of the program, and in other cases their feedback on the process was valued and followed up.

Central bodies should capitalise on this goodwill by reducing information overload on schools and focus more on disseminating guiding principles, thus encouraging local adaptation.

#### 4.4 Comparing the Evidence - Conclusions

School systems in Australia and schools surveyed are adopting many positive approaches to performance management as identified in comparable countries. These approaches include a focus on professional development, strong and enthusiastic school leadership, adaptation of processes to reflect the school culture, effective feedback to teachers on performance and classroom practice, professional collaboration in schools to improve professional practice, and support by teachers' unions.

Areas where improvement is needed are reducing information overload by focussing on clear principles and lines of responsibility, more training for supervisors responsible for leading the process, and national cooperation to establish consistent performance standards for teachers.

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<sup>29</sup> Kevin Donnelly, "They said we want an education revolution", *The Australian*, 12<sup>th</sup> August 2009. See also Polly Curtis, "Labour to junk Tony Blair's flagship school reform", *The Guardian*, 25<sup>th</sup> June 2009.

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## 5 Draft Guide for Teacher Performance Management

A useful context for thinking about performance management in schools and how to improve its effectiveness is the notion of intelligent accountability. “Intelligent accountability involves putting more trust in professionals who are clear about their values and goals. ... Intelligent accountability policies, such as those of Finland<sup>30</sup>, involve trust-based professionalism that grows over time from an ethos of respect within the education system that values teachers’ and principals’ professionalism in judging what is best for students and in reporting their achievements.”<sup>31</sup>

It is clear from the experience of teachers and schools in Australia, and their international counterparts, that performance management can be an important tool in improving teacher quality. In its implementation, therefore, a key task is to identify a best practice approach appropriate for the educational environment.

A draft guide for teacher performance management as described below draws on these examples of best practice.

### 5.1 Draft Guide for Teacher Performance Management

#### 5.1.1 Purpose

The prime purpose of a performance management process is to allow teachers and their supervisors to engage in assessment and feedback, in order to improve individual and organisational performance. Letting teachers know where they stand in relation to established standards of performance helps them do a better job. Effective performance management develops and promotes the competency of teachers to achieve improved learning outcomes for their students.<sup>32</sup>

#### 5.1.2 Philosophy

A sound performance management process is based on the following principles:

- Performance management and planning is a two-way process between a teacher and their supervisor. It provides an opportunity to build trusting relationships between the participants. Trust is central to the notion of intelligent accountability, a view of professionalism that values the capacity of teachers and principals’ capacity to judge what is best for students and to report their achievements.
- Performance management provides an opportunity to reinforce the links between teachers and the school (and system) in achieving agreed outcomes.
- Effective performance management processes require a clear and succinct set of criteria/outcomes against which performance can be assessed.
- Assessment of teacher performance is based on observable behaviours rather than personality factors.

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<sup>30</sup> The success of the Finnish education system is recognised internationally.

<sup>31</sup> Val Klenowski, “Public Education Matters: Reclaiming Public Education for the Common Good in a Global Era”, *The Australian Educational Researcher*, Volume 36, Number 1, April 2009.

<sup>32</sup> While the under-performance of a teacher might be recognised during the performance management process, processes for dealing with this require a different approach.

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- Setting realistic and attainable objectives for future performance and identifying the professional learning needs of teachers is as important as evaluating past performance.
  - Commitments made during the performance management process (such as the provision of professional learning opportunities) are honoured. Responsibility for meeting any commitments made in respect of training and development is shared among the supervisor, the teacher, and the school.
  - The process complies with the relevant legislative and/or policy framework.

#### 5.1.3 Objectives

In broad terms, the objectives of the performance management process for teachers are:

- to inspire a shared vision for the teaching profession;
- to identify the values, knowledge and skills that are distinctive to the teaching profession;
- to guide the professional judgment and actions of the teaching profession; and
- to promote a common language that fosters an understanding of what it means to be a member of the teaching profession.

Specifically, in the process of reviewing performance, the objectives are:

- to let the teacher know how s/he is performing through an evaluation of job-related attributes, behaviours and results, and to have a conversation about professional learning requirements;
- to encourage communication about the expectations, goals and outcomes of both the teacher and the school/education system; and
- to build stronger performance, including the capacity for self reflection, in both teachers and supervisors.

#### 5.1.4 General Guidelines

- Operationally, teacher performance management happens at school level between teachers and principals/school leaders. Ideally it comprises ongoing formative conversations about performance that are both prospective and retrospective in nature. Each cycle should conclude with a rigorous summative assessment, at least every three to five years.<sup>33</sup>
- Some form of reporting on the performance of individual teachers to the responsible authority<sup>34</sup> is required. This will assist the responsible authority to monitor requirements for professional development, issues that may need to be addressed, and for the responsible authority to receive feedback on the efficiency and effectiveness of their policy and procedures. Effective performance management requires that teachers and their supervisors discuss performance professionally, in a respectful and open manner.

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<sup>33</sup> Ideally, the summative assessment would be linked with re-registration requirements.

<sup>34</sup> The responsible authority may be both the employing authority and the registration body.

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# APPENDICES

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## 6 Appendix 1 - Review of the Performance Management Literature with Particular Reference to Teachers.

### 6.1 About Performance Management

*Performance management is a continuous process of identifying, measuring, and developing the performance of individuals and teams and aligning performance with the strategic goals of the organisation.<sup>35</sup>*

The notion of performance management continues to be a vexed issue in the human resources literature. While there is general agreement that it is important and effective when done well there is frustration that performance management tends to be done less well than it should.

In too many organisations, "the formal performance appraisal system is little more than an annual form-filling exercise that irritates managers and frustrates employees".<sup>36</sup> While the aim is to ultimately improve performance it has failed if employees see the process as punitive; and, if it done by someone who does not know the employee well, it is pointless.<sup>37</sup> There is general agreement that:

*Performance assessment is a continuous, day-to-day process that involves making judgments about people, either consciously or unconsciously, and providing regular informal feedback. A formal, structured system does not replace this process, although it may draw from and summarise information collected from it .... [Rather it] must complement and build on the ongoing informal appraisal process that exists in every organization and provide benefits to both employees and managers, as well as the organization as a whole.<sup>38</sup>*

The research on performance management indicates a trend for agencies to move from performance management systems that focus on performance appraisal to systems that integrate organisational and individual performance, linking work practices and performance to the achievement of organisational outcomes. This is associated with a growing awareness of the importance of the contribution of employees in ensuring agencies meet required outcomes.

This can be seen in the work of Williams<sup>39</sup> who comments that there appear to be three main perspectives on performance management:

- performance management as a system for managing organisational performance;
- performance management as a system for managing employee performance; and
- performance management as a system for integrating the management of organisational and employee performance.

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<sup>35</sup> Herman Aguinis, *Performance Management* (2<sup>nd</sup> Edition), Prentice Hall, 2007

<sup>36</sup> Mike Toten, "Assessing your performance management system", *Workplace Info*, 9<sup>th</sup> October 2003

<sup>37</sup> Glenn Martin, "Performance appraisals – still getting no satisfaction", *CCH*, 17<sup>th</sup> June 2004

<sup>38</sup> *ibid.*

<sup>39</sup> Richard Williams, *Managing Employee Performance: Design and implementation in organizations*, Thomson Learning, 2002

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Williams states that his research, however, has shown that application of the third approach is rare and that the dominant approach “still rests on objective setting and annual appraisal” which in some cases might be supplemented by performance related pay.

Herman Aguinis<sup>40</sup> lists the characteristics of an ideal performance management system as:

- strategic congruence - The system is congruent with the unit and the organisation's strategy;
- thoroughness – All employees should be evaluated, all core job responsibilities should be evaluated; evaluation of performance should span the full review period and feedback should be provided on positive performance as well as on those who need improvement;
- practicality – A good system is easy to use;
- meaningfulness – The system should be relevant and meaningful to both employees and employers/supervisors;
- specificity – A good system is specific in providing guidance and information;
- identification of effective and ineffective performance – The system should allow for distinguishing between effective and ineffective performance;
- reliability – The system should include measures of performance that are consistent and free from error;
- validity – Measures of performance should be valid;
- acceptance and fairness – A good system is acceptable and is perceived as fair by all participants;
- inclusiveness – Good systems include input from multiple sources on an ongoing basis;
- openness – Good systems have no secrets;
- correctability – There should be mechanisms for the correction of errors – an appeals process through which employees may challenge what may be unjust decisions;
- standardisation – Good systems are standardised and are evaluated regularly;
- ethicality – Good systems comply with ethical standards.

## 6.2 Performance Management and Teachers

For a range of reasons that may be related to the nature of the teaching profession, it appears that traditional performance management processes have proved particularly difficult to implement successfully although there has been no shortage of attempts. In a related topic, debates about the usefulness of merit pay (and how that might be decided) have been going on for a half-century or more, particularly in the United States.

In a recently released report, *Creating Effective Teaching and Learning Environments* (June 2009), the OECD has the first internationally comparative perspective on the conditions of

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<sup>40</sup> Herman Aguinis, *Performance Management* (2<sup>nd</sup> Edition), Prentice Hall, 2007

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teaching and learning, based on data from 23 countries.<sup>41</sup> The Teaching and Learning International Survey (TALIS), through the eyes of teachers and principals, examines important aspects of professional development; teacher beliefs, attitudes and practices; teacher appraisal and feedback; and school leadership.

The report has a number of interesting findings:

- In most countries, the most teachers are satisfied with their jobs and consider that they make a significant educational difference for their students. Teachers are also investing in their professional development. However, three-quarters of teachers report that they would receive no recognition for increasing the quality of their work or for being more innovative in their teaching. In fact, three-quarters of teachers say that, in their school, the most effective teachers do not receive the most recognition and that their school principal does not take steps to alter the monetary rewards of a persistently underperforming teacher.
- The generally positive reception by teachers of the appraisal and feedback which they receive on their work indicates a willingness in the profession to move forward... teachers generally report that appraisal and feedback make a difference in their work.
- Better and more targeted professional development is an important lever towards improvement... But relatively few teachers participate in the kinds of professional development that has the largest impact on their work, namely qualification programs and individual and collaborative research.
- TALIS suggests that effective school leadership plays a vital role in teachers' working lives and that it can make an important contribution to shaping the development of teachers. In schools where strong instructional leadership is present, TALIS shows that school principals are more likely to use further professional development to address teachers' weaknesses identified in appraisals. Often, there are also better student-teacher relations, greater recognition given to teachers for innovative teaching practices and more emphasis on developmental outcomes of teacher appraisals and more collaboration between teachers.
- There is a need for individualised and targeted programs for teachers rather than just whole-school or system-wide interventions that have traditionally dominated education policy.
- The survey indicates that educational planners could do more to support teachers and improve the performance of students if both the public and policy makers focused less on control over resources and educational content and more on learning outcomes.
- TALIS says more than 90 per cent of Australian teachers also believe that the best teachers in their schools do not receive the most reward for their work, and no action is taken against teachers who perform poorly over a long period. In Australia, however, teachers responded favourably to professional appraisal without the need for monetary rewards.

The importance of quality teaching and quality schools is being driven by the significant impact it has on student achievement. Eric Hanushek

*estimates that the differences in annual achievement growth between an average and a good teacher are large. Within one*

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<sup>41</sup> OECD, *Creating Effective Teaching and Learning Environments: First Results from TALIS*, June 2009

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*academic year, a good teacher can move a typical student up at least four percentiles in the overall distribution (equal to a change of 0.12 standard deviations of student achievement). From this, it is clear that having a series of good teachers can dramatically affect the achievement of any student. In fact, a series of good teachers can erase the deficits associated with poor preparation for school.*<sup>42</sup>

Not surprisingly, improved student results also impact on the national bottom line. In his work Hanushek has also found that “countries that improved their cognitive skills over time experienced relative increases in their growth paths”.<sup>43</sup>

Perhaps it is not surprising, then, that Johnson and Shields, in their analysis of teacher performance appraisal in New South Wales, attempt to place it in its political context, pointing out that there has been “a drive by management to assume greater control over standards and activities that were previously the domain of professionals”.<sup>44</sup>

In the face of pressure from managers and legislators, teacher unions (and other public sector workers) have attempted to cooperate “particularly where the emphasis is on performance remediation and development rather than performance pay”.<sup>45</sup>

The authors report that executives have a positive view of union involvement in the process. Union representatives play the ‘honest broker’ and provide a means to both procedural fairness and individual employee voice. They were seen as having the ability to “contain teacher disaffection” and, in cases of remediation and individual improvement programs, ensure that support was appropriate and adequate.<sup>46</sup>

New South Wales has a mandatory improvement program to address substandard performance. The research suggests that it has produced a substantial return on investment. Almost half of teachers in the program improved their performance while most of the others moved on in some way (resignation, retirement, dismissal, etc). For the Department the major benefit was a reduction in the time, legal costs and stress in terminating an inefficient teacher.<sup>47</sup>

The authors conclude that there has been a high degree of trust and cooperation between school executive and local union representatives. Indeed initiatives in this area “are likely to come to nothing without the active support of line managers and union delegates at local workplace level and without a solid trust and ‘connection’ between the two”.<sup>48</sup>

Sue Dymoke and Jennifer Harrison, in a British study, looked at the issue of beginning teachers, particularly in terms of professional development. They sound a cautionary note, suggesting that “the majority of performance management systems in place for these beginning teachers do not appear to be encouraging the beginning teacher to become self-monitoring or critically reflective practitioners.”<sup>49</sup>

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<sup>42</sup> Eric A Hanushek, *Economic outcomes and school quality*, International Academy of Education and The International Institute for Educational Planning, 2005

<sup>43</sup> Eric A Hanushek and Ludger Woessman, “Do Better Schools Lead to More Growth? Cognitive Skills, Economic Outcomes and Causation”, *Working Paper 14633*, National Bureau of Economic Research

<sup>44</sup> Liway Johnson and John Shields, “Lessons from management-union partnership in teacher performance appraisal in the New South Wales public education system”, *International Journal of Human Resource Management*, Volume 18, Number 7, July 2007, p. 1214

<sup>45</sup> *ibid.*, p 1216

<sup>46</sup> *ibid.*, p 1221-1222

<sup>47</sup> *ibid.*, p 1223

<sup>48</sup> *ibid.*, p 1225

<sup>49</sup> Sue Dymoke and Jennifer Harrison, “Professional development and the beginning teacher: issues of teacher autonomy and institutional conformity in the performance review process”, *Journal of Education for Teaching: International Research and Pedagogy*, Volume 32, Number 1, Number 1/February 2006, pp. 71-92

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Robert Gratton interviewed New Zealand teachers to ascertain their views of teacher appraisal. On the basis that the possible purposes were accountability (a summative approach that could be used for competency and promotion) or professional development (a formative approach to identify and fulfil professional development needs), or a combination of both, they discovered that teachers had “no consistent sense of the purpose of the appraisal”.<sup>50</sup>

Not surprisingly this lack of understanding of purpose resulted in a sense that it was a box-ticking, time wasting exercise, and of low priority, requiring little thought or preparation. Where accountability was seen as the main purpose defensive behaviours were likely.

The tension between accountability and development in performance management systems is well documented with some arguing that the two cannot be combined in one system. The drive to accountability at system level in education has been accompanied by a devolution to site-based management (schools). This has increased the responsibility of principals in this area.

In a study looking at how principals approach this role HS Timperley found that they

*rated as most important ... identifying staff development needs, providing staff with evaluative information about their own performance, giving them clear expectations about their performance, avoiding threat and enhancing collegiality. Although the administrative purposes of identifying school development goals, providing management with information about staff and holding staff accountable, were rated somewhat lower, they were still rated as very important. The items most strongly rejected by principals were the use of appraisal for identifying staff for competency proceedings or promotion.*<sup>51</sup>

Timperley concludes that principals will develop systems that prioritise their own requirements and those they perceived to be important to their staff, rather than satisfy the requirements of the state.

Australian academics Rod Chadbourne, Barry Down and Chris Hogan, in a study looking at teachers' reported experiences with performance review, concluded that “management-inspired programs of performance review have little impact on authentic teacher learning compared with active teacher participation in strong, accountable professional learning communities developed within and across schools”.<sup>52</sup> Their findings can be summarised as follows:

- Teachers can see the potential of performance management to improve the teaching profession, but they are concerned about the way it is being implemented.
- Teachers are suspicious of the motives behind performance management; they fear it could easily be used to disempower and control teachers.
- Teachers are concerned that performance management will promote the collection and showcasing of ‘evidence’ rather than rewarding genuinely good teaching.

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<sup>50</sup> Robert Gratton, “Teacher appraisal: a lesson on confusion over purpose”, *The International Journal of Educational Management*, Volume 18, Number 5, 2004, p. 295

<sup>51</sup> H.S. Timperley, “Performance appraisal: principals' perspectives and some implications”, *Journal of Educational Administration*, Volume 36, Number 1, 1998, p 49

<sup>52</sup> Rod Chadbourne, B Down and C Hogan, “How are Teachers Managing Performance Management?”, *Asia-Pacific Journal of Teacher Education*, Volume 28, Number 3, 1 November 2000, pp. 213-223

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- Teachers are concerned that performance management does not reflect the authentic ways that they learn and improve.<sup>53</sup>

The authors also identify the contradictions between accountability and development. "Is it about teacher control and manipulation, or professional growth and development? Does it improve the quality of teaching and learning, or is the impact on classroom practice negligible?"<sup>54</sup>

Study participants, however, found it less onerous in practice than they had anticipated and, importantly, viewed its success as dependent on the quality of relationships amongst staff. Indeed, as the system offers recourse to a higher authority, some teachers saw it as a means of "challenging autocratic control at the local level".<sup>55</sup>

The authors found that committed teachers, while frustrated by the intensification of their work for no apparent gain, "continue to reflect on, share and improve their work ... they are not opposed to accountability and the need for continuous improvement in the quality of their work. But they do want feedback and support to be based on a professional, rather than managerial, model of teacher review and development."<sup>56</sup>

Tanya Fitzgerald<sup>57</sup> argues that in New Zealand the introduction of a mandated performance management system has rendered teachers accountable to the State, not professional peers. This has "served to de-professionalise teaching and teachers' work", eroding trust in the professional work of teachers. She argues for a professional accountability that rests on the moral and ethical agency of teachers and the profession.

With colleagues Young and Grootenboer, Fitzgerald also argues that the introduction of performance management has also contributed to the bureaucratisation of the profession of teaching and teachers' professional work and that this model is not appropriate for developing and sustaining a healthy school climate and for the appraisal of teachers. "Teachers who are reflective practitioners thrive on collaboration, knowledge sharing, collegiality, freedom, self-efficacy, professional practice and democracy.

These ideals are the antithesis of bureaucracy that depends on individualism, hierarchy, competition, rewards and sanctions, secrecy, compliance, accountability and procedures."<sup>58</sup> They found that teachers do want to be accountable for their professional work but their "direct and continued involvement in the development, implementation and review of any performance management process is critical to its success and longevity".<sup>59</sup>

It appears from the literature that teachers are generally comfortable with the need for performance management, including its accountability requirements, when it is grounded in professional development and directed towards improvement. There is, however, discomfort with using the process to making decisions about pay and promotion.

A study from the United Kingdom (Haynes, Wragg, et al) point out concerns about measurement, the importance of context, and the fear that it may compromise team

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<sup>53</sup> *ibid.*, p 215

<sup>54</sup> *ibid.*, p 214

<sup>55</sup> *ibid.*, p 217

<sup>56</sup> *ibid.*, p 221

<sup>57</sup> Tanya, Fitzgerald, "The continuing politics of mistrust: performance management and the erosion of professional work", *Journal of Educational Administration & History*, Volume 40, Number 2, August 2008, pp. 113-128

<sup>58</sup> T Fitzgerald, H Youngs, and P Grootenboer, "Bureaucratic Control or Professional Autonomy?: performance management in New Zealand schools", *School Leadership and Management*, Volume 23, Number 1, February 2003, pp. 91-105

<sup>59</sup> *ibid.*, p 103

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approaches. There were concerns that “in institutions such as schools where effective team work is vital, differential rewards for performance could prove extremely divisive and threaten professional relationships both between team members and between teachers and their line managers”.<sup>60</sup>

They found that schools implemented performance with varying degrees of success.

*This variability appeared to be the result of different histories and different approaches to the management of the procedure. Where a culture of reflection and appraisal had been in place for some years, PM was slotted with ease into existing systems. In other schools, where heads confessed that little previous systematic assessment of teachers' performance had taken place, the procedure took more time to become embedded, partly because staff attitudes were initially less favourable towards it and partly because they needed time to become familiar with its structures.”*<sup>61</sup>

Principals saw a number of positives to the introduction of performance management

- for staff development;
- for objective setting by teachers;
- for understanding the links between individual teachers and the school development plan; and
- for teachers to have an opportunity to discuss performance and career aspirations

A recent report on the well being of the professions (policing, nursing and teaching) in Western Australia was undertaken in the context of concerns about teacher retention. Their conclusions were that

*Teachers are more likely to stay in a school because of its management, ethos and the general morale among staff members. ...wellbeing is generally higher when teachers are praised, supported and feel autonomous.*

*In general the satisfaction of teaching comes from the intrinsic rewards of student and personal achievement. To sustain a strong and vibrant profession it is important for these motivating factors to be supported by highly professional and supportive work environments and community recognition.”*<sup>62</sup>

These conclusions suggest that a focus on professional learning and development should be the focus of performance management systems.

A recent report by the Institute for Public Policy Research<sup>63</sup> in the UK explores the implications of recent economic and social trends and their impact on teaching and argues

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<sup>60</sup> Gill HAYNES, Ted WRAGG, Caroline WRAGG and Rosemary CHAMBERLIN, “Performance Management for Teachers: headteachers’ perspectives”, *School Leadership & Management*, Vol. 23, No. 1, pp. 75–89, February 2003

<sup>61</sup> *ibid.*, p 87

<sup>62</sup> Brian English et al, *Wellbeing of the Professions: Policing, Nursing and Teaching in Western Australia*, Edith Cowan University, May 2008

<sup>63</sup> Julia Margo, Meghan Benton, Kay Withers and Sonia Sodha with Sarah Tough, *Those who can? Executive summary*, Institute for Public Policy Research (2008)

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that these have altered the importance of the teacher in pupil attainment. Their analysis found that a poor performing teacher can literally make the difference between a 'C' and a 'D'. But their concern is not only to improve poor performers but to raise teaching quality more generally, encouraging creative and energetic teaching methods, to move teachers beyond the 'uninspiring'.

The report suggests that the factors and practices that explain teacher effectiveness in top performing education systems include:

- recruiting and hiring the right people to become teachers;<sup>64</sup>
- training teachers effectively;<sup>65</sup>
- continuing professional development (CPD) of the workforce; and
- supporting and providing incentives to good performers and managing poor performers.

Factors and interventions that can improve teaching include:

- observation of peers in the classroom;
- linking CPD to the appraisal process;
- building 'learning communities' in schools, where teachers can learn from each other;
- leadership that encourages a focus on development and training; and
- using classroom practices that are proven to be effective.

In fact, the best education systems in the world are characterised by high levels of lesson observation and ongoing performance management.

The report offers a series of recommendations including a number related to performance management.

- Schools should adopt a biannual appraisal process to replace the current annual review.
- All teachers should be required to observe a set number of lessons given by their peers. Classroom observation is found to be the most effective way to improve poor performers.
- Performance management systems should be integrated with the recommended continuing professional development (CPD) requirements. Performance assessments should include CPD requirements so that pay becomes linked to levels of CPD and learning.
- The current capability review should be reformed in order to oblige poor performers to access appropriate training before they re-enter teaching.

Scottish academic Jenny Ozga identifies two major concerns about performance management in education:<sup>66</sup>

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<sup>64</sup> This is the top factor in the research conducted by McKinsey – *How the World's Best Performing School Systems Come out on Top?*, McKinsey & Company, September 2007

<sup>65</sup> Identified as the second most important factor in McKinsey

<sup>66</sup> Jenny Ozga, *Measuring & Managing Performance in Education*, CES Briefings, Scottish Executive, No. 27, February 2003

- There is a danger that quantitative indicators of performance that can easily be measured and ranked (e.g. pupils' examination performance) are given greater significance by policy-makers than other, less easily measured, aspects of education.
- The ranking of educational performance of different countries may risk reducing the capacity of national systems to design the most appropriate curriculum and approaches for their students.

She points out that advocates of these measurements of success and failure are reluctant to acknowledge their limitations; the most obvious being that these are statistical artefacts: league tables run from top to bottom and there will thus always be a 'bottom' 20 per cent.

Indeed, there is a risk that performance management, and its repertoire of indicators and targets, focuses attention on pupil attainment (examination results) at the expense of less easily quantifiable measures.

Reliance on target setting and monitoring as a key element of the management of teachers also raises concerns about the possible distorting effects of targets on relationships between teachers and managers, and on teachers' definitions of their core tasks. Teachers, heads and their employers all feel under pressure to demonstrate good performance and constant improvement. This may have positive effects, but it may also reduce trust, inhibit discussion of difficulty and diminish honest self-evaluation at all levels in the system.

Ozga quotes international research identifying the demands of reporting and recording performance, and of managing processes of accountability, as having serious impacts on their time and energy.

## 6.3 The International Context

### 6.3.1 Performance Management of Teachers in the United Kingdom, New Zealand and Canada

#### *The United Kingdom*

The United Kingdom has a centrally mandated requirement for the performance management of teachers although this is devolved through local authorities to the school level where it becomes the responsibility of the head teacher / principal.

A model performance management policy has been developed for schools (March 2007) which they can adapt to suit local circumstances. Schools are further supported by documentation outlining the roles and responsibilities in the performance management process.<sup>67</sup>

Governing bodies have the responsibility of reviewing head teachers but they are obliged to include external expertise on the review panel. Head teachers are responsible for reviewing teachers but may delegate this role to others in the school. They must report to the governing body annually on the process.

Planning and review meetings are both retrospective (reflecting on the past) and prospective (planning for the future). "Objectives should focus on priorities. They should be time bound, challenging but achievable, and reflect the need for a satisfactory work/life balance." Some classroom observation is required (up to three hours per review cycle).

<sup>67</sup> Association of School and College Leaders, *Performance management for teachers and head teachers*, 2006

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Performance criteria need to be established and should indicate what success would look like at the end of the cycle. On what basis will the reviewer assess the overall performance of the reviewee based on progress towards the achievement of objectives, classroom observation, and the other evidence? The assessment should take into account the reviewee's job description, the relevant professional standards, what can reasonably be expected of the reviewee, and, where the reviewee is eligible, the relevant pay progression criteria in the STPCD.

As performance management is a developmental process a key part of the planning discussion is to consider the support that the reviewee may need to meet the performance criteria, the reviewee's training and development needs and how those needs will be met. Support may take a number of forms, for example, time, coaching and mentoring, additional assistance in the classroom, equipment or ICT facilities.

The planning and review statement provides the record of agreed plans. It is to record all the required elements of the plans and be a fair summary of what took place at the meeting.

While reviewers do not need to make a recommendation in support of an annual increment, the reviewer may, in accordance with the school's pay policy, consider a discretionary additional point (double jumping) where provided for.

The Training and Development Agency for Schools in 2007 prepared a number of Performance Management 'How To' Sheets. The preparation and support of reviewers is seen as critical.<sup>68</sup>

Performance management is also seen as a critical function in school improvement. Schools need to demonstrate the links between their performance management policies and school improvement, school self-evaluation and school development planning. Different school processes should be linked together to make sure that bureaucracy and workload are kept to a minimum. Data generated through performance management (for instance, quality of teaching provision) should be used appropriately to inform other processes such as school improvement and school self-evaluation. The school self-evaluation and development planning processes can help to influence and inform objective setting for individuals by highlighting priorities. These priorities can then be translated into CPD opportunities that develop a teacher's practice. As a result, both the individual's and the school's objectives are aligned, with a major focus on raising the standards of teaching and learning.<sup>69</sup>

Implementation of performance management is to be seen as a whole school process in which a clear sense of ownership is promoted by engaging everyone fully in the process, parameters are set to ensure parity of treatment, fairness and consistency, and principles and practices of performance management are fully integrated into whole school activities within an overarching, coherent framework.<sup>70</sup>

### *New Zealand*

Performance management systems (PMS) have been mandatory in all New Zealand schools since 1<sup>st</sup> January 1997. The Ministry of Education provides resource materials and training programs for boards of trustees, principals and teachers to help them to develop skills in performance management and to integrate these systems with professional development

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<sup>68</sup> Training and Development Agency for Schools, *How to address the effective preparation and support of reviewers*, 2007

<sup>69</sup> Training and Development Agency for Schools, *How to address the link between performance management, school improvement and other school processes*, 2007

<sup>70</sup> Training and Development Agency for Schools, *How to create the right environment for performance management as an inclusive process*, 2007

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strategies. The Ministry reports that performance management systems are making a positive contribution to the quality of teaching in many schools.

Teacher professional standards form part of the performance management systems and are included in the Teachers' Collective Employment Contract settlement. The standards describe the critical knowledge, skills and attitudes needed to perform a particular role effectively; they describe the key elements of performance rather than provide an exhaustive list of responsibilities.<sup>71</sup> The criteria provide a base for assessing teachers' progress in relation to pay progression, competency and professional development. The Ministry provides general guidance to schools on integrating professional standards for the purposes of performance management. The professional standards also inform planning for professional development.

As part of each school's performance management system, professional standards at the relevant level are confirmed between each teacher and the principal for performance management purposes. Each teacher is assessed annually against the relevant professional standards and needs to demonstrate that he or she meets the professional standards at the appropriate level in order to progress to the next step on the salary scale.

As stated in its formal documentation the focus of performance management in schools in New Zealand is to:<sup>72</sup>

- improve learning outcomes for students by improving the quality of teaching and leadership;
- integrate policies, practices, standards and procedures that link the goals and objectives of the school and its staff;
- set agreed performance expectations and the processes for measuring performance against those expectations; and
- focus on the professional development of every teacher.

The responsibility for performance management is delegated to the school board through to the school principal. The teacher appraisal process must include the following elements:

- identification of each teacher's appraiser, in consultation with the teacher concerned;
- a written statement of performance expectations, in consultation with each teacher;
- identification of development objective(s) in the performance expectations, as well as the assistance or support to be provided;
- observation of teaching (for those with teaching responsibilities);
- teacher self-appraisal; and
- an annual appraisal with a written report, in consultation with the teacher.

Principals enter into performance agreements with their boards each year and these are the basis for the principal's annual performance appraisal. The performance agreement highlights the priorities for the principal's performance and professional development. At the

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<sup>71</sup> Ministry of Education, Teacher Performance Management: A resources for boards of trustees, principals and teachers, October 1999

<sup>72</sup> Ministry of Education, Teacher Performance Management: A resources for boards of trustees, principals and teachers, October 1999

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beginning of the appraisal process principals and boards need to agree who they will involve and what their contribution will be.

### *Canada (Ontario)*

Like Australia Canada has a federal system of government with the responsibility for education at provincial (state) level. This has resulted in a diversity of policies and practices. Ontario is the country's largest and most populous province. The school system is highly devolved. The government department provides policy parameters. Schools are grouped into districts governed by boards of community representatives. Funding and curriculum are managed at board level.

The province requires Boards of Education to institute performance management processes and has developed guidelines around expectations and processes. There are different processes for beginning and experienced teachers.

Beginning teachers must have two appraisals within the first twelve months of teaching and receive two satisfactory ratings within the first twenty-four months. Experienced teachers are reviewed at least every five years unless the principals believe performance concerns make it necessary to conduct a review more frequently.

There are no formal links between performance management and pay although allowances are often payable to teachers who undertake formal professional development and gain further qualifications.

### **Beginning Teachers**

The key components of the performance appraisal framework for new teachers are:

- Competency statements to focus the appraisal on the immediate skills, knowledge, and attitudes that new teachers require to meet the Ontario College of Teachers' *Standards of Practice for the Teaching Profession*.
- Appraisal meetings that promote professional dialogue between the principal and teacher. A principal must arrange a pre-observation meeting with the teacher in preparation for the classroom observation and a post-observation meeting after the classroom observation. The meetings provide opportunities for reflection and collaboration to promote growth and improvement.
- A summative report to document the appraisal process, which becomes a vehicle for teachers to reflect on the feedback they receive and to monitor their own growth.
- A rating scale and rubric to assess new teachers' overall performance and provide necessary feedback about strengths and areas for growth. The scale for new teachers is:
  - Satisfactory
  - Development Needed

For a teacher who receives a '*Development Needed*' performance rating, the scale in subsequent appraisals is:

- *Satisfactory*
- *Unsatisfactory*

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The rubric describes evidence of teaching performance at each level of the scale for each competency.

### **Experienced Teachers**

The appraisal process for experienced teachers is intended to provide a continuum of support as a new teacher successfully completes the New Teacher Induction Program and becomes an experienced teacher.

A manual has been prepared to assist in the process.<sup>73</sup> Professional dialogue and collaboration are a critical part of the appraisal process and an essential part of a healthy school culture. The performance appraisal process for experienced teachers provides a framework to assess experienced teachers' practices in a manner that reflects their needs for growth and development, and in which both the teacher and the principal take an active role. This includes the engagement of teachers in professional dialogue that deepens their understanding of what it means to be a teacher.

The key components of the performance appraisal framework for experienced teachers include:

- Competency statements to focus the appraisal on the skills, knowledge, and attitudes that reflect the standards described in the Ontario College of Teachers' *Standards of Practice for the Teaching Profession*.
- An Annual Learning Plan (ALP) to identify strategies for growth and development for the teacher's evaluation year and for the intervening years between performance appraisals. The ALP is reviewed annually.
- Appraisal meetings that promote professional dialogue between the principal and teacher. A principal must arrange a pre-observation meeting with the teacher in preparation for the classroom observation and a post-observation meeting after the classroom observation. The meetings provide opportunities for reflection and collaboration to promote growth and improvement.
- A summative report to document the appraisal process, which becomes a vehicle for teachers to reflect on the feedback they receive in developing their ALP and identifying opportunities for growth.
- A rating scale to assess experienced teachers' overall performance. The rating scale for experienced teachers is as follows:
  - *Satisfactory*
  - *Unsatisfactory*
- A process for providing additional support depending on the outcome of the appraisal.

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<sup>73</sup> Performance Appraisal of Experience Teachers: Technical Requirements Manual, Ministry of Education Ontario, 2007

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## **7 Appendix 2 - Structured Interview Questions (Systems)**

### **Description**

1. Do you have a process of performance management and development for teachers in your system?
2. Briefly describe how it works in schools – for example written preparation, nature of discussions, negotiation, frequency, cycle of stages, work portfolios, standardised forms and ratings.
3. How does your system's process of performance management and development for teachers contribute to meeting the educational goals of your system?
4. What is the role of the central office?
5. How is this mandated at system level – legislation, regulations, policy statements, industrial agreements?
6. What is the role of the school?
7. Who has responsibility at school level; is this codified and how is it implemented?
8. Is teacher performance management and development linked to standards and/or competency frameworks?
9. Who has responsibility at system level; is this responsibility formalised and how is this performed?
10. Is a requirement to undertake performance management and development documented in teachers' job descriptions?
11. Is the process used for all teachers in schools; what provision is there for special groups:
  - new teachers
  - returning teachers
  - temporary teachers
  - non qualified teachers
  - teachers involved in special education, behaviour management, skill development, literacy and numeracy?
12. Is performance management and development linked to local or system level objectives?
13. Is the process top down, peer-to-peer or 360 degree?
14. What provisions are there for recording, monitoring and follow-up?

### **Accountability**

15. Describe the relative emphases placed on performance development versus accountability.

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16. If accountability is an important objective of performance management and development, how is it evaluated - student learning outcomes, standards, job descriptions, other benchmarks?
  17. Are the most important job requirements for teachers evaluated?
  18. Are such outcomes clearly explained to, and understood by teachers?
  19. How does the process ensure that evaluations are consistent across teachers?
  20. Can staff appeal a performance appraisal?

### **Outcomes**

21. What are the outcomes for teachers - professional development, career progression, salary and conditions, registration, action on underperformance, other outcomes?
22. What are the outcomes for schools – for example improved culture, additional assistance where necessary?
23. How is the implementation process supported?
24. How is information on the process communicated to teachers?
25. What training is provided to assist the process?
26. What resources are provided from school and central levels?
27. What provision is made for teacher release to participate in the process?
28. How is the teachers' union involved in the process?

### **Evaluation of the processes**

29. What is your own assessment of the effectiveness of the process; what works well and what can be improved?
30. How efficient is the process; can it be made more efficient?
31. Are formal evaluations of the process conducted? Are these publicised? Please provide details.
32. What do evaluations suggest; what works well and what can be improved?
33. How is the process accepted by teachers?
34. What findings have been made on the impact of the process on the school?
35. What can be done, if necessary, to improve acceptance of the process by teachers?
36. Are you engaged in any improvement strategies at the moment? What are they?

## **8 Appendix 3 - Education Departments, Systems and Related Agencies contacted**

### **State Education Departments**

ACT Department of Education and Training  
 NSW Department of Education and Training  
 Northern Territory Department of Education and Training  
 Queensland Department of Education and Training  
 South Australian Department of Education and Children's Services  
 Tasmanian Department of Education  
 Victorian Department of Education and Early Childhood Development  
 WA Department of Education and Training

### **Association of Independent Schools**

Association of Independent Schools of the ACT  
 Association of Independent Schools New South Wales  
 Association of Independent Schools Northern Territory  
 Queensland Association of Independent Schools  
 South Australian Association of Independent Schools  
 Tasmanian Association of Independent Schools  
 Association of Independent Schools Victoria  
 WA Association of Independent Schools

### **Catholic Education**

Catholic Education Office ACT  
 Catholic Education Sydney Archdiocese  
 Catholic Education Office Northern Territory  
 Education Office of Brisbane Archdiocese  
 Catholic Education Office, South Australia  
 Catholic Education Office Tasmania  
 Catholic Education Office Victoria  
 Catholic Education Office, Western Australia

### **Colleges/Institutes of Teachers**

Queensland College of Teaching  
 New South Wales Institute of Teachers  
 Teacher Registration Board of the Northern Territory  
 Teachers Registration Board South Australia  
 Tasmanian Teacher Registration Board  
 Victorian Institute of Teaching  
 WA College of Teaching

Note: some contacts were by email.

## 9 Appendix 4 - Structured Interview Questions (Schools)

### Description

1. Briefly describe how teacher performance management works in your school for example written preparation, nature of discussions, negotiation, frequency, cycle of stages, work portfolios, standardised forms and ratings.
2. How is performance management and development linked to school or system level objectives?
3. How is your school's form of performance management and development for teachers influenced from outside the school – for example central regulations, policy statements, industrial agreements, school councils?
4. Is teacher performance management and development linked to standards and/or competency frameworks?
5. Which staff members are responsible for the process at the school; is this responsibility formalised and how is this exercised?
6. Is the process used for all teachers in schools; what provision is there for special groups”
  - new teachers
  - returning teachers
  - temporary teachers
  - non qualified teachers
  - teachers involved in special education, behaviour management, skill development, literacy and numeracy?
7. Is the process top down, peer-to-peer or 360 degree?
8. Are reports of interviews decided by the interviewer or negotiated with the interviewee?
9. Is evidence of performance (e.g. peer appraisal, student work) included in the process?
10. What records are kept? For what purposes are they used? Are there agreements with teachers on use of records?
11. What provisions are there for monitoring and follow-up to ensure that commitments are kept?

### Accountability

12. What is the main purpose of the system of performance management and development at your school?

13. Describe the relative emphases placed on performance development versus accountability.
14. If accountability is an important objective, how is it evaluated - student learning outcomes, standards, job descriptions, other benchmarks?
15. Are the most important job requirements for teachers evaluated?
16. Do teachers have an input to the accountability measures used?
17. Are such outcomes clearly explained to, and understood by teachers?
18. How does the process ensure that evaluations are consistent across teachers?
19. Can staff appeal a performance appraisal?

#### **Outcomes**

20. What are the outcomes for teachers - professional development, career progression, salary and conditions, registration, action on underperformance, other outcomes?
21. What are the outcomes for schools – for example improved culture, additional assistance where necessary?

#### **Support for the Implementation Process**

22. How is information on the process communicated to teachers?
23. Is it positively marketed in the school?
24. Do teachers see the benefits?
25. How do you overcome any resistance from teachers?
26. What training is provided to assist the process?
27. What resources are provided from school and central levels?
28. What provision is made for teacher release to participate in the process?
29. How is the teachers' union involved in the process?

#### **Evaluation of the Process**

30. What is your own assessment of the effectiveness of the process; what works well and what can be improved?
31. How efficient is the process; can it be made more efficient?
32. Are evaluations of the process conducted at school level? Are these publicised? Please provide details.
33. What do evaluations suggest; what works well and what can be improved?
34. How is the process accepted by teachers?
35. What findings have been made on the impact of the process on the school?

36. What can be done, if necessary, to improve acceptance of the process by teachers?
37. Are you engaged in any improvement strategies at the moment? What are they?

## Appendix 5 - Summary Table of Interviewed Schools by Type

### Interviewed Schools

| State                        | Primary | Secondary | Both | State | Catholic | Independent | Metro | Regional | No. |
|------------------------------|---------|-----------|------|-------|----------|-------------|-------|----------|-----|
| Australian Capital Territory | 1       | 2         |      | 2     | 1        |             |       |          | 3   |
| New South Wales              | 1       | 2         | 1    | 3     |          | 1           | 2     | 2        | 4   |
| Northern Territory           | 1       |           |      | 1     |          |             |       | 1        | 1   |
| Queensland                   | 2       | 1         | 2    | 3     |          | 2           | 4     | 1        | 5   |
| South Australia              | 1       | 1         | 1    | 2     |          | 1           | 3     |          | 3   |
| Tasmania                     |         | 1         |      | 1     |          |             |       | 1        | 1   |
| Victoria                     | 3       | 2         | 1    | 3     | 2        | 1           | 6     |          | 6   |
| Western Australia            |         | 1         | 1    | 1     |          | 1           | 1     | 1        | 2   |
| Total                        | 9       | 10        | 6    | 16    | 3        | 6           | 16    | 9        | 25  |

## 10 Appendix 6 - Case Studies

### Case Study #1

State Primary School (P – 7)  
Metropolitan (South Australia)  
Enrolment ~500

### Description of the Performance Management Process

The school does not use the term “performance management” but calls it “performance development”. The process, however, is within the Department’s Performance Management Policy.

During the course of the year teachers will have three conversations with either the deputy or the principal. The conversations coincide with three formal classroom visits, one in each of terms 1 to 3. These conversations usually take 30 to 40 minutes and occur in the teacher’s classroom. There is an agenda for each meeting and brief written feedback is provided to the teacher after each conversation.

There is no process for arbitrating different views and, although the teachers’ union is strong at the school, no issues have arisen with respect to the performance development process. Records of all performance development meetings are kept by the school administration and teachers are given a copy.

During the meetings teachers discuss what is working well and what are current issues in their work. They will also discuss their contribution to the school’s priorities. More recently issues involving students are discussed at a separate meeting. At the beginning of the year, teachers’ programs are discussed. The conversations would only include reference to published standards when appropriate.

In term 4, the conversation takes more of a summative approach. Teachers are given more detailed feedback summarising their work for the year. The topics on which the feedback is given vary from year to year, although each year teachers discuss their individual professional challenges for the following year. They include discussion of students’ work and achievements for which relevant data is presented.

All teachers participate in the system. New teachers are mentored, with that role shared between other staff. A buddy is selected to support the new teacher. Induction meetings are also held for new teachers. The school encourages team teaching and teams of teachers participate in an “inquiry” to address a professional question or issue about an aspect of teaching which is a school priority. This approach provides some informal peer-to-peer feedback. This year the school has encouraged teachers to observe lessons of their peers.

### Accountability

The main purpose of the performance management system is performance development although accountability may be relevant for continuation of contract staff. Accountability is also relevant in rare cases of serious underperformance of a teacher. Teachers applying for the Advanced Skills Teacher 1 position also use the performance development process and are assessed on the criteria used for the AST. Decisions on AST positions are made by the principal.

**Outcomes**

Staff meetings (including an extended staff meeting once per term) and pupil free days are used to provide for teachers' professional learning needs. Teachers are encouraged to make use of the school's limited professional learning funds for external professional learning opportunities which meet their needs.

The process ensures that teachers make a commitment to contribute to the school improvement plan. Data is fed back to staff to address areas for improvement. This generates staff ownership of the school improvement process. The school also benefits from a formal process of feedback from teachers which can highlight issues that need to be addressed. Feedback from teachers is on a range of topics across any one year.

**How is the implementation process supported?**

Teachers are encouraged to give feedback on the performance development process which they participated in developing. They were invited to provide information for the summative report at the end of the year.

While teachers see the process as something they are required to do, they are generally positive about it. They appreciate the opportunity to share activities which they are doing well and they value the opportunity to give and receive feedback. There has been no resistance from teachers.

Release time is available for teachers to participate in an inquiry and to visit other class lessons. The performance development conversations take place within the teacher's time. Release time of half a day per week is provided to first year graduate teachers to support their induction.

**Evaluation of the processes**

The school and its students benefit from the process which takes a relatively small part of teachers' time. On-going feedback from teachers is used to modify the process where needed. A committee of teachers has been established to review professional learning needs and they are starting to document their proposals.

**Case Study #2**

State Primary School (P – 7)

Metropolitan (Victoria)

Enrolment ~500

**Description of the Performance Management Process**

The focus of the school is on development of professional practice rather than on appraisal. Teachers meet with the principal twice a year to obtain feedback on their performance, their role in the school and contribution to the school strategic plan. Teachers' professional learning goals take into account Departmental initiatives and the school's strategic plan and they prioritise these goals to pursue in their own personal plans and in school teams.

Recommendations on salary increments are made by the principal following the second interview. Teachers are not required to produce portfolios for this exercise.

The principal and leading staff lead performance development in the school, the latter in a coaching role. There is a strong emphasis on coaching. A coaching system has been set up in the school. All leading teachers in the school are trained in coaching. All teachers have a coach who is a leading teacher or an experienced teacher. An external literacy coach mentors young teachers. Working with their coaches, teachers set professional learning goals and meet their coaches at least once per term to obtain feedback on progress and assistance where needed. Monitoring and follow up is an on-going part of the coaching process.

Teachers also work in project teams to plan their teaching strategies. Team members are starting to observe each others' classroom practice and provide feedback based on the ideal of a professional classroom. This feedback helps teachers to reflect on their own practice.

All teachers are involved in the school's performance development processes. Peer feedback is an essential part of the school's processes and is a key to improving performance. The process is collegial. The principal is required to recommend on salary increments each year based on satisfactory performance. A wide variety of teacher materials are shared with peers and mentors. The principal maintains a record of feedback given to teachers at formal meetings. The union supports performance development through an enterprise agreement with the Department. Issues in the process at school level have not caused the union to be involved.

There are also departmental formal appraisal processes available for dealing with underperformance issues if required.

The school participates in the process by the Victorian Institute of Teachers to assess registration for first year teachers.

The Departmental program to accredit schools having a Performance and Development Culture has been a great initiative which has furthered what the school is trying to do. The school used this opportunity to review what they were doing. Teachers identified effective feedback as their most important need. The school was accredited in 2007.

**Accountability**

The accountability requirements are established at Departmental level. The main purpose is to improve the professional capabilities of teachers. But both are important in the school and proceed separately. Recommendations on salary increments are made by the principal following the second review meeting.

**Outcomes**

The school has funding to provide learning opportunities for teachers and for external consultants to assist in specific areas of need. The school has an excellent team culture where teachers help each other improve their professional practice. Teachers feel they benefit from feedback, both affirmations of what they are doing well and areas to improve. Teachers appreciate the process.

**How is the implementation process supported?**

The review process is explained very clearly to teachers at the school and staff are involved in identifying directions for the school. Teachers themselves, particularly younger teachers, are driving the project teams. Learning by doing makes the most significant contribution to teachers' awareness of the performance development processes in the school.

The school provides funds for mentoring and other forms of professional learning. Teacher release is available when required for teachers to be involved in professional improvement activities.

**Evaluation of the processes**

An annual cycle commencing with an implementation plan by teachers is very effective in maintaining high performance by teachers. The coaching process is very important for professional learning but coaching skills in the school need to be developed to a higher level. Significant gains occur in teachers' skill development and the time invested is well used. The process is adjusted through on-going feedback from participants.

**Case Study #3**

Independent School (P – 12)

Metropolitan (Queensland)

Enrolment 1000+

**Description of the Performance Management Process**

The performance management process, known at the school as the Performance Review and Learning Program (PRLP), is a formative professional review to assist staff to focus on aspects of their professional performance which they want to improve. The process operates on a three-year cycle. To manage the workload involved, it is staggered in the first three terms of each year, with about 15 to 20 teachers commencing the process each term.

Prior to the end of the term before commencement of the cycle, the teacher is asked to think of three colleagues whom he/she would like to nominate to provide feedback on the teacher's performance.

The first step in the process is self reflection by the teacher using a standard set of questions produced by the school to assist the teacher to complete the initial self reflection. The teacher also uses the ten professional standards of the Queensland College of Teaching to assist the self reflection. The school uses descriptors for to clarify the requirements of roles in the school. These are used in the PRLP process.

Next is the review stage. Feedback on the teacher's self reflection is obtained from six colleagues, three nominated by the teacher and three appointed by school management. The latter are unknown to the teacher although one is the teacher's supervisor. A coordinator assigned to the teacher (there are seven coordinators in the school) seeks comments from the six individuals. The coordinator also observes the teacher in class. Student feedback is also used in with student surveys conducted in upper years of the school. The various inputs are used to refine the teacher's self-reflection report.

The teacher then has an interview with the coordinator where the refined self-reflection report is given to the coordinator. The coordinator then completes a report commenting on the teacher's performance against each of the ten standards, and adds commendations at the end of the report.

The Deputy Head, who can comment on the draft but not alter it, meets with the teacher and the coordinator to discuss the report. That report is used to develop an annual learning plan for the teacher, selecting three to five recommendations for professional development and converting those recommendations into strategies. The teacher then takes the final report – comprising the self-reflection report, the review report and the annual learning plan – to an interview with the head of the College. School management has the final say on the teacher's learning plan.

The final report is retained by the administration with a copy to the teacher's personal file. A copy of the annual learning plan is given to the teacher's supervisor. The process for each teacher takes place within one term.

The teacher's annual learning plan is reviewed at the end of every year and a new annual learning plan written. The school is just developing a formal mentoring process for graduate teachers.

The union has agreed to the process in its Enterprise Bargaining Agreement with the school. Both the mentoring program and the PRLP are included in enterprise agreements with the unions.

The school's Human Resource Manager coordinates the process and that it, particularly the interviews, is well-conducted.

### **Accountability**

The process has been designed by the school. It is a formative process, the main purpose of which is to assist the professional development of staff. It is not an accountability exercise. However, if concern arises about significant underperformance of a teacher, a separate process is used to address that.

Role descriptors are used for the self-reflection, the review and the learning plan. The outcome is an individualised learning plan so outcomes are varied. As the outcome is a learning plan and not an appraisal, there is no need for appeals.

### **Outcomes**

A significant outcome is the teacher's annual learning plan. This is quite specific, detailing the activities to be undertaken. These may include shadowing an exemplary teacher, conducting a research project or a range of other activities. The school is developing a recording system so that the Queensland College of Teachers can be advised of professional development undertaken by teachers for re-registration.

### **How is the implementation process supported?**

When it was first introduced, teachers questioned its value but that has changed. Indeed, teachers see it as very beneficial, are keen to be involved, and are requesting more classroom observation. Relevant information is made available to staff in documentation, staff meetings and through involvement in the process itself.

Teacher relief is available to the teacher for discussions with participants. Self reflection is completed in the teacher's own time in the term break.

### **Evaluation of the processes**

Although the process appears to be complex, it is very productive. It addresses the professional needs of individual teachers, empowers them, and focuses on their professional development. The process may be time consuming but it is delivering good results.

One difficulty for the coordinator is getting face-to-face contact with all six participants in a teacher's review. Some responses are obtained in writing.

The school evaluates the process informally on a regular basis. The process will be changed in response to needs which emerge.

**Case Study #4**

State Secondary School (7 - 10)

Regional (ACT)

Enrolment 1000+

**Description of the Performance Management Process**

The school's performance management process follows the Department's policy to implement Professional Pathways in each school. This is facilitated by an industrial agreement with the teachers' union. Some priorities included in Pathways are set centrally and the school's goals are identified in the School Improvement Plan. The school's goals are the dominant part of teachers' professional goals. These are implemented by a number of committees and follow through to each teacher's individual goals.

Each teacher has a supervisor with whom to negotiate their goals, identify strategies and timelines to achieve them, and identify support needed. This information is included in a Professional Pathways agreement signed by the teacher early in the year. Teachers each decide five priorities for the year, three dictated by the school and the system, one faculty goal and one individual professional goal. They determine their own personal professional goal through negotiation with the supervisor and, as a team, determine a joint faculty goal.

In the middle of the year, there is a mid-cycle review with the supervisor when adjustments can be made and progress is examined and discussed. There is a summative meeting at the end of the year. At the end-of-year review and at the mid cycle review, the teacher presents evidence of achievements. The school uses surveys of parents, staff and students. Part of this is done as part of the School Improvement Plan. The school also conducts some additional surveys and some individual teachers survey their students. The school uses centrally prepared professional descriptors for teachers at different levels. Their main use is for providing feedback to teachers.

Heads of department, or their equivalent, supervise teachers' performance management. The same process applies to heads of department or equivalent who report to deputies. The principal supervises performance management of the school's executive team and has overall responsibility for the process. Meeting the school's goals are part of the principal's appraisal by the Area Director.

First year teachers have a probationary process of induction and assessment and are not involved in Professional Pathways. Temporary teachers have a different form of assessment once per term. Both these groups, as well as having a supervisor, are allocated an advisor who mentors the teacher.

All forms are kept by the supervisor for a limited time and are confidential.

Every teacher is required under the Department's enterprise bargaining agreement with the union to attend four professional learning days during the year. This occurs in school stand down time. On these days, the school provides whole school professional learning focused on the school's priorities. At Professional Pathways meetings with their supervisors, teachers discuss the need for individual professional learning. Monitoring and follow up is largely in the hands of the school. The Department asks for written verification from the Principal that the process has been completed.

### **Accountability**

School improvement and professional capacity building are interlocking objectives of the process. It has not been planned as an accountability instrument. Teachers receive a summative review each year based on performance against professional descriptors and on achieving their goals. The school also gives feedback to the community through an annual School Board Report. This focuses on school performance and on the meeting of benchmarks largely in literacy and numeracy. At the end of the School Improvement Process an External Validation Team analyses School Improvement, makes commendations and recommendation for future development.

Summative reviews are based largely on achievement of individual goals, hence school goals. This means that feedback is customised for each teacher. There is an opportunity for the teacher and supervisor to negotiate an agreed appraisal where disagreements can often be resolved. The ability of the supervisor to engage in a frank conversation will be a factor in resolving the disagreement. If the disagreement is not resolved with the supervisor the issue is referred to the next in line in the hierarchy.

The union has agreed to Professional Pathways as part of its enterprise bargaining agreement with the Department. The union is not involved at the school level unless there is a Pathways to Improvement case initiated. The principal, and/or the teacher involved, would generally involve the union in that situation.

### **Outcomes**

The Professional Pathways program has been in operation for some time and there may have been lip service paid to it in the early stages. Over time teachers have become more accepting of it as they see the link between the Professional Pathways process and what the school is trying to achieve. They understand that if there is not a distinct performance improvement process, features such as goal setting, integration of individual professional goals with school goals, feedback and celebration of achievements would not happen.

The benefits of the process include professional capacity building through interaction with and feedback from supervisors, and professional learning opportunities. In the few cases of underperformance, an outcome of the process may be further assistance to the teacher through the Pathways to Improvement program.

### **How is the implementation process supported?**

The current format of Professional Pathways has been in place for over a year. The interlocking benefits of improved education and student progress, and professional capacity building for teachers are strongly promoted. Follow up information is provided at staff meetings. New staff are advised in the induction process. Forms and other information, including centrally produced formats, are available electronically. Participation in the process also makes teachers aware of the benefits.

New teachers are given training in the process and this also occurs for staff in faculty meetings. The Department conducts courses to assist supervisors at schools in areas like strategic Planning, goal setting and supervision. No release time is provided. Teachers fit the meetings into their schedules. Some time at staff and faculty meetings is allocated to the process.

**Evaluation of the processes**

The performance management process helps the principal to drive school and system priorities. It works well when integrated with school and system goals. The participative approach of the committee system has been a significant improvement on the past.

Teachers need improved skills in gathering and evaluating evidence of performance; more centrally produced information would help with this. There is also a need for supervisors to improve their skills to engage in frank conversations with teachers. More central courses and support at school level are needed for supervisors in areas like this.

The Pathways to Improvement program is a detailed and demanding process. The process generally gives good value for the time spent on it but depends on how well individual supervisors conduct it. No formal evaluation has been undertaken at the school because the current format used is relatively new although student results provide an indirect measure of the effectiveness of Professional Pathways. It is working well and is able to be refined because of the many levels of staff involvement.

**Case Study #5**

Independent School (P – 12)  
Metropolitan (Western Australia)  
Enrolment ~1500

**Description of the Performance Management Process**

The performance management process has been developed by the school and all staff participate. The union has not been involved in the process. The process operates on a three-year cycle with the summative reviews based on academic, pastoral and co-curricular activities by teachers. Teachers submit personal rankings (highly competent, competent, satisfactory etc) on these three domains together with written comments for each. For each domain the form includes a number of indicators which assist teachers to decide their rankings. Teachers must take account of the schools' mission and strategic plan in their work and this is reported through the section on their final appraisal form where teachers explain how they have contributed to the mission of the school. For underperforming teachers the time of the cycle is reduced to one year as a part of the annual review.

Every teacher has an annual meeting with the head of department on progress within the three-year plan and the outcomes of this meeting are recorded. The final (summative) meeting of the three-year process is with the school's head who makes the judgment. The teacher's final assessment includes feedback on their performance. Those providing feedback may include the teacher's head of department, head of house, sports head and selected colleagues. Teachers may also obtain indirect feedback from annual community surveys of all parents of Years 4, 6, 8, 11 and 12 students. The teacher also conducts a survey of three or four classes each year using a standard survey form provided by the school. At the end of the three-year process, teachers prepare a new three-year individual plan which is held by the head of department and the administration. Teachers' completed forms from performance interviews are submitted on-line and are accessible to relevant senior managers.

Classroom teachers can also request assessment as a senior teacher 1, 2 or 3 which recognises exemplary practice, innovation and research respectively. Applications need to be seconded by a line manager. This assessment, based on five criteria, is separate from the performance management process. Applications are by written submission and include artefacts representing the teacher's practice. The five person panel making the decision comprises the school head, head of department, director of studies, director of staff development and an external member with expertise in the relevant teaching area.

Middle managers such as heads of department and head of house have a triennial review process with a similar reporting document to teachers, but aligned to the manager's job description. They also develop a three-year plan. Each middle manager has an annual discussion on progress with the deputy head. Appraisals of middle managers include surveys of parents and input from relevant peers in the academic or support streams. Executive staff have a 360 degree appraisal and the process includes an external facilitator and feedback from external sources. For the school's head the supervisory role is taken by the school council which informally reviews performance through their monthly council meetings.

Extra mentoring support and a reduced teaching load are provided for new teachers. The school makes significant funds available for professional learning. Teachers are expected to follow up on their own learning needs and supervisors also bring details of relevant courses to their attention.

### **Accountability**

Performance in the school's priority areas (domains) and contribution to the school's mission are evaluated for a dual purpose. Apart from assisting teachers to improve their standards of professional practice, continued employment depends on a successful appraisal at the end of three years. Teachers admitted to the senior teacher level gain salary increases.

Use of common domain areas and indicators within each domain provides a level of standardisation. Discussions between supervisors at formal and informal school meetings also support consistency. Decisions can be appealed under the school's grievance policy.

### **Outcomes**

On-line records of performance reviews record the performance of teachers in the three domains (academic, pastoral and co-curricular) and include written comments for each. They also record how teachers have contributed to the mission of the school. The process contributes to providing the highest quality of professional instruction to maximise students' learning.

### **How is the implementation process supported?**

Contributing to the school mission and professional self-improvement through performance management is an expectation of teachers. It is a transparent process which recognises their achievements, provides constructive feedback for improvement and provides professional learning opportunities. Teachers understand the process because it is an on-going part of the school's operations. New teachers have a meeting with the Director of Staff Development at which the process is explained.

Heads of department meetings include training in the performance management process and potential problems. A recently appointed Director of Pedagogy attends three lessons per year for each teacher. The Director provides a confidential report to the teacher and also reports more generally to the professional development committee which can assist with professional learning opportunities to address each teacher's areas of need. The Director's feedback is not included in the performance management process.

A high level of resources is available to assist the professional development of teachers. New teachers have a reduced teaching load in their first year. Applicants for senior teacher positions have two days' leave to assist in preparation of their submission.

### **Evaluation of the processes**

School management believes the performance management process is an effective way to manage staff performance and has provided more opportunities for professional conversations between teachers and line management. Staff accept the performance management process, in part because it provides affirmation of the good practices of teachers. Its transparency, fairness, recognition of success, and commitment to improving the professional capabilities of teachers should ensure its on-going acceptance.

A challenge is to ensure honest feedback from supervisors which can be uncomfortable. Inefficiencies have occurred in the past because of the duplication of paper forms and reports to the many parties involved in a teacher's performance management. The school is implementing a computer based reporting process and move to on-line reporting will improve efficiency.

There has been no formal evaluation of the process but the school's performance is monitored through regular reports to the school council.

**Case Study #6**

State Secondary School<sup>74</sup>  
 Regional (New South Wales)  
 Enrolment ~500

**Description of the Performance Management Process**

The school gives all staff a School Supervision and Support document and requires all staff to maintain a School Supervision and Support folder. The document outlines the principles behind the school's approach, including resource, consultancy and leadership support for staff in improving teaching and learning outcomes; a negotiated approach to meet teachers' professional needs and the school's goals; and respect for the rights of staff. It also records the requirements of the school. These include a range of departmental and school policies such as:

- Memorandum 97/227 Professional Responsibilities of Teachers
- Department of Education and Training (DET) Code of Conduct, 1995.
- DET Teacher Assessment Review Schedule (TARS) – annual.
- DET School Development Policy, 1999; and
- Board of Studies documents.

In the folder teachers also keep their Teacher Assessment and Review Schedule (TARS), professional and career goals, professional learning records and supervisor reports. Teachers must record that they have completed their requirements on the checklist in the folder. The folder remains on site and is retained by the school at the end of the year.

At the beginning of first term, teachers conduct a self-assessment of their capabilities and need for further development, using the New South Wales Institute of Teachers' Professional Teaching Standards and school and system requirements. There are seven elements in the Standards at four levels of attainment, and teachers identify standards which they should be achieving, acknowledge achievements and identify areas for improvement. They also document their professional and career goals and the additional responsibilities they will undertake in the school.

In subsequent terms teachers meet with their supervisors to ascertain whether requirements for each term have been fulfilled. While the TARS process provides for negotiation between the teacher and supervisor, the teacher must meet the requirements of the school – students, the community and employer. Reports of end-of-term meetings with supervisors are maintained by the school. At the end of the year, a report is written by supervisors setting out the teacher's accomplishments and need for further development. The end of year meeting is also used to commence consideration of the teacher's goals for next year.

The principal and senior staff supervise the professional development and performance of teachers, and are responsible for the TARS process. Supervision and support structures are differentiated to reflect the comparative experience, expertise, role expectations and needs of the individual teacher. The supervision and mentoring process provide for feedback from supervisors and peers. Student input is not used. The process uses conferencing, observation of teaching and out-of-class practices, and review of documentation, including programs. Teachers are encouraged to use a mentor and many teachers in the school have done so.

<sup>74</sup> NSW high schools, unless college campuses, are 7-12

The New South Wales Teachers' Federation supports the TARS program through an industrial agreement with the Department of Employment and Training.

### **Accountability**

The teacher's Supervision and Support folder contains a number of checklists to ensure the requirements of the teacher have been met. Staff can seek to negotiate outcomes during conferences with their supervisors. The principal is the final arbiter of any disputes.

### **Outcomes**

Professional learning is available to meet teachers' professional needs and help to fulfil the school's goals. The process has helped teachers to more effectively plan for and achieve career goals. In general the staff are happy and feel supported. Improvements in student performance have been reported in the School Improvement Plan.

The process has led to an improved professional tone by teachers, an increase in collegiality, and teachers taking more leadership responsibilities. Professional learning is aligned with student needs and student standards have risen.

### **How is the implementation process supported?**

The school's procedures are set out in its School Supervision and Support document. Staff work through this in the school development day at the beginning of the year. The process is documented in detail and transparent so the logic of the process is explained. Ultimately, teachers are expected to fulfil their professional responsibilities to the students and the school.

Supervision is also regularly discussed at meetings of senior management.

Funds are available at the school to support professional learning activities. Teacher release is available for professional learning and to enable teachers to meet with their mentors.

### **Evaluation of the processes**

The aim of the School Supervision and Support program is to support teachers to develop professionally and obtain the best outcomes for students. This is being done well. The process is accepted by teachers who appreciate having a transparent process although some find the process intimidating.

To be most effective, the process requires the time which has been allocated to formal conferencing each term, other school meetings and informal discussions. One area for improvement is further training of supervisors to build their confidence to provide positive counselling to teachers and to give honest feedback.

There are no formal evaluations of the process itself but the school reports progress in key areas in both curriculum and management in its School Improvement Plan which is included in the school's annual school report. A recent Quality Systems questionnaire of teachers showed the highest ratings by staff of the school's mentoring program, improvements to pedagogy, and meeting the professional needs of teachers.

Ongoing changes to the process take place following feedback from teachers and supervisors.

# 11 Appendix 7 - Summary of Content of Policy Documents Relating to Performance Management and Development from Australian Education Systems

|                                     | ACT   | NSW  | NT   | Qld   | SA   | Tas   | Vic  | WA   |
|-------------------------------------|---|--|--|---|--|---|--|--|
| Departmental policy                 | Teachers' Collective Agreements since 2000<br><br>Professional Pathways Plan and Pathways to Improvement Program<br><br>DET Strategic Plan<br><br>School Excellence Framework<br><br>School Improvement Framework<br><br>School Development plan<br><br>ACT Leadership and Management Framework<br><br>Principals Appraisal Program | Clause 7.1 of Crown Employees (Teachers in Schools and Related Employees) Salaries and Conditions Award 2009<br><br>Performance Management and Development Policy (all staff).<br><br>Guidelines for the Management of Conduct and Performance (August 2006) | Performance Review Policy<br><br>Public Sector Employment and Management Act 1993<br><br>DET accountability and Performance Improvement Framework<br><br>Employment Instruction No 4<br><br>DET Professional Learning Policy<br><br>DET Leadership Development Framework<br><br>Current Enterprise Bargaining Agreements | Developing Performance framework<br><br>Agency Service Delivery Agreement 2008-2009 (ASDS)<br><br>Department of Education Training and Arts Strategic Plan<br><br>School Improvement and Accountability Framework<br><br>Leadership Matters | DECS Improvement and Accountability Framework<br><br>Teachers' Work Performance Management Policy<br><br>Performance Management Guidelines<br><br>Managing People, Managing Performance (guidelines for public servants) | Leading for High Performance<br><br>School Improvement Framework 2009<br><br>Section 34(1)(g) of the State Service Act 2000 | Blueprint for Government Schools(2003)<br><br>Performance and Development Culture Self Assessment Framework<br><br>Blueprint for Education and Early Childhood Development (2008)<br><br>Roles and Responsibilities – Principal and Teacher Class (updated 30 July 2008) | Policy Framework for Performance Management<br><br>(Policy under review) |
| Beginning teachers/graduates policy | Professional Pathways<br><br>Contract and Probation Assessment Processes<br><br>New Educators Support Program<br><br>Stage 1 (New Educators)<br><br>Stage 2 (Experienced Educators)   | Accreditation of New Scheme Teachers in NSW Government Schools (30 August 2005)<br><br>Beginning Teachers Support Policy (1 January 2008)<br><br>Procedures for managing Probationary Teachers (April 2005)  | Teacher Probation policy   | Probation teachers policy   | Four career stages:<br><ul style="list-style-type: none"> <li>beginning teachers</li> <li>established teachers</li> <li>accomplished teachers</li> <li>team leaders</li> </ul>   |   | Roles and Responsibilities – Principal and Teacher Class (updated 30 July 2008)  | Phase 1 teachers<br>Phase 2 teachers<br>Phase 3 teachers                 |
| Experienced teacher policy          | Stage 3 - Expert  | Accreditation of Teachers at   | Performance Management policy  | Developing Performance  | Advanced Skills Teacher 1 (introduced 1992) –  |   | Roles and Responsibilities –   |  |

|                         | ACT<br>Educators)                             | NSW   | NT   | Qld   | SA               | Tas  | Vic   | WA                     |
|-------------------------|---|---|--|---|------------------|--|---|------------------------|
|                         |   | Professional Accomplishment and Leadership in NSW Government Schools Policy (13 October 2008) |  | Framework   | linked to salary |  | Principal and Teacher Class (updated 30 July 2008) Roles and responsibilities of teachers defined in Schedule 2 of the Victorian Government Schools Agreement 2008.<br>Performance and Development Guide Teacher Class<br>Performance and Development – Leading Teacher |                        |
| Principals - policy     | Principals' Professional Appraisal Program    | Principal Assessment and Review Schedule  | Performance Management policy                                | Leadership Matters framework                                      |                  |  | Roles and Responsibilities – Principal and Teacher Class (updated 30 July 2008) Guidelines for Principal Class Performance and Development 2009.<br>Principal Performance and Development Plan 2009   |                        |
| Implementation strategy | Director, Schools<br>Director Human Resources | TARS and PARS procedures form implementation in schools                                       | Responsibilities articulated in policy<br>Workshops provided | Team leader responsible<br>Support materials available on the web |                  | Principals responsible<br>Training available<br>Support material available |   | Principals responsible |

|                                     | ACT   | NSW   | NT  | Qld  | SA   | Tas  | Vic   | WA  |
|-------------------------------------|---|---|---|--|--|--|---|---|
| Underperformance                    | Section 164 and 165 of the ACT Department of Education and Training Teaching Staff Union Collective Agreement 2007 – 2009 | Teacher Improvement Program (February 2006)<br>Procedures for managing casual teachers who are experiencing difficulties with their teaching performance (October 2005)<br>Performance Improvement Program for Principals (November 2004) | Inability policy and Discipline policy for Unsatisfactory Performance | Formal process for managing unsatisfactory performance<br>Management of Unsatisfactory Performance – Temporary Teachers  |  | 3 steps:<br><ul style="list-style-type: none"> <li>• support plan</li> <li>• structured plan</li> <li>• leading for high performance process suspended until issue resolved.</li> </ul>  | Guidelines for managing Complaints, Misconduct and Unsatisfactory Performance<br>MOU between Department of Education and Training and Victorian Institute of Teaching, entered into on 8 <sup>th</sup> of January of 2004 | Managing Unsatisfactory and Performance of Teaching Staff and School Administrators |
| Departmental Standards/competencies | Professional Descriptors for Teachers and Principals<br>Principals' capability Framework                                  | Uses NSW Institute of Teaching standards  | Uses Teacher Registration Board professional standards.               | Professional standards for teachers<br>12 interrelated standards developed collaboratively with teachers, union and key stakeholders<br>Executive Capabilities<br>Leadership Matters | Professional Standards for Teachers based on four professional elements (values, knowledge, relationships, practice) with a number of elements within each and separate standards for each of the four career levels<br>ALSO<br>SACSA (?) standards – a basis for planning and monitoring learner achievement<br>ALSO<br>IAF comprises five elements (standards, self review, improvement planning, intervention and | Uses Tasmanian Professional Teaching Standards Framework (developed collaboratively by TRB and involving all education providers and key stakeholders)) based on four career dimensions (graduate, competence, accomplishment and four dimensions (professional knowledge, professional relationships, professional practice and professional values) and elements within each dimension | Professional standards apply for salary progression purposes<br>Uses VIT standards  | Competency Framework for Teachers (2004)<br>Five Dimensions                         |

# APPENDIX 7

|                  |  |  |  |                       |   | support, performance reporting)   | or<br>Statement of Duties<br>(negotiated at school level) |   |  |
|------------------|--|--|--|-----------------------|---|---|---|---|--|
| Monitoring       |  | Principals report annually<br>Documentation retained for two years | PARS and TARS reports submitted annually   | No formal requirement | Formal monitoring and evaluation processes are undertaken by the central office team each year. | Central policy, but implementation in schools not monitored.<br>School Improvement Plans part of accountability framework | Documentation kept for at least two years                 | District Director responsible<br>Performance development part of school accreditation process | Documentation kept for two years   |
| Review processes |  | Internal review processes  | Deputy Director-General Workforce Management and Systems responsible for management of internal review process | See above             |   | ASTI Assessment process – five yearly   | Internal review   |   | Not stated in policy<br>Noted elsewhere<br>Senior Officer responsible for IR /HR |

|               |   |  |   |   |   |   |  |   |
|---------------|---|--|---|---|---|---|--|---|
| AIS Policy    | No involvement<br>Schools may use NSW ISTAA processes and standards | Policies and procedures for schools on Commonwealth Agreements.<br>Independent Schools Teacher Accreditation Authority (ISTAA) policy on the accreditation of teachers in independent schools. | Provision of information and advice only. | No policy<br>Limited involvement through publication of articles from time to time. | No policy<br>Involvement limited to advice on management of unsatisfactory performance. | No policy<br>Provision of industrial advice | Sample Performance and Conduct Management Policy and guidelines.<br>Processes for dealing with serious misconduct included | Independent School Teachers' Award<br>Appendix 1 – Teacher Appraisal (monitored by Union if teachers having problems) |
| AIS Standards | None prepared   | Standards contained in a Teachers' Agreement   | No  | No  | No  | No  | Developing policy for expert teachers (include set of competencies, funded by Commonwealth)                                | No  |

|   | ACT  | NSW  | NT   | Qld  | SA  | Tas  | Vic  | WA  |
|---|--|--|--|--|---|--|--|---|
| Catholic Policy   | Policy that all schools have annual development appraisal for teachers | As at 14 August 2009, this information had not been received   | No formal policy   | System being developed   |   | Currently trialling a formal system in head office – to be rolled out to schools later   | Annual review meeting required under Multi Enterprise Agreement 2003   |   |
| Catholic Standards/competencies                                       | No   |  | No   | No   |   | No   | VIT standards used   |   |
| Registration body   | None   | NSW Institute of Teachers<br>Accreditation and registration of teachers  | NT Teacher Registration Board  | Queensland College of Teachers   | Teacher Registration Board  | Teacher Registration Board   | Victorian Institute of Teaching  | WA College of Teaching  |
| Registration Competencies/standards                                   |  | Professional Teaching Standards. Four key stages, three teaching domains and seven elements<br>Graduate teachers<br>Professional Competence<br>Professional Accomplishment<br>Professional Leaderships | Four levels – graduate, competent accomplished and leadership, three themes and eight elements | Ten standards in three clusters – teaching and learning, relationships and reflective practice, professional renewal | Three core principles – professional relationships, professional knowledge and professional practice and nine standards | 4 standards adapted to suit each of 4 professional levels of teaching.<br>See above<br>Developed collaboratively with all stakeholders | Three themes (professional knowledge, professional practice and professional engagement) and eight standards<br><br>Different sets for graduating teachers and for full registration | Three themes (professional knowledge, professional practice and professional engagement) and nine standards |
| Achievement of level of competence linked to salary level/progression |  |  |  |  |   |  | Expert teacher positions receive increase in salary  |   |

|                          | ACT | NSW  | NT | Qld | SA | Tas | Vic  | WA |
|--------------------------|-----|--|----|-----|----|-----|--|----|
| Other accreditation body |     | <p>Independent Schools Teacher Accreditation Authority (ISTAA)</p> <p>Policy and Procedure documents available on website</p> <p>Accreditation reviewed every five years</p> <p>Achievement of accreditation results in increased remuneration</p> <p>Appeal processes</p> |    |     |    |     | Comprehensive process for accreditation of schools based on criteria in five elements. |    |
| Role                     |     | <p>Supports role of NSW Institute of Teachers in formally recognising achievements of teachers.</p> <p>Works at level of Professional Accomplishment</p>   |    |     |    |     |  |    |

## 12 Appendix 8 - Teacher Performance Management Policy - Summary

| State                                    | Policy documents and scope  | Who involved  | Responsibilities of staff  | Responsibilities of Managers  | Frequency of formal contact/cycle | Monitoring  | Linked to Registration         | Linked to competencies   | Associated policies   |
|--|---|---|--|---|-----------------------------------|---|--------------------------------|--|---|
| ACT Department of Education and Training | Principals' Professional Appraisal Program Guidelines<br><br>Align professional performance with departmental and school strategic directions.<br><br>Accountability and continuous improvement   | Principals<br><br>Directors conduct performance appraisal   | Prepare draft agreement<br><br>Submit documents<br><br>Implement strategies<br><br>Collect quantitative and qualitative evidence   | With Principals, Directors negotiate and develop approximately 5 priorities for agreement<br><br>Discuss progress<br><br>Review performance against priorities.<br><br>Provide feedback<br><br>Retain copies of appraisal agreements  | Meetings three times a year       | Director Human Resources circulates reminders and provides a summary document to the Chief Executive on professional learning themes and feedback on the appraisal process.<br><br>Professional Appraisal Agreement-signed copy sent to Director Human Resources. | Not mentioned in the document. | Professional Descriptors for Teachers and Principals may be used for discussion and negotiation of priorities<br><br>Principals Capability Framework | DET Strategic Plan<br><br>School Excellence Framework<br><br>School Improvement Framework<br><br>Annual School Board Report<br><br>School Development Plan<br><br>School Fact Sheets<br><br>ACT Leadership and Management Framework |
|  | Professional Pathways for ACT Government School Teachers<br><br>Pathways to Improvement<br><br>Teachers' Collective Agreement s since 2000<br><br>Assessment of Long Term and Short Term<br><br>Contract Teachers and Probationary Teachers | Teachers<br><br>Professional Learning Team – three layers, self reflection, peer feedback and support.<br><br>Probation Assessment Process for Stage 1 (new educators) and for Stage 2 and 3 teachers undergoing probation becomes the Professional Pathways Plan.<br><br>Contract teachers not required to | With supervisor, teachers draft summary of main work and identify up to 5 priorities for Plan.<br><br>Develop and implement plan.<br><br>Prepare outlining progress to achieving agreed priorities – includes evidence documentation | Supervisor:<br><br>provides constructive feedback;<br><br>provides coaching;<br><br>completes the Professional Pathways Report to the Principal.<br><br>Principal or Manager: implements, leads and monitors the process,<br><br>appoints supervisors and ensures all have received training;<br><br>facilitates appropriate professional support;<br><br>retains copies of plans | Meetings three times a year       | On-going evaluation   | Not mentioned in the document. | Professional Descriptors for Teachers and Principals may be used for discussion and negotiation of priorities  |   |

| State                                    | Policy documents and scope   | Who involved   | Responsibilities of staff   | Responsibilities of Managers   | Frequency of formal contact/cycle   | Monitoring  | Linked to Registration  | Linked to competencies  | Associated policies  |
|--|--|--|---|--|---|---|---|---|--|
|  |  | participate but some on long term contracts opt to take part.  |   | for 2 years;<br>reports to the Organisation Capacity Section to confirm that every teacher has completed and signed a Professional Pathways Agreement.<br><br>Instigate the Pathways to Improvement program for teachers with professional performance issues.   |   |   |   |   |  |
| NSW Department of Education and Training | Performance Management and Development Policy<br><br>System-wide Addresses performance assessment and development. | All permanent departmental staff and temporary staff employed for periods greater than 8 weeks consecutively in any one year.<br><br>Overarching policy applies to both teaching, and administrative and management staff.<br><br>Specific documents relating to classifications of staff such as teachers and principals are contained in the Performance Management and Development Implementation documents attached to the | All staff:<br><br>Participate in a performance management and development process;<br><br>Demonstrate and be accountable for performance in relation to the implementation of organisational and workplace goals;<br><br>Participate in ongoing review and formal performance review meetings;<br><br>Participate in appropriate and related professional development as required.<br><br>Refer to TARS and PARS specifically | Managers (i.e. School Education Directors and Principals in terms of principals and teachers respectively):<br><br>Exercise leadership by working with staff to implement performance management;<br><br>Provide continuing support and feedback to staff members;<br><br>Assist in the identification of and participate in appropriate and related professional development. | Not mentioned specifically in policy.<br><br>Annually for TARS (teachers) and PARS (principals) | General Manager HR to monitor and report to executive on the effectiveness of the policy.<br><br>All managers responsible for the operation of the policy and the implementation of procedures for the relevant staff category. | Not mentioned in policy.<br><br>Refer to Accreditation of New Scheme Teachers policy and procedures for requirements. | Not mentioned in policy.<br><br>Refer to Accreditation of New Scheme Teachers policy and procedures for requirements. | Accreditation of New Scheme Teachers policy to ensure that all teachers meet the Department's requirements for employment and approval to teach. |

# APPENDIX 8

| State   | Policy documents and scope       | Who involved   | Responsibilities of staff  | Responsibilities of Managers   | Frequency of formal contact/cycle   | Monitoring  | Linked to Registration         | Linked to competencies   | Associated policies  |
|---|----------------------------------|--|--|--|---|---|--------------------------------|--|--|
| Northern Territory                              | Performance Review Policy        | policy.<br>All permanent and temporary DET employees   | for teachers.<br>All staff to align their performance with shared goals and responsibilities, to increase capability and achievement of outcomes for the individual, workplace and organisation. | Executive: report annually on systemic implementation, on leadership and management development and staff professional learning and resource the implementation of performance review.<br>Human Resources Division: provide assistance with implementation and facilitate professional learning opportunities.<br>Principals, General managers and Directors: develop workplace professional learning plan and facilitate learning opportunities for staff, implement and report on performance review.<br>Employees: prepare for and participate fully in performance review. | Minimum of two reviews in each 12 month period supported by more frequent performance feedback.                           | Executive responsible for reporting annually on systemic implementation   | Not mentioned in the document. | Not mentioned in the document.   | DET Accountability and Performance Improvement Framework<br>Public Sector Employment and Management Act 1993<br>Northern Territory Anti-Discrimination Act 1994<br>Northern Territory Information Act 2003<br>Code of Conduct<br>Current Enterprise Bargaining Agreements<br>Employee Instruction Number 4<br>DET Professional Learning Policy<br>DET Leadership Development Framework |
| Queensland Department of Education and Training | Developing Performance Framework | All staff – schools, regional, district education portfolio staff and central office staff.<br>Appears to apply to both teaching, and administrative | Individuals, colleagues and team leaders are responsible for:<br>identifying key work priorities, expectations and tasks;  | As for staff generally.<br>Implementation of the Department's formal process for managing unsatisfactory performance in the case of repeated unsatisfactory  | Four phases that are aligned with key timelines association with the range of school and work unit planning cycles and/or | Not mentioned specifically in the document although it is clear that all staff are individually responsible for undertaking the provisions of the | Not mentioned in the document. | Department's capability documents for specific employee groups provide reference point for discussing capabilities required to | Linked to Agency Service Delivery Statement 2008 2009.<br>Department of Education, Training and the Arts Strategic Plan  |

# APPENDIX 8

| State           | Policy documents and scope                      | Who involved          | Responsibilities of staff  | Responsibilities of Managers  | Frequency of formal contact/cycle          | Monitoring   | Linked to Registration | Linked to competencies   | Associated policies                                       |
|-----------------|---|-----------------------|--|---|--|--|------------------------|--|---|
|                 |   | and management staff. | capabilities required;<br>development needed<br>reaching agreement;<br>carrying out agreed tasks with on-going feedback and support;<br>adjusting agreed tasks as required.  | performance.  | operating plans                            | Framework.   |                        | complete key work tasks and for capabilities required for individual career aspirations<br>Professional standards for Teachers<br>Leadership Matters<br>Professional Framework for Public Sector Employees<br>Executive Capabilities | School Improvement and Accountability Framework           |
| South Australia | Performance Management Policy (older than 2003) | All staff             | Negotiate with supervisor<br>Take responsibility for improving performance<br>Be actively involved in performance management<br>In negotiation with line manager document approach to performance management<br>be actively involved in the resolution of any grievances | Negotiate with employee.<br>In addition to responsibilities as a member of staff, managers are required to ensure JDFS clear and up to date, have performance management plans and processes in operation, adopt a participative approach, provide induction, provide feedback and generally promote and develop a health work place culture. | 12 months                                  | Human resources Directorate to provide resources for an evaluation of the policy and its implementation in consultation with the Office of Review. | Not mentioned          |  | Relevant legislation<br>Performance Management Guidelines |
| Tasmania        | Leading for High Performance                    | All staff             |  | Principals, supervisors and senior leaders responsible for  | One-on-one discussion at least once a year | Written record of discussion signed by both parties  | Not mentioned          |  | School Improvement Plan and/or school                     |

# APPENDIX 8

| State    | Policy documents and scope   | Who involved | Responsibilities of staff   | Responsibilities of Managers  | Frequency of formal contact/cycle                         | Monitoring              | Linked to Registration   | Linked to competencies                                   | Associated policies   |
|----------|--|--------------|---|---|---|-------------------------|--------------------------|--|---|
|          |  |              |   | <p>leading one-on-one discussion.</p> <p>Establish agreed performance goals and expectations, provide feedback and identify professional learning needs</p> <p>Identify underperformance issues and develop an agreed support plan.</p> <p>If support plan unsuccessful Principals refer to Management for Underperformance Framework and notify General manager Learning Services prior to commencing a formal management of underperformance process.</p> |   |                         | and retained for 2 years |  | <p>priorities</p> <p>Section 34(1) of State Service Act 2000</p> <p>Commissioner's Direction no 4 established minimum standard for performance evaluation systems</p> <p>Grievances and Dispute Settling Procedure in relevant award or agreement.</p> <p>Leading for High Performance Supporting Information</p> |
| Victoria | <p><i>The Blueprint for Victorian Schools sets the basis with one of the major actions being Building the Skills of the Education Workforce to enhance the Teaching-Learning Relationship</i></p> <p><i>Performance and Development Guide Teacher Class</i> sets out the procedures for performance management</p> | All staff    | <p>Roles and responsibilities of teachers set out requirements for performance and development cycle and for unsatisfactory performance</p> | Principal responsible for approving the assessment of each teacher  | Commence in April and conclude in April to following year | Not stated specifically | Not stated specifically  | Yes but these are not mandatory – can be used as a guide | <p>Roles and Responsibilities Principal and Teacher Class.</p>  |

# APPENDIX 8

| State             | Policy documents and scope  | Who involved | Responsibilities of staff                                   | Responsibilities of Managers  | Frequency of formal contact/cycle                               | Monitoring              | Linked to Registration | Linked to competencies                            | Associated policies   |
|-------------------|---|--------------|---|---|---|-------------------------|------------------------|---|---|
| Western Australia | Policy Framework for Performance Management 2004 (currently under review) | All staff    | Act within regulatory, legislative and policy requirements. | Principals and Managers are responsible for the management through a formal process of planning, implementation and review, the performance of the staff they supervise<br><br>Ensuring performance management is managed within the supervisory line of the organisation.<br><br>Promote a collaborative approach. | May vary but based on a 12 month cycle with regular interaction | Not stated specifically |                        | Reference to standards as optional not mandatory. | Managing Unsatisfactory and Sub-standard performance Policy, Procedures and Guidelines<br><br>Public Sector Standard on Performance Management<br><br>Public Sector management Act 1994<br><br>Grievance procedures under above Act.<br><br>Classroom First<br><br>Plan for Public Schools<br><br>Leadership Framework competencies of School Leaders<br><br>Competency Framework for Teachers<br><br>Focus 2009 – Directions for Schools<br><br>School.<br>Improvement and Accountability Framework<br><br>CD of supporting material |

## **13 Appendix 9 - Case Study – A Performance Management Process for School X**

### **The Context of Our Policy**

The performance management and development process at School X operates in accordance with the policy developed for the system as a whole in the state of Y. Through effective performance management practices we seek to improve individual and school performance.

### **Purpose**

At School X we have a six-fold purpose to performance management and development for teachers:

- To build the professional capacity of teachers to improve their teaching practice so that they are better able to fulfil the requirements of the school's improvement plan and, hence, the needs of students
- To build a culture of professional learning and reflective practice marked by a shared pedagogical language, increased professional discussion/collegiality and trust
- To build a culture of teamwork in which teachers help each other to improve their professional practice and demonstrate a willingness to take on leadership responsibilities
- To recognise and celebrate teachers' work
- To drive the priorities of the school and system
- To provide teachers with uninterrupted time with their supervisor in order to focus on their individual issues and needs and to consider their career aspirations

In so doing School X wishes to keep issues of salary and other working conditions separate from the process other than in provision for information for:

- Renewal of contracts (where appropriate)
- Assessment as a Senior Teacher
- Re-registration with the teachers' registration body

Similarly School X wishes to keep the performance management and development system separate from the issues of managing poor performance for which an effective process already exists.

School X does, however, have the opportunity for teachers to apply for Senior Teacher positions in the school and for which an additional salary allowance is payable. The assessment process for Senior Teacher is a rigorous one, including a component of external appraisal, and applicants are encouraged to incorporate the evidence base they have developed for the performance management and development process in their applications.

## Planning and Goal Setting

The performance management and development process will commence with a formative process. Teachers will be asked to engage in some self-reflection and set five goals for the academic year. These goals must include three school goals and priorities as identified in the school plan. The remaining two goals can be personal and/or team based.

The teacher will then meet with his/her supervisor to discuss and finalise the goals.

The goals will be documented in an Annual Learning Plan (ALP) which identifies timelines, strategies (including professional learning requirements) and other support that may be required. A copy of the plan will be lodged with the principal.

## Cycle and Frequency

The performance management and development system will operate on a three year cycle commencing with a planning/goal setting meeting between teacher and supervisor/coordinator in Term 1 of Year 1.

A summative or appraisal meeting will occur in Term 4 of Year 3. The teacher will meet with the supervisor, both formally (at least twice annually) and informally, throughout the course of the cycle. The Annual Learning Plan will be reviewed and amended annually.

## Appraisal Meeting

The final 'appraisal' meeting will focus on the question: "How did your teaching add value to your students and the school?". In preparation for this discussion the teacher will prepare written notes on their achievements. Depending on the circumstances the teacher may wish to make a formal presentation to describe their work.

The discussion will include the principal as well as the supervisor.<sup>75</sup> The teacher will receive formal feedback on their performance and this will be documented in a formal report.

- The report will document the teacher's achievements and celebrate these.
- The report will also identify areas where improvement might be sought.

## Record Keeping

All plans will be documented in writing and a copy kept centrally.

School X will consider development of an online system for recording key PMD information.

## Governance of the Performance Management and Development System

The school's performance management and development system meets the requirements of central policy on performance management. At school level the process has been modified with the input of teachers to meet the needs of our school. Suggestions for further improvement are always welcome.

As School X is part of the ---- system its performance management arrangements have been incorporated into an Enterprise Bargaining Agreement with unions. The union will, however,

<sup>75</sup> Teachers may wish to include a larger number of people in the final appraisal meeting (including an external appraiser) where there has been an application for an increase in status

only becomes involved in the process at a school level where there is concern about the industrial welfare of a teacher.

Any disagreements will be dealt with through the school's line management structure in accordance with its grievance process. The principal will be the final arbiter of any dispute.

### **Operational Responsibility**

The principal has ultimate responsibility for the performance management and development system. Operational responsibility has been devolved to members of leadership team – deputies and heads – with specialist roles involved where appropriate.

The discussions between teacher and supervisor will take the form of a 'collaborative conversation' between colleagues in which the outcomes may be negotiated.

The supervisor will provide frank feedback to the teacher where that is required.

The principal as well as supervisor will participate in the final review meeting. Where appropriate others may also be included, including an external appraiser.

The teacher and the supervisor have a shared responsibility to follow up the commitments in the professional learning plan. How this is done will be part of formal and informal discussions during the course of the year.

The school will develop an electronic system to assist in the monitoring of progress of the teacher's plan, to help in scheduling, and to maintain the report documentation. It will also include reporting to system level (where appropriate).

### **Performance Standards**

School X will adhere to recently established national teaching standards; these are clear, simple and based on key elements of the teaching role.

Each standard will have associated indicators and these will aid in the assessment process.

Use of the national standards and indicators will contribute to developing consistency in assessment. Creating consistency will also be supported through formal and informal discussions among supervisors.

Standards and indicators will also be used in the assessment of teachers seeking accreditation and / or advancement to Senior Teacher status.

### **Participation**

All teachers are required to participate in the performance management development system.

Special arrangements for new teachers will apply. These include the following:

- mentoring;
- orientation and induction;
- more frequent meetings with their supervisor; and

- a reduced teaching load in the first year.

Special arrangements will apply to groups such as music teachers who work at a number of schools.

Depending on the experience and classification of the teacher, different standards will apply as described in the standards.

### **Evidence**

Teachers will be expected to offer evidence of their work for consideration as part of the PMD process. The evidence should include a minimum of two classroom observations annually as well as some of the following (type and number to be negotiated with the supervisor).

- work programs;
- lesson plans;
- student work samples;
- student assessments/results and schedules;
- participation in school activities;
- participation in a team inquiry/action research activity; and
- materials and resources shared with mentors.

In preparation for their discussions with their supervisors teachers should collect their evidence in a portfolio. They may also wish to maintain a professional journal.

Teachers should also gather student and parent feedback through surveys or other feedback mechanisms. They may also wish to obtain peer feedback through, say, classroom observation or team teaching.

### **Communication of the Process**

Performance management and development is part of the culture at School X. New teachers will be acquainted with its requirements through:

- their letter of appointment,
- orientation processes; and
- regular meetings with their mentors

Other staff will continue to be supported in the process through:

- staff meetings
- hard copy booklets
- school intranet
- self-explanatory forms; and
- senior teachers and members of the school leadership team.

**Resourcing**

School X has a range of resources available to assist teachers improve their practice.

- Teachers are encouraged to access coaching up to three times per year.
- School X will offer professional learning opportunities to teachers in those areas identified in their professional learning plans. Release time is available for this purpose. If required release time will also be available for classroom observations.

Given the critical role of supervisors in the performance management and development process they will be supported to:

- attend workshops on realistic goal setting;
- develop their skills to engage positively in professional conversations with teachers including giving frank feedback;
- develop their mentoring and coaching skills;
- develop a greater awareness of standards and the need for consistency;
- gain a better appreciation of what constitutes appropriate evidence of performance.

**Formal Evaluation**

There will be formal evaluation of the process when appropriate. It remains subject to modification on the basis of staff feedback.