

Shedding the appraisal compliance burden

Advice to PPTA branches

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Contents

Shedding the appraisal compliance burden	3
What is currently required of schools	4
More effective performance management systems	5
Principles for a performance management system	8
Engaging in discussion on the performance management system	9
Attachments	11
1 Secondary Principals Council Letter	11
2 Secondary Principals Council Letter - attachment	12
3 Secretary's requirements	13
4 Draft survey –performance management system and workload	16
5 STCA professional standards v Teaching Council standards	17

Shedding the appraisal compliance burden

Teacher appraisal was identified by the 2016 Joint Working Group on Secondary Teacher Workload as a major driver of unnecessary work for many teachers. PPTA, the Compliance Taskforce, the Ministry of Education and the Teaching Council have been working to find ways of helping to reduce the unnecessary workload of teachers generated from over-engineered appraisal activities.

The 2016 Joint Working Group on Secondary Teacher Supply identified excessive workloads as a contributor to poor teacher recruitment and retention.

The Teaching Council has sent all teachers and principals a letter identifying their minimum requirements for certification. [<https://teachingcouncil.nz/content/appraisal>] with the aim of helping to reduce over-engineering of appraisal processes by schools and the Secondary Principals Council has sent a letter to provide more clarity around this. [See attachments 1 and 2]

The Ministry of Education also has some specific requirements around performance management systems. [See attachment 3]

The Education Act will be changed next year to remove the requirement for a ten percent audit of appraisals by ERO. There are likely to be other changes to support a high trust model of performance management in schools.

However, there are many changes that can be made right now in schools to alleviate unnecessary workload pressures on teachers and school leaders.

Some schools currently do not have over-engineered appraisal systems and cause very little work for their teachers in this area. Other schools may have over-engineered their requirements on staff because of a misunderstanding about what was required of schools.

This is an opportunity for branches in these schools to engage with their principals to review the current performance management systems and to remove any components which are creating unnecessary additional work for teachers and school leaders.

This guide is intended to assist branches and employers in reviewing their current performance management system with the goal of eliminating unnecessary workload from the process.

What is currently required of schools

The current requirements on schools are only that

1. They have a policy which establishes there is a performance management system that is operational, reasonable and consistent.
2. The performance management system has, for each certificated teacher:
 - Written performance expectations, development objectives and specifications of support required¹
 - An observation of teaching each year
 - Two opportunities for discussion
 - Self-appraisal²
 - An annual summary report that states whether or not the appraisee meets the standards or ngā paerewa.³
3. For certification schools need to keep a record for each teacher to indicate that they have been appraised and have participated in some form of PLD⁴
4. The record for each teacher needs only to indicate that the teacher has been:
 - observed and received feedback from their appraiser
 - involved in two annual appraisal conversations.
 - involved in professional learning
 - affirmed by their appraiser, in their professional judgement, as meeting the Teaching Council standards (the evidence for this would be from their normal day to day professional interactions with the teacher).

While each school can develop its own system of performance management, there is no requirement on the school for those systems to include:

- an inquiry is undertaken by teachers
- reports from the professional development teachers do
- a portfolio of evidence compiled by teachers
- any specific mode of professional development

The employer is required by the Health and Safety At Work Act to maintain a healthy working environment – and excessive school-driven expectations around appraisal and PLD will not be contributing to this if they are contributing to excessive workloads.

Unless there are concerns about a teacher's performance you do not need to run separate processes for attestation, appraisal and professional development [See attachment 5].

The Employment Relations Act also gives staff the right to consultation about their work programme and workloads, which will include the performance management system or proposed changes to it. Consultation is defined by Judge Goddard.

[<https://www.ppta.org.nz/dmsdocument/53>]

¹ Usually this would be less than a single A4 sheet.

² A written self-reflection is not required. The self-appraisal can be part of the professional discussion with the designated appraiser either during the discussions or during the normal work of the teacher.

³ The report should also be a single page.

⁴ This can be the same one page summary.

More effective performance management systems

1. Purpose

The intention behind the introduction of performance management is for schools to demonstrate commitment to develop all teachers effectively to ensure job satisfaction, high levels of expertise and progression of staff in their chosen profession. (*UK Department for Education and Skills*)

2. Current requirements in New Zealand

Currently schools are required by the Secretary of Education to have a performance management system [See Attachment 3].

The primary purpose of these requirements is to “*provide a positive framework for the improvement of the quality of teaching (and therefore learning) in New Zealand Schools*”.

The expected appraisal process includes the following elements:

- the identification of an appraiser, in consultation with the teacher concerned;
- the development of a written statement of performance expectations in consultation with each teacher;
- the identification and written specification of one or more development objectives to be achieved during the period for which the performance expectations apply;
- for each development objective, the identification and written specification of the assistance or support to be provided;
- observation of teaching (for those with teaching responsibilities);
- self-appraisal by the teacher;
- an opportunity for the teacher to discuss their achievement of the performance expectations and the development objective(s) with their appraiser;
- an appraisal report prepared and discussed in consultation with the teacher.

There is nothing here requiring inquiries, write ups of PLD, gathering data, making presentations to the rest of the staff or portfolios.

3. Current school performance management systems often unhelpful

The Ministry of Education, Teaching Council, School Trustees Association, ERO and PPTA agreed in the 2016 Secondary Teachers Workload Working Group report that one of the main unnecessary drivers of excessive workload in schools is over-engineering of performance management systems.

<https://www.ppta.org.nz/dmsdocument/479>

In a PPTA 2018 survey most teachers reported not finding their appraisal process helpful, describing it as:

- Just going through the motions 35%
- A process without either professional challenge or support 6%

- A process that challenges me but does not support me to develop 15%
- A process that affirms me but does not challenge me professionally 12%
- A process that both challenges and supports me to develop as a teacher 28%

The 2014 ERO report on appraisal stated that “the system-wide challenge identified through ERO’s evaluation is that, although we found models of the good practice described above, **appraisal systems in the majority of schools in this study did not contribute sufficiently to improving teacher capability and student outcomes.** Although most of the schools reviewed had compliant appraisal systems that included all the accountability aspects required, there was limited evidence of appraisal systems as an integral component of overall school improvement.”

4. Better systems of performance management

In Finland there are no school inspections. In her 2016 book *Cleverlands: The secrets behind the success of the world’s education superpowers*, Crehan notes that there is no teacher evaluation there. There aren’t even national exams to hold teachers to account – right up to the age of 15 students’ grades are decided by the teachers. So how does Finland get such good results in PISA?

She goes on to note that “where schools or education systems can find individuals who are already intrinsically motivated to do the work required, or who already have a strong sense of purpose and belief in the importance of education (and who have therefore internalised the same goals as the school), good things come of it: positive work-related attitudes, effective performance, job satisfaction and psychological well-being.

Psychologists Richard Ryan and Edward Deci identify the three elements that contribute to individuals being intrinsically motivated as:

- mastery – our desire to get better and better at what we do;
- relatedness – our desire to have positive relationships with others; and
- autonomy – our desire to be self-directed.

“In order for this to happen, teachers need to feel that they are autonomous, and they are performing certain actions, like professional development, because they want to, not because they are being forced to.”

The 2010 Education Workforce Advisory Group Report to the minister provided a vision of a system for the profession that has:

- clear and high professional standards at entry and induction to the profession so that high quality, capable people enter the profession
- clear and robust professional standards at the point of transition to leadership roles within the profession so that the best and most capable of these become leaders in the profession

- ongoing professional learning and development (PL&D) which supports effective teaching in the context of a variety of cultural identities and languages
- high levels of flexibility for school leaders to support the growth and capability of teachers within their schools and profession to raise student achievement.

It went on to state that establishing such an approach across the teaching profession will raise the quality, status and attractiveness of the profession.

It is advocating for a system that allows us to act as professionals.

The Leadership BES makes clear that if there is an appraisal system it does not need to be complicated and have a heavy workload. It states that appraisal typically involves (i) identification of performance expectations and appraisal goals, (ii) classroom observations, (iii) teacher self-appraisal, (iv) discussion of the teacher's self-appraisal and the appraiser's evaluation, and (v) the setting of new performance goals.

It goes on to state performance management, introduced with sensitivity and managed effectively, supports teachers in meeting the needs of pupils and in raising standards.

There are two major beneficiaries of performance management:

- Pupils – because their teachers have a better idea of what their pupils can achieve with the right kind of support and encouragement.
- Teachers - there will be opportunities for them to discuss their work and development with their team leaders.

Principles for a performance management system

1. Operate in an environment of high trust - there is little evidence the current appraisal processes have much impact and are overly burdensome on teachers – contributing to work overload and making the profession unattractive and therefore counterproductive. The Accord parties and the Teaching Council are looking to support such an environment nationally.
2. A high trust model, which schools can emulate right now, is one which will as a by-product produce very little documentation or work through additional meetings or ‘observations’, formalised inquiry activities etc.
3. The key to a high trust model is that the principal allocates capable leaders who are familiar with the day to day work of the appraisee, whose judgement they trust and who is confident in their own ability to make professional judgements without requiring the creation of artefacts.
4. The professional assessment process should recognise and support the professionalism of teachers and enhance their pedagogy.
5. The appraisal system should be based upon the requirement of the Teaching Council and MoE being only for two observations and two professional conversations – which do not need to be ‘high stakes’ or formalised exercises.
6. There should be ongoing professional development which is suited and meaningful to the individual
7. Teachers should form professional learning communities, supporting the continuing development of each other’s practice.
8. Confirmation for certification and certificate renewals should be automatic unless the school has raised concerns and where there are no concerns then the professional judgement of an appraiser familiar with the daily work of the teacher will be sufficient. [See attachment 5]
9. Research-based inquiry should follow the provision (and resourcing) of an appropriate training programme in tertiary research methodology by a professional in the field.

Engaging in discussion on the performance management system

1. Read this advice, including the SPC letter to principals.
<https://www.ppta.org.nz/advice-and-issues/professional-learning-and-development-pld/>
www.ppta.org.nz/advice-and-issues/teacher-appraisal-and-registration/
2. Remember that teachers must engage in professional development and the employer is required to provide an appropriate programme of professional development
3. Conduct a survey to determine how much time individual teachers spend each week/term/year in these activities [see draft survey - attachment 5]
4. If the survey indicates high workload pressures from the current performance management processes then hold a branch meeting to:
 - a. Present the results of the survey.
 - b. Determine whether the branch thinks there is currently a reasonable expectation for appraisal and performance assessment and PLD in the context of your whole workload.
 - c. Identify what activities are currently undertaken in the school which are not required by legislation or the MoE or Teaching Council.
 - d. Identify which of these activities are valued by staff and which are considered unnecessary/unhelpful/burdensome
 - e. Vote on two resolutions:
 - i. *“That the branch engage with the employer in discussions to reduce the workload associated with the school’s performance management system”*
 - ii. *“That the branch engages with the employer in discussions of alternative performance management systems”.*
5. Arrange a meeting with your principal and representatives of the branch.
6. Raise the issues at the meeting with the principal and note that the school is doing far more than required by either the MoE or the Teaching Council and that this is a workload issue **generated by the school**.
7. Discuss with the principal how the school can reduce these activities to a manageable level, focussing on the principles in this advice and on the professional evidence of what a good performance management system is.
8. Identify the activities that you feel are excessive and the administration that is wrapped around those. Ask for an explanation of why these activities are asked of staff
9. Propose some immediate alternatives to the activities – for example, if the principal wants a formal investigation then can it be over two years rather than

one, does it have to be written up or can it be simply discussed with your mentor? Does it have to be a staff presentation? If they are asking for 4 a year say this is unreasonable and propose one useful activity based on the PPTA advice.

10. If there is confusion about the use of the Teaching Council standards and the STCA process clarify that the former will suffice for attestation and PLD unless there is a problem [See attachment 5].
11. After identifying immediately what components can be eliminated from your current system of performance management and appraisal there can be a longer term consultation and professional discussion, using PPTA's Professional Development Toolkit and the PMS guidelines in this advice, about what sort of performance management system would be best for your school. You can ask for advice on performance management systems from PPTA National Office
12. If no progress can be made and the principal will not engage or seeks to defer discussion or change until 2020 contact the local PPTA field officer for support and further advice.

Attachments

1 Secondary Principals Council Letter



2019-09-09_Ltr to
Principals re Teaching

2 Secondary Principals Council Letter - attachment



Teacher Appraisal
Current and Future F

3 Secretary's requirements



Performance management in schools

Pursuant to section 77c of the State Sector Act 1988, and following agreement by the State Services Commission, I hereby prescribe the following matters are to be taken into account by the boards of trustees in assessing the performance of teachers.

1. The Preamble:

What is performance management?

Performance management involves the development and implementation of policies and procedures to ensure that the teachers and staff provide education and services which effectively meet the needs of their students consistent with the goals and objectives in each school's charter.

An effective performance management system should encompass many personnel management activities. These would include:

- the recruitment and retention of staff;
- the selection and appointment of staff;
- those clauses of collective and individual employment contracts which relate to the performance management of staff;
- the statutory requirements for registration;
- the appraisal and assessment of staff;
- the professional development and succession planning;
- remuneration management;
- the discipline and dismissal of staff.

This prescription establishes minimum requirements for the appraisal and assessment of teachers.

2. The Context for Performance Appraisal in New Zealand Schools:

The primary purpose of these requirements is to provide a positive framework for the improvement of the quality of teaching (and therefore learning) in New Zealand Schools.

The mandatory requirement is to provide flexibility to allow boards of trustees to design performance appraisal systems appropriate to their school and community within a minimum quality assurance and accountability framework.

3. The Matters to be Taken into Account:

The Secretary for Education hereby prescribes the following matters to be taken into account by the employers¹ when assessing the performance of teachers:

- **principles** which should underpin the policies and processes boards have in place for the appraisal of teacher performance;
- **features** of the **process** which is followed in appraising teacher performance;
- **aspects** of teacher's **performance** which should be appraised.

3.1 The Principles:

Boards of trustees should ensure that policies and procedures for the appraisal of teacher performance:

- i. are part of an integrated performance management system operating within the school;
- ii. are appropriate to individual teachers, the school and wider community;
- iii. are developed in a consultative manner with teachers;
- iv. are open and transparent;
- v. have a professional development orientation;
- vi. are timely and helpful to individual teachers;
- vii. give consideration to matters of confidentiality, including the provisions of the Privacy Act and the Official Information Act.

3.2 The Features of the Appraisal Process:

3.2.1. The board of trustees is responsible for ensuring that:

- i. a policy for the appraisal of teacher performance is in place which is in accordance with the principles;
- ii. responsibility for the implementation of the appraisal policy and process is formally delegated to a professionally competent person or persons;
- iii. the appraisal process for each teacher is completed in accordance with the policy;
- iv. each teacher participates in the appraisal process at least once within a 12 month period.

3.2.2. Boards of trustees must have a documented policy on the appraisal of teacher performance.

This policy must:

- i. specify the person(s) responsible for the implementation of the appraisal policy and process;
- ii. specify the process which will be followed in the appraisal of teacher performance;
- iii. include a statement of confidentiality;
- iv. specify a process for dealing with disputes.

3.2.3. Boards of trustees (through the person(s) responsible) must ensure that the appraisal process includes the following elements:

- the identification of an appraiser, in consultation with the teacher concerned;
- the development of a written statement of performance expectations in consultation with each teacher;
- the identification and written specification of one or more development objectives to be achieved during the period for which the performance expectations apply;
- for each development objective, the identification and written specification of the assistance or support to be provided;
- observation of teaching (for those with teaching responsibilities);
- self-appraisal by the teacher;
- an opportunity for the teacher to discuss their achievement of the performance expectations and the development objective(s) with their appraiser;
- an appraisal report prepared and discussed in consultation with the teacher.

3.3 The Aspects of Teacher Performance to be Appraised:

Boards of trustees (through the person(s) responsible) must ensure that:

3.3.1. The performance expectations for teachers must relate to the key professional responsibilities and key performance areas of their position;

3.3.2. Key professional responsibilities/performance areas are:

- i. **teaching responsibilities** (such as planning and preparation, teaching techniques, classroom management, classroom environment, curriculum knowledge, student assessment):
- ii. **school-wide responsibilities** (such as contribution to curriculum leadership, school-wide planning, school goals, the effective operation of the school as a whole. Pastoral activities and student counselling, and to community relationships);
- iii. **management responsibilities** (such as planning, decision-making, reporting, professional leadership, resource management).

“This notice shall be effective from 1 January 1997. Dated at Wellington this 9th day of December 1996. HOWARD FANCY, Secretary for Education.”

(1.**Boards of trustees**, as the employer, are the only body for whom matters can be prescribed under section 77c of the State Sector Act 1988.)

4 Draft survey –performance management system and workload

Q1 On a scale of 0 to 10 how do you rate your experience of PLD at this school?

0 = ineffective 10 = increases my capability/effectiveness

Q2 In terms of your personal workload, on a scale of 0 to 10 how would you rate our school's appraisal/PLD/performance management system?

0= adds no workload burden 10 = adds an unmanageable workload burden

Q3 How much time do you spend on average each term on each of the following?

- Whole staff PLD activity
- Faculty/Department PLD activity
- Professional learning group - curriculum (other than department/faculty)
- Professional learning group - pastoral (restorative practice, whanau group, behaviour etc.)
- Individual learning (e.g. observation, meetings with mentor, professional reading etc.)
- Inquiry activity
- Evidence gathering for appraisal/assessment
- Giving PLD/appraisal presentations
- Administration related to inquiry/PLD

Q4 For each of these requirements indicate if you consider the time it takes you is:

(1) an excessive amount, (2) somewhat too much, (3) about right, (4) somewhat too little, (5) much too little.

- Professional learning group work
- Evidence gathering/portfolios
- Whole Staff PLD
- Inquiry/Inquiries
- Presenting evidence
- Observing staff

Q5 Do our school leaders participate in PLD alongside other staff?

Principal (Always, usually, sometimes, never)

Other SLT (Always, usually, sometimes, never)

Q6 What is your main role in school?

[Senior leader, Curriculum leader (Head of Faculty/Department, Teacher in charge), fully certificated classroom teacher, provisionally certificated classroom teacher, SCT or Community of Learning/Kāhui Ako role, Other]

Q7 . How many faculties/departments do you teach in within this school?

(None, 1, 2, 3, more than 3)

5 STCA professional standards v Teaching Council standards

Most teachers will only ever need to be assessed against the Teaching Council Standards (TCS).

The collective agreement’s professional standards (CAPS) are specific baselines against which the employer would justify taking an action detrimental to a teacher in terms of pay or employment.

Principals will almost always operate within the TCS and will only need to operate the CAPS on rare occasions.

When standards are used

